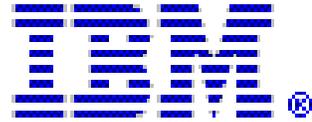


United States Agency for International Development

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# USAID HIV/AIDS Segment Financial Management

*Business and Information Architecture*

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Final





### Version History

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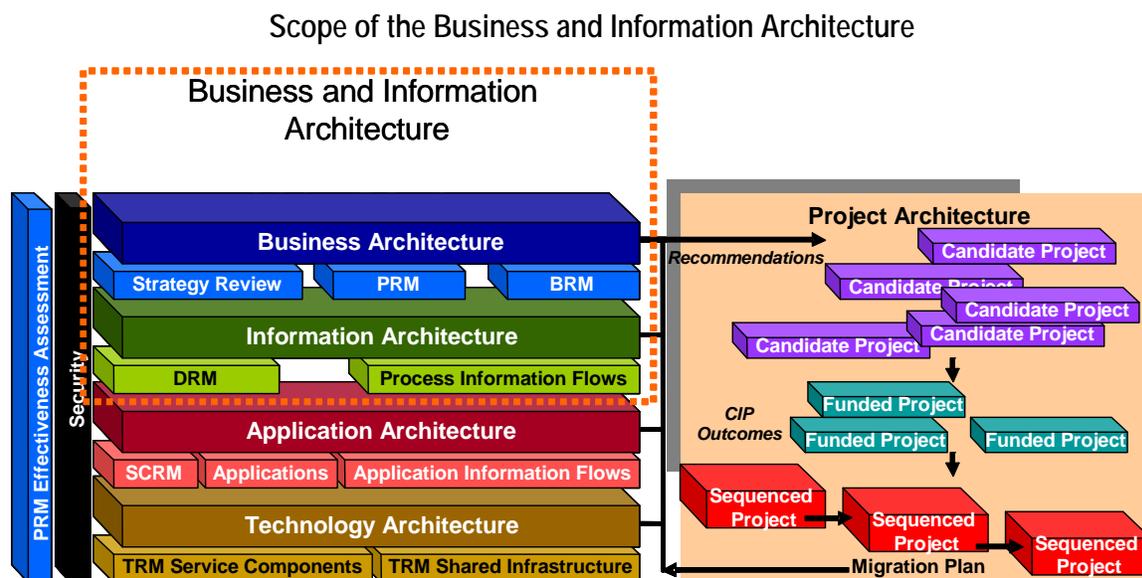
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## Summary

The Enterprise Architecture (EA) is a tool that allows the United States Agency for International Development (USAID) to identify opportunities to improve the technology, processes, and information needed to accomplish its mission. The EA will also help USAID to discover redundant capabilities and establish linkages between information technology and mission and program performance. At its highest level, EA is a strategic tool for understanding USAID’s current environment, envisioning a future environment, and developing a Business Transformation path to get there. This Business Transformation path will consist of business and technology recommendations that can serve as inputs into USAID’s Capital Planning process.

As detailed in *The United States Agency for International Development Strategy for Enterprise Architecture Development* (Final Version 1.2 November 2003) USAID’s approach for developing its overall EA is to focus initially on its HIV/AIDS program segment. There are five Business Process Areas (BPAs) supporting the HIV/AIDS segment: Financial Management (FM), Acquisition and Assistance (A&A), HIV/AIDS Program Oversight (Program Oversight), HIV/AIDS Program Operations (PO), and Budgeting (B)<sup>1</sup>. The supporting FM, A&A, PO and B BPAs are detailed in separate *Business and Information Architecture* documents.

The *Business and Information Architecture* identifies USAID business process areas and their processes and sub-processes; the business information used and passed by each sub-process; process relationships and their dependencies; and the degree to which automation supports these process areas. The scope of the *Business and Information Architecture* within the overall evolving USAID Enterprise Architecture Framework is shown below.



<sup>1</sup> A “Business Process Area” is roughly equivalent to the Federal Enterprise Architecture “Line of Business.” Source: *The Business Reference Model Version 2.0: A Foundation for Government-wide Improvement*, Federal Enterprise Architecture Project Management Office, June 2003.

The January 12, 2004 version of the *Business and Information Architecture* document refreshes the current (“As-Is”) business processes with the influence of existing programs and the future operating vision of the HIV/AIDS program into the future (“To-Be”) business processes.

Development of the *To-Be Financial Management Business and Information Architecture* was a two step process. The first step was to examine the changes to the Financial Management processes that will result from ongoing programs identified in the “As-Is” development. The second step resulted from examining the touchpoints and needs of the HIV/AIDS program against the Financial Management processes to determine if any changes were needed to support the HIV/AIDS program. The results of these efforts are documented in the “To-Be” section of this document.

Part 1 “Introduction” The *Business and Information Architecture* document provides an introduction to the overall document and provides a high-level summary of the HIV/AIDS segment.

Part 2 “USAID HIV/AIDS Business Strategy and Value Chain” describes the USAID HIV/AIDS Business Strategy and Value Chain – a linking of the benefits provided by business functions in achieving an organization’s mission and goals. Part 2 provides a short description of the President’s Strategic HIV Goals and USAID’s approach to achieving those goals, with an emphasis on how the specific Business Process Area covered by the document supports this approach.

Part 3 “USAID HIV/AIDS As-Is Financial Management Business and Information Architecture” is a repeat of the information provided in the initial delivery of the As-Is document on 14-November-2003. It provides a description of the processes and sub-processes that constitute the Business Process Area. Part 3 also includes a summary of the information items and exchanges for the sub-process, the organizational units and roles associated with the sub-process, and the systems/applications/tools used to support the process.

Part 4 “USAID HIV/AIDS To-Be Financial Management Business and Information Architecture” provides a discussion of changes in the FM “To-Be” as a result of ongoing projects, as documented in the FM “As-Is”, and the influence of the “To-Be” HIV/AIDS program on the FM processes. It does not repeat information already available in the “As-Is” but identifies new or deleted processes and changes to existing processes.

## 1. Introduction

In the 2003 State of the Union address, President George W. Bush set forth a challenge to the international community to “prevent 7 million new AIDS infections, treat at least 2 million people with life-extending drugs, and provide humane care for millions of people suffering from AIDS, and for children orphaned by AIDS.” The *Emergency Plan for AIDS Relief* (“*AIDS Relief Plan*”) is a comprehensive aid package to the 14 most severely afflicted African and Caribbean countries. Key elements of the plan will be the administration of uniform preventive care, treatment, and prepared medical pack distribution. The plan will build on the existing clinics, sites, and programs established through the United States Agency for International Development (USAID), the Department of Health and Human Services, non-governmental organizations, and faith-based groups. In implementing the *AIDS Relief Plan*, USAID faces significant logistical, financial, and programmatic challenges. How USAID can best apply its unique capabilities, talented but overextended resources and limited assets in the most expeditious and cost effective manner.

The USAID HIV/AIDS segment Enterprise Architecture (EA) Financial Management Business and Information Architecture consolidates pockets of HIV/AIDS business knowledge residing through-out the USAID and global health community into a strategic information base that supports making informed decisions on how to better manage the *AIDS Relief Plan* implementation. It describes the current environment, envisions a future environment, and determines a path to get there, in the form of specific project recommendations.

The business and information architecture is presented in the form of a business strategy value chain and a consolidated business and information architecture. This framework structures the operational elements of the FEA PRM, BRM, and DRM into the FEAF’s essential and intuitive business and information architectural layers.

The business strategy and value chain illustrates the how the business processes add value at the enterprise level to support the USAID strategic initiatives. Thus, the link between business processes and strategic initiatives can be readily seen.

The business and information architecture identifies the USAID processes and sub-processes in the Financial Management process area; what the service delivery model is (e.g., which business units perform what processes, how often, and where); business information used and passed, process relationships and their dependencies and the degree of automation.

The alignment of to the FEA PRM, BRM and DRM are provided as tables within the appendices.

## 2. USAID HIV/AIDS Business Strategy and Value Chain

USAID is a partner in two initiatives announced by President Bush that will dramatically expand HIV/AIDS programs in the most afflicted countries. The President's Emergency Plan for AIDS Relief aims to prevent 7 million new HIV infections, provide life-extending treatment to at least 2 million infected people, and give care and support to 10 million people and orphans living with HIV/AIDS. The International Mother and Child HIV Prevention Initiative will greatly increase the availability of services to prevent mother-to-child transmission of HIV.

To accomplish these Presidential Initiatives, USAID and its international partners will work to meet the following strategic targets by 2007:

- Reduce HIV prevalence rates among those 15-24 years of age by 50% in high-prevalence countries
- Maintain prevalence below 1% among 15-49 year olds in low-prevalence countries
- Ensure that at least 25 percent of HIV-infected mothers in high-prevalence countries have access to interventions to reduce HIV transmission to their infants
- Help local institutions provide basic care and psychosocial support services to at least 25 percent of HIV-infected persons and provide community support services to at least 25 percent of children affected by AIDS in high-prevalence countries

USAID's approach to achieving these targets is to implement programs around seven program areas that are designed to achieve USAID global targets. In countries with a high-prevalence of HIV/AIDS, USAID must help prevent new infections, provide care and treatment and address the needs of children and families affected by AIDS. These program areas are multi-faceted and interrelated. In countries with lower prevalence of the disease, the emphasis is primarily on prevention. In all countries, improving national surveillance, increasing the capacity of health systems and working in partnership with host country colleagues and other partners are essential program elements. These strategic initiatives drive USAID's value chain depicted below.



Fundamentally, USAID is a management organization whereby both global and country level programs are planned, funded, and managed. Actual service delivery is provided by in-country partners. The vehicles used to establish these partnerships include grants, cooperative agreements, and contracts. One of the challenges faced by USAID is integrating and aligning country programs with regional and global objectives. This is accomplished through the planning process whereby operating unit strategic objectives are developed and reviewed by regional bureaus for their support of regional objectives, and reviewed by pillar bureaus for their support

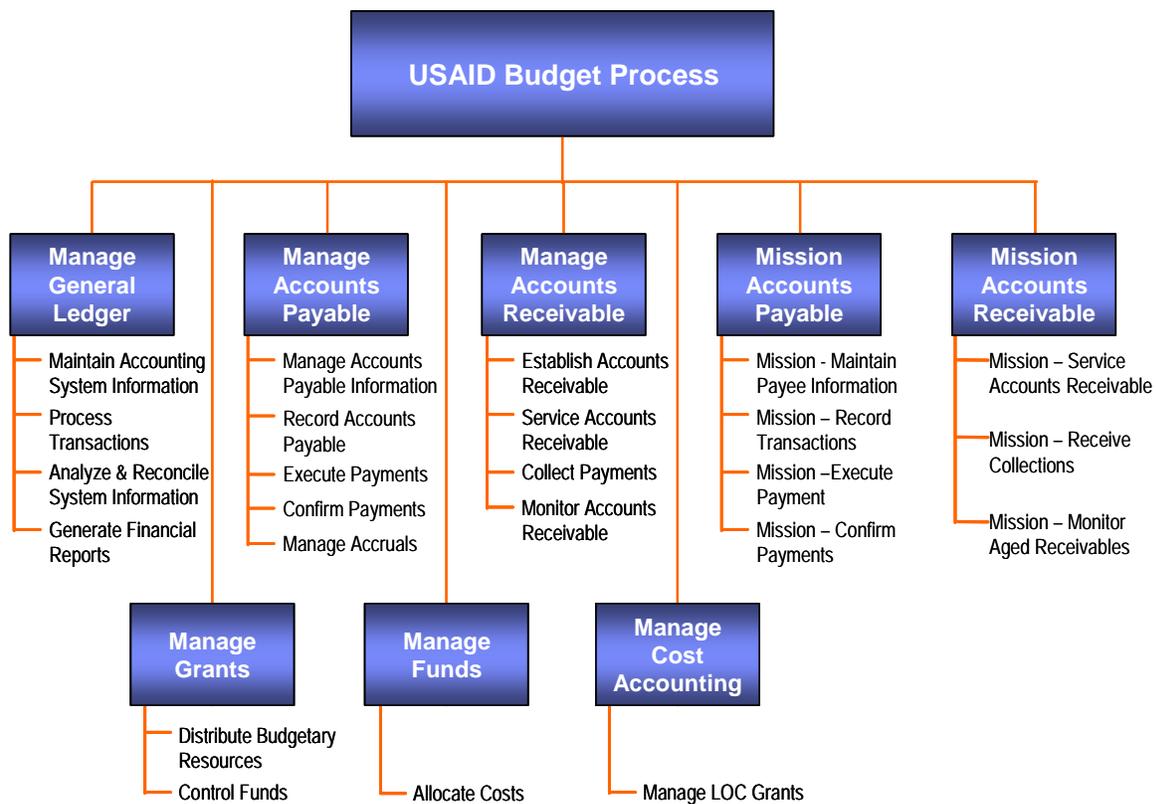
of global objectives. Once the operating unit objectives are determined, the budgeting process is used to determine the needed financial resources over the course of the planning period to support the operating unit programs. This strategic planning period is typically for seven years. Due to the burden of the strategic planning process at the pillar bureaus (where they review each mission strategic plan), the missions strategic planning processes are staggered over seven years. Therefore, in any one year, only about one seventh of the missions are updating and having their strategic plans being reviewed. As operating year budgets are approved and acquired through the annual budgeting process, the approved financial resources are managed by the operating units to support executing its programs. This activity ensures a good understanding of how financial resources are utilized, and ensures that sufficient financial resources be available to execute programs without interruption. This provides the means to effectively and efficiently execute USAID operating unit programs. As part of executing operating unit programs, metrics are collected and used to determine the effectiveness of programs in achieving local, regional, and global strategic objectives. From this understanding, USAID is able to manage global program areas in a manner that maximally utilizes the financial resources being provided by taxpayer.

To manage HIV/AIDS finances, USAID has a set of Financial Management processes, sub-processes, information items, and associated systems and information exchanges. These are described in the following section.

### 3. USAID HIV/AIDS As-Is Financial Management Business and Information Architecture

#### 3.1 Overview of Financial Management

The Financial Management Business Process area consists of eight (8) processes and twenty-three (24) sub-processes as illustrated in the following table. A detailed description for each sub-process is presented in the following pages. These include a high level functional description of the sub-process, a high level assessment of the sub-process, a summary of the information items and exchanges for the sub-process, the organizational units and roles associated with the sub-process, and the systems/applications/tools used to support the sub-process.



In February 2003 the BTEC published a set of customer service standards for the six USAID/Washington Management Bureau organizations. The standard defines responsibilities of and services provided by each of the major components of that M Bureau organization. The standard also defines specific performance parameters for each service provided. This provides an excellent foundation for a consistent set of performance standards across the Agency. Similar sets of customer service standards are currently being developed for the Pillar and Geographic Bureaus.

## 3.2 Financial Management Touch Points to the HIV/AIDS Program

### 3.2.1 Overall Integration with OHA

OHA performs two distinct and different roles with regard to HIV/AIDS related programs. In their primary role of Program Oversight (PO), they provide strategic planning support as well as budget, technical and best practices guidance to USAID Operating Units who include HIV/AIDS funds in their Strategic Objectives. On occasion OHA will also assume the role of an Operating Unit and use the Monitor Portfolio Execution (MPE) function to manage a Strategic Objective that affects the entire HIV/AIDS community. In performing its PO and MPE functions, OHA is supported by financial management business processes in funds management, accounts payable, and grants management. The key touch points between the Office of Financial Management (M/FM) and the Office of HIV/AIDS (OHA) occur in the PO *Program Monitoring* and MPE *Achieve* business processes. The key touch points between M/FM and OHA PO and MPE are discussed below.

### 3.2.2 Touch Points with OHA Program Oversight

Under the Program Oversight (PO) business process area, OHA is responsible for managing the HIV/AIDS program which includes oversight of four business processes *Budgeting*, *Strategic Planning*, *Program Monitoring*, and *Knowledge Creation*. The budgeting and strategic planning sub-processes include the formulation, distribution and coordination of HIV/AIDS budget and strategic planning guidance and submissions. Program monitoring includes the formulation, coordination, and distribution of program guidance, advising and consulting with projects on their HIV/AIDS activities and the consolidation of management reports. The knowledge creation business process entails analyzing HIV/AIDS program results, analyzing lessons learned, recommending revisions to strategies, and collecting and disseminating HIV/AIDS knowledge.

M/FM provides crucial support to the execution of the HIV/AIDS programs. M/FM coordinates with the Bureau for Policy and Program Coordination (PPC) to support the creation of earmark fund codes, such as HIV/AIDS fund codes, which facilitate the tracking and reporting of funds and provides access to transactional information that allows OHA to manage the *Program Monitoring* business process.

OHA's Program Oversight (OHA PO) business process area has a key touch point with the Office of Financial Management (M/FM) in the *Manage Funds* business process under the *distributing budgetary resources* business sub-process. The interface between OHA PO and FM takes place in OHA PO's program monitoring. In support of this sub-process, FM facilitates the recording and distribution of HIV/AIDS funding resources to bureaus and activities and supports the establishment of budgetary limitations at each of these levels, which are generally used for internal management purposes. M/FM also provides OHA PO, via the Global Health (GH) bureau, with financial performance status information, validation of the accounting classification structure, which enables the aggregation, distribution, tracking, controlling and reporting of funds authorized at various funding levels, updates to fund accounts and the standard general ledger (SGL), and monitoring of all HIV/AIDS funding resources that increase or decrease the funds that are available for incurring financial obligations.

### 3.2.3 Touch Points with OHA Manage Portfolio Execution

The Manage Portfolio Execution (MPE) business process area encompasses the procedures and methods used by USAID and OHA as they design programs to achieve development results. A dynamic cycle of management functions prescribes the fundamental activities of planning, achieving and assessing & learning.

*Planning* is the process to identifying appropriate results; developing approaches to reach them; assigning needed resources; organizing resources to achieve; and identifying the means to measure progress.

*Achieving* includes supporting implementing partners to achieve results; monitoring quality and timeliness of key outputs; managing OHA program resources and requesting funds; performing funds control, payment, and obligations management; and closing out Strategic Objectives and obligating instruments.

The tools of *Assessing & Learning* are unified through the concept of performance management, defined as the systematic process of monitoring the results of activities; collecting and analyzing performance information to track progress toward planned results; using performance information to influence program decision making; and communicating to advance organizational learning and tell the OHA story.

Overall, this approach is designed to promote clarity in defining objectives and provide flexibility in selecting and implementing the activities to achieve them.

M/FM supports the operating units' execution of HIV/AIDS activities by distributing funds and developing and implementing policies and procedures that enable operating units to manage funds, access transactional information, and process payments. OHA's Manage Portfolio Execution (OHA MPE) business process area has key touch points with the Office of Financial Management (M/FM) in three of the 8 M/FM business processes: *Manage Funds*, *Manage Accounts Payable (AP)*, and *Manage Grants*.

#### Manage Funds

FM's *distribute budgetary resources* and *control funds* sub-processes have a primary touch point with MPE's *Achieve* business process. In support of the *Achieve* process, FM facilitates the recording and distribution of HIV/AIDS funding resources, validates updates to the accounting classification structure, updates the fund accounts and standard general ledger (SGL) to reflect the current status of funds, monitors all HIV/AIDS funding resources/activities that impact availability of funds, and provides financial management guidance, through policies and procedures, for processing transactions. Moreover, under the *control funds* sub-process, operating units record commitments/decommitments, obligations/deobligations, sub-commitments, and sub-obligations in the Washington financial management system Phoenix or in the field accounting system Mission Accounting and Control System (MACS).

#### Manage Accounts Payable

FM and MPE's interface in the *manage accounts payable information and record accounts payable* business sub-processes under the MPE's *Achieve* business process. Operating units

contract with vendors/non letter of credit (LOC) grantees for goods and or services and vendor/non LOC grantees send their invoices to M/FM for processing and payment. In support of the *Achieve* business process, M/FM manages the accounts payable information such as vendor/non LOC grantee name, address, bank, and tax information, records and tracks invoices, and when appropriate coordinates payment approval with the Cognizant Technical Officers (CTOs); all of these actions facilitate the prompt payment of invoices and support the continued availability of services for HIV/AIDS activities.

### Manage Grants

FM and MPE also interface under the *Manage Grants* business process, in the *manage Letter of Credit (LOC) grants* sub-process under MPE's *Achieve*. In order to establish grants in the Department of Health and Human Services (DHHS) Payment Management System (PMS), per USAID cross-servicing agreement with DHHS, M/FM must receive a copy of the grant award from the designated grant authority, such as an operating unit. When the established process is not adequately followed, M/FM coordinates with the granting authority to obtain the proper award documentation. In addition, M/FM also manages and interfaces the grant transaction data to the financial management system which enables operating units to monitor their grants' financial activity.

### 3.3 Manage General Ledger

#### 3.3.1 Maintain Accounting System Information

##### 3.3.1.1 Sub-Process Details

General Sub-Process Information	
<b>Sub-Process Description</b>	Update Standard General Ledger (SGL) accounts and USAID-specific sub accounts. Update standard transaction codes. Maintain the accounting events table, the accounting classification structure, recurring entries, and monthly accruals. The system tracks changes made to any tables and maintains the integrity of the financial transactions. Limited access is provided to authorized users for table update. Changes to accounting system information are triggered by US Treasury notifications or USAID management decisions are executed by the Office of Financial Management in USAID/W.
<b>FEA BRM v2.0 Subfunction</b>	Management of Government Resources/Financial Management/Account Management of Government Resources/Financial Management/Reporting and Information
<b>Assessment</b>	Fund IDs are recorded in the GL and each fund ID is recorded at the Treasury Symbol level. Treasury assigns the Treasury symbols and the GL accounts are standards across the Federal government.

Who's doing the sub-process? (Business Units and roles)		
<p><b>"Owns"</b> – Provides high level guidance, directs overall effort for completing sub-process, is measured by and ultimately responsible for results.</p> <p><b>"Executes"</b> – Manages day-to-day activities of the sub-process and is responsible for the quality and timeliness of completing the tasks of the sub-process.</p> <p><b>"Participates"</b> – Performs day-to-day activities and contributes to the execution of tasks of the sub-process.</p> <p><b>"Advises"</b> – Plays a consultative role to the supported business unit in the execution of the sub-process.</p>		
Business Unit	Role	Execution Frequency
M/FM	Owns	Daily, weekly, monthly

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Financial Management	USAID/W

##### 3.3.1.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
ACS	Financial information that updates Agency account records. Includes the results of posting appropriations, transaction data resulting associated with financial events, and account balance rollover associated with periodic account closing. Audit trails are generated for all account updates. Note that in the as-is financial management architecture, account updates from missions are posted to the general ledger via the MACS Auxiliary Ledger (MAL) in USAID/W. The MAL serves as a collection point.		ORG: Program Operations

Name	Description	Received From	Sends To
Grant Award Authorization Information	Current information regarding grantee is provided to the DHHS to authorize payments to letter of credit (LOC) recipients. Information includes award and payee identifiers, type of instrument, key award dates, and supporting accounting data. Currently the Office of Financial Management (M/FM) in Washington enters this information for all types of grants (mission and USAID/W).		ORG: DHHS
Loan Obligation Information	Information on loans to be serviced by the USAID loan servicing contractor. Note: The current servicing contractor is Riggs Bank. USAID provides Riggs with current loan award information through manual data exchange. The program office that made the loan sends a hard copy of the loan agreement. In addition, USAID makes electronic funds transfer to Riggs when necessary as advances to cover anticipated defaults on guaranteed loans.		ORG: Riggs Bank
Updated Account Structure and Table	New or modified general ledger accounts and sub-accounts, updated accounting transaction tables, updated ACS, updated exchange rate table, etc.		DS: General Ledger

### 3.3.1.3 Supporting Systems / Applications / Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p><b>“System”</b> - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p><b>“Tool”</b> - A purpose-built application designed for decision making, reporting, or mitigating gaps in corporate system functionality.</p>		
Name/Acronym	Type	Description
Phoenix	System	Phoenix is used for processing Agency transactions in the areas of general ledger, budget execution/funds control, accounts payable, disbursements, accounts receivable, loan management/credit, and cost allocation. Phoenix is also being used as the Agency tool for estimating accruals.
DHHS Interface	System	USAID has entered into a cross-servicing agreement with DHHS for transactions related to USAID-issued Letter of Credit (LOC) grants. USAID enters grant award information into the DHHS PMS system via the Internet. DHHS disburses funds to grantees, monitors expenses on behalf of USAID, and provides advance and expenditure data to USAID via an automated interface to Phoenix
Riggs Interface	System	USAID outsources its loan servicing of USAID’s credit program portfolio to Riggs Bank. USAID automated the general ledger interface between Riggs Bank and Phoenix. The interface is performed using a batch process, with ASCII flat-file data originating from Riggs.
MAL	System	The MAL is a custom-developed central repository and staging area that was developed to aggregate MACS data. Each month, MACS transaction-level data is extracted to an ASCII text file and submitted to USAID/W. USAID loads the file into the MAL, which summarizes transactional data, and then creates a second file that is posted to Phoenix via a custom-developed batch process.

## 3.3.1.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

## 3.3.2 Process Transactions

## 3.3.2.1 Sub-Process Details

General Sub-Process Information	
<b>Sub-Process Description</b>	Record all transactions and post them to the general ledger. Perform periodic closing and archiving. Input includes manual vouchers, subsidiary ledger details, and information from interfacing systems. Processing transactions includes computing exchange gains and losses, recording accruals, and consolidating USAID/W and mission data to produce overall USAID financial reports. Note that in the as-is USAID financial management architecture, summaries of financial transactions made at missions are posted to the general ledger via the MACS Auxiliary Ledger (MAL) in USAID/W that serves as a collection point. The target architecture for this process has not been defined.
<b>FEA BRM v2.0 Sub function</b>	Management of Government Resources/Financial Management/Account Management of Government Resources/Financial Management/Reporting and Information
<b>Assessment</b>	Transactions are automatically posted to the GL. The M/FM/CAR/FCGL group makes manual corrections and adjustments when necessary.

Who's doing the sub-process? (Business Units and roles)		
<p><b>“Owns”</b> – Provides high level guidance, directs overall effort for completing sub-process, is measured by and ultimately responsible for results.</p> <p><b>“Executes”</b> – Manages day-to-day activities of the sub-process and is responsible for the quality and timeliness of completing the tasks of the sub-process.</p> <p><b>”Participates”</b> – Performs day-to-day activities and contributes to the execution of tasks of the sub-process.</p> <p><b>“Advises”</b> – Plays a consultative role to the supported business unit in the execution of the sub-process.</p>		
Business Unit	Role	Execution Frequency
M/FM	Owns	Daily, Weekly, Monthly

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Financial Management	USAID/W

### 3.3.2.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
LOC Grant Transaction	Information regarding advances made by DHHS to grantees and expenditures made by grantees. Advances are transferred monthly for general ledger entries. Expenditures are transferred twice monthly. Detailed transaction data include advances, expenditures, original obligations, adjustments to obligation, and beginning and end dates of the grants. Monthly weighted average of unliquidated balance across appropriations is provided. Grant closeout information included as required.	ORG: DHHS	
Credit Program Transaction	Data on a credit transaction serviced by the USAID loan servicing contractor. The contractor provides information monthly for non-collection transactions and weekly for collection transactions (currently an extract file from the Riggs M&I system is created containing the necessary loan transaction data: USAID imports the data into a journal voucher for posting to the general ledger). The loan servicing contractor also provides a daily Interface file containing collections data at transaction level (deposit with the Federal reserve).	ORG: Riggs Bank	
Payroll FM Data	Details Unavailable	ORG: Human Resources	
PSC Payroll Transactions	Obligation / disbursement information and change in leave balances for PSC employees serviced by the State Department USDO.	ORG: State Department USDO	
Approved Accruals	The CTO's approval of the amount to be accrued, corrected as necessary by the CTO.	ORG: Program Operations/ CTO	
Property Asset Tracking Data	The portion of acquisition cost that is attributed to the property asset. Acquisition cost is the cost of the property plus any transportation charges, handling and storage costs, labor and other direct or indirect costs (for goods produced or constructed), and outside services for design, plans, or specifications, billed from sources other than the vendor. (ADS, Chapter 534) initial value of asset + capitalized asset depreciation + inventory value + asset disposal	ORG: Business Support Services	
Standard Vouchers	Standard Voucher (SV), a record of customary accounting transactions and events such as budget adjustments, changes to the accounting distribution of previously recorded transaction, accruals, amortization, and depreciation.		
Journal Vouchers	Journal Voucher (JV), a record of nonstandard accounting transactions that do not correspond to pre-defined accounting events. JV's are only		

Name	Description	Received From	Sends To
	used for unique or infrequently occurring transactions such as audit adjustments, transactions that reclassify other transactions, and period-end adjustments.		
Mission Expense Accrual	A record of the budgetary and proprietary accounting transactions of a Mission. Currently reported to USAID/W by the mission quarterly via the U-101 report ("Budget Allowance Ledger Transactions and Reconciliation with Disbursing Officers Account.")	SP: Mission – Record Transaction	
Advice of Charge & Collection	Advisement of charges and collections communicated between two mission accounting stations and between mission accounting stations and Washington. Advice of charge refers to notification of a payment made in USAID/W or a mission accounting station on behalf of another accounting station. Advice of collection refers to receipts collected at USAID/W or a mission accounting station on behalf of another accounting station.	SP: Mission -Service Accounts Receivable	
Corrections	Correcting entries to financial data, for posting to the general ledger.		DS: General Ledger
Historical Financial Data	Financial data that has been archived and that is subject to US government schedule regulations regarding retention and disposal of official records.		Archive
Account Update	Financial information that updates Agency account records. Includes the results of posting appropriations, transaction data resulting associated with financial events, and account balance rollover associated with periodic account closing. Audit trails are generated for all account updates. Note that in the as-is financial management architecture, account updates from missions are posted to the general ledger via an auxiliary ledger in USAID/W that serves as a collection point.		DS: General Ledger
Amount to Be Accrued	A report of the amount to be accrued for an accounting period. An accrual is the value of the liabilities or expenses recognized during the period for goods and/or services received, but not yet disbursed (source: ADS 631).		ORG: Program Operations/ CTO

### 3.3.2.3 Supporting Systems / Applications / Tools

<b>Systems, Applications, and Tools Used to Support the Sub-Process</b>		
<p><b>“System”</b> - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p><b>“Tool”</b> - A purpose-built application designed for decision making, reporting, or mitigating gaps in corporate system functionality.</p>		
<b>Name/Acronym</b>	<b>Type</b>	<b>Description</b>
Phoenix	System	Phoenix is used for processing Agency transactions in the areas of general ledger, budget execution/funds control, accounts payable, disbursements, accounts receivable, loan management/credit, and cost allocation. Phoenix is also being used as the Agency tool for estimating accruals.
DHHS Interface	System	USAID has entered into a cross-servicing agreement with DHHS for transactions related to USAID-issued Letter of Credit (LOC) grants. USAID enters grant award information into the DHHS PMS system via the Internet. DHHS disburses funds to grantees, monitors expenses on behalf of USAID, and provides advance and expenditure data to USAID via an automated interface to Phoenix
Riggs Interface	System	USAID outsources its loan servicing of USAID’s credit program portfolio to Riggs Bank. USAID automated the general ledger interface between Riggs Bank and Phoenix. The interface is performed using a batch process, with ASCII flat-file data originating from Riggs.
MAL	System	The MAL is a custom-developed central repository and staging area that was developed to aggregate MACS data. Each month, MACS transaction-level data is extracted to an ASCII text file and submitted to USAID/W. USAID loads the file into the MAL, which summarizes transactional data, and then creates a second file that is posted to Phoenix via a custom-developed batch process.
NFC	System	USAID has cross-serviced its payroll operations to NFC. NFC provides USAID the accounting data necessary to update the Phoenix general ledger. Payroll data is summarized at the budget fiscal year/fund level and manually entered into Phoenix.
ARS	System	Accrual Reporting System is a web-based tool, called e-Focus, which is used for estimating accruals.

### 3.3.2.4 Services

<b>What services are currently defined to support this sub-process?</b>	
<b>Service Name</b>	<b>Description</b>
Not Currently Defined	

### 3.3.3 Analyze & Reconcile General Ledger

#### 3.3.3.1 Sub-Process Details

General Sub-Process Information	
<b>Sub-Process Description</b>	Analyze account balances to ensure that they are correct. Any balance abnormalities are researched, reconciliations are performed, and errors are corrected by authorized personnel. The system produces reports that compare subsidiary records and the related general ledger control accounts and annotates out of balance conditions. In addition, users analyze control accounts in the general ledger and correct any out of balance conditions between the Core Financial System and any interface systems, e.g., Payroll. The system maintains an audit trail of any corrections made either internal or external to the system.
<b>FEA BRM v2.0 Sub function</b>	Management of Government Resources/Financial Management/Account Management of Government Resources/Financial Management/Reporting and Information
<b>Assessment</b>	Corrections are made manually via standard or journal vouchers.

Who's doing the sub-process? (Business Units and roles)		
<p><b>“Owns”</b> – Provides high level guidance, directs overall effort for completing sub-process, is measured by and ultimately responsible for results.</p> <p><b>“Executes”</b> – Manages day-to-day activities of the sub-process and is responsible for the quality and timeliness of completing the tasks of the sub-process.</p> <p><b>”Participates”</b> – Performs day-to-day activities and contributes to the execution of tasks of the sub-process.</p> <p><b>“Advises”</b> – Plays a consultative role to the supported business unit in the execution of the sub-process.</p>		
Business Unit	Role	Execution Frequency
M/FM	Owns	Daily, Weekly, Monthly

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Financial Management	USAID/W

#### 3.3.3.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Account Balances, Transaction Details	Funding levels within the Agency account structure, including trial balances and general ledger details. Accounting details associated with the posting of information from a financial event to the general ledger, including accounting transaction codes, object codes, etc	DS: General Ledger	
Corrections	Correcting entries to financial data, for posting to the general ledger.		SP: Process Transactions

### 3.3.3.3 Supporting Systems / Applications / Tools

<b>Systems, Applications, and Tools Used to Support the Sub-Process</b>		
<p><b>“System”</b> - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p><b>“Tool”</b> - A purpose-built application designed for decision making, reporting, or mitigating gaps in corporate system functionality.</p>		
<b>Name/Acronym</b>	<b>Type</b>	<b>Description</b>
Phoenix	System	Phoenix is used for processing Agency transactions in the areas of general ledger, budget execution/funds control, accounts payable, disbursements, accounts receivable, loan management/credit, and cost allocation. Phoenix is also being used as the Agency tool for estimating accruals.
DHHS Interface	System	USAID has entered into a cross-servicing agreement with DHHS for transactions related to USAID-issued Letter of Credit (LOC) grants. USAID enters grant award information into the DHHS PMS system via the Internet. DHHS disburses funds to grantees, monitors expenses on behalf of USAID, and provides advance and expenditure data to USAID via an automated interface to Phoenix
Riggs Interface	System	USAID outsources its loan servicing of USAID’s credit program portfolio to Riggs Bank. USAID automated the general ledger interface between Riggs Bank and Phoenix. The interface is performed using a batch process, with ASCII flat-file data originating from Riggs.
MAL	System	The MAL is a custom-developed central repository and staging area that was developed to aggregate MACS data. Each month, MACS transaction-level data is extracted to an ASCII text file and submitted to USAID/W. USAID loads the file into the MAL, which summarizes transactional data, and then creates a second file that is posted to Phoenix via a custom-developed batch process.
NFC	System	USAID has cross-serviced its payroll operations to NFC. NFC provides USAID the accounting data necessary to update the Phoenix general ledger. Payroll data is summarized at the budget fiscal year/fund level and manually entered into Phoenix.
ARS	System	Accrual Reporting System is a web-based tool, called e-Focus, which is used for estimating accruals.

### 3.3.3.4 Services

<b>What services are currently defined to support this sub-process?</b>	
<b>Service Name</b>	<b>Description</b>
Not Currently Defined	

### 3.3.4 Generate Financial Reports

#### 3.3.4.1 Sub-Process Details

General Sub-Process Information	
<b>Sub-Process Description</b>	Generate internal and external Agency financial reports on a daily, weekly, monthly, annual, or ad-hoc basis.
<b>FEA BRM v2.0 Sub function</b>	Management of Government Resources/Financial Management/Account Management of Government Resources/Financial Management/Reporting and Information
<b>Assessment</b>	Financial Statement reports are generated on a quarterly basis.

Who's doing the sub-process? (Business Units and roles)		
<p><b>"Owns"</b> – Provides high level guidance, directs overall effort for completing sub-process, is measured by and ultimately responsible for results.</p> <p><b>"Executes"</b> – Manages day-to-day activities of the sub-process and is responsible for the quality and timeliness of completing the tasks of the sub-process.</p> <p><b>"Participates"</b> – Performs day-to-day activities and contributes to the execution of tasks of the sub-process.</p> <p><b>"Advises"</b> – Plays a consultative role to the supported business unit in the execution of the sub-process.</p>		
Business Unit	Role	Execution Frequency
M/FM	Owns	Daily, Weekly, Monthly

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Financial Management	USAID/W

#### 3.3.4.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Account Balances, Transaction Details	Funding levels within the Agency account structure, including trial balances and general ledger details. Accounting details associated with the posting of information from a financial event to the general ledger, including accounting transaction codes, object codes, etc	DS: General Ledger	
Agency Financial Reports	Agency internal reports (e.g., trial balances, general ledger details, transaction details) and financial reports delivered to external organizations such as the US Treasury. Major reports include 1) Monthly Statement of Transactions (SF 224), 2) Quarterly Report of Budget Execution(SF 133), 3) Year-End Closing Statement (FMS 2108), 4) Federal Agencies Centralized Trial Balance I (FACTS I - Proprietary Account Trial Balance), 5) Federal Agencies Centralized Trial Balance II (FACTS II - Budgetary Account Trial Balance), 7) Treasury Report on Receivables (TROR), 8) Reports on Guaranteed Loans		ORG: Treasury, Mission Controllers, and Bureaus/Offices

Name	Description	Received From	Sends To
	(SF 220-8), and 9) Accounts Receivable Due from the Public (Schedule 9). Also includes ad hoc reports and reports created in Crystal Enterprise and Business Objects.		
Property Asset Accounting Data	The portion of acquisition cost that is attributed to the property asset. Acquisition cost is the cost of the property plus any transportation charges, handling and storage costs, labor and other direct or indirect costs (for goods produced or constructed), and outside services for design, plans, or specifications, billed from sources other than the vendor. (ADS, Chapter 534)		ORG: Business Support Services

### 3.3.4.3 Supporting Systems / Applications / Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p><b>“System”</b> - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p><b>“Tool”</b> - A purpose-built application designed for decision making, reporting, or mitigating gaps in corporate system functionality.</p>		
Name/Acronym	Type	Description
Phoenix	System	Phoenix is used for processing Agency transactions in the areas of general ledger, budget execution/funds control, accounts payable, disbursements, accounts receivable, loan management/credit, and cost allocation. Phoenix is also being used as the Agency tool for estimating accruals.
DHHS Interface	System	USAID has entered into a cross-servicing agreement with DHHS for transactions related to USAID-issued Letter of Credit (LOC) grants. USAID enters grant award information into the DHHS PMS system via the Internet. DHHS disburses funds to grantees, monitors expenses on behalf of USAID, and provides advance and expenditure data to USAID via an automated interface to Phoenix
Riggs Interface	System	USAID out sources its loan servicing of USAID’s credit program portfolio to Riggs Bank. USAID automated the general ledger interface between Riggs Bank and Phoenix. The interface is performed using a batch process, with ASCII flat-file data originating from Riggs.
MAL	System	The MAL is a custom-developed central repository and staging area that was developed to aggregate MACS data. Each month, MACS transaction-level data is extracted to an ASCII text file and submitted to USAID/W. USAID loads the file into the MAL, which summarizes transactional data, and then creates a second file that is posted to Phoenix via a custom-developed batch process.
NFC	System	USAID has cross-serviced its payroll operations to NFC. NFC provides USAID the accounting data necessary to update the Phoenix general ledger. Payroll data is summarized at the budget fiscal year/fund level and manually entered into Phoenix.
ARS (Accrual Reporting System)	System	Accrual Reporting System is a web-based tool, called e-Focus, which is used for estimating accruals.

<b>Systems, Applications, and Tools Used to Support the Sub-Process</b>		
<p><b>“System”</b> - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p><b>“Tool”</b> - A purpose-built application designed for decision making, reporting, or mitigating gaps in corporate system functionality.</p>		
<b>Name/Acronym</b>	<b>Type</b>	<b>Description</b>
Treasury Interface	Tool	USAID implemented Connect:Direct as the method for sending disbursement information to Treasury. The program copies and transmits the data to Treasury for payment and a notification of receipt is then transmitted and processed for confirmation. Summary data is then entered into the Treasury Electronic Certification System (ECS) system.
Business Objects	Tool	Business Objects supports ad-hoc financial reporting.
Crystal Enterprise	Tool	Crystal Enterprise is now being used as the standard Agency reporting tool.

#### 3.3.4.4 Services

<b>What services are currently defined to support this sub-process?</b>	
<b>Service Name</b>	<b>Description</b>
Not Currently Defined	

### 3.4 Manage Funds

#### 3.4.1 Distribute Budgetary Resources

##### 3.4.1.1 Sub-Process Details

General Sub-Process Information	
<b>Sub-Process Description</b>	Ensure that the Agency does not obligate or disburse funds in excess of those appropriated by Congress and apportioned by the OMB. (source: JFMIP)
<b>FEA BRM v2.0 Sub function</b>	Management of Government Resources/Budget and Finance Support Delivery of Services/Planning and Resource Allocation/Budget Execution
<b>Assessment</b>	<p>Funds Control does not have a standardized process for creating fund codes. Currently there are 1700 fund accounts. Only special projects, such as HIV/AIDS, are specially coded in the Phoenix Funds Maintenance table.</p> <p>M/FM supports the OHA PO and MPE business processes by recording and distributing funding resources and establishing budgetary limitations at each funding level. This sub-process involves recording budgetary resources, posting apportionments, posting allotments, and posting allowances are crucial milestones that must met before HIV/AIDS funds can be used.</p>

Who's doing the sub-process? (Business Units and roles)		
<p><b>"Owns"</b> – Provides high level guidance, directs overall effort for completing sub-process, is measured by and ultimately responsible for results.</p> <p><b>"Executes"</b> – Manages day-to-day activities of the sub-process and is responsible for the quality and timeliness of completing the tasks of the sub-process.</p> <p><b>"Participates"</b> – Performs day-to-day activities and contributes to the execution of tasks of the sub-process.</p> <p><b>"Advises"</b> – Plays a consultative role to the supported business unit in the execution of the sub-process.</p>		
Business Unit	Role	Execution Frequency
M/FM	Owns	Daily, Weekly, Monthly

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Financial Management	USAID/W

##### 3.4.1.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Treasury Warrant	Official document issued by the Secretary of the Treasury that establishes the amount of monies authorized to be withdrawn from the central accounts that Treasury maintains	ORG: Treasury	
Budget Allowance for Trust Funds	The amount of funding held by a mission in local currency trust funds, as specified in memoranda of understanding with the host country government.	BPA: Budgeting	
OYB Distribution data	Information enabling authorized officials throughout the Agency to obligate funds according to the Operating Year Budget	BPA: Budgeting	

Name	Description	Received From	Sends To
	(OYB). OYB distribution data include: Strategic Objective (and activity) definition and code, sources of funds codes, restrictions and constraints, dollar amount, date and period of validity.		
Trust Funds Reports	Status of LCTF activity sent to USAID/W and the host country government through regular summary reports. For the host country, the reports depend on local regulations and the requirements of the trust fund agreement. For USAID/W, the reports include the Status of Cash Report - Foreign Currency Trust Fund (MACS, U-111 or U-109) and the Summary of Allotment Ledger Transactions Reconciliations with Disbursing Officer's Accounts (MACS, U-106). In USAID/W (M/FM) consolidates these reports and transmits them through the Department of State to the Treasury.	BPA: Budgeting	
International Cooperative Administrative Support Services (ICASS) Cost Distribution	Determination by USAID/W of ICASS cost attributable to USAID bureaus and operating units.	BPA: Budgeting	
SO Activity Structure	The structure of the activity package that will be used to collect costs for the work performed toward the strategic objective; essentially the work breakdown structure mapped to the accounting structure.	ORG: Program Operations	
Account Update	Financial information that updates Agency account records. Includes the results of posting appropriations, transaction data resulting associated with financial events, and account balance rollover associated with periodic account closing. Audit trails are generated for all account updates. Note that in the as-is financial management architecture, account updates from missions are posted to the general ledger via the MACS Auxiliary Ledger in USAID/W that serves as a collection point.		DS: General Ledger
Budgetary Resources	Funding that has been appropriated to the Agency, apportioned by OMB, and allowed to bureaus and offices for obligation. Includes program and operating expense funding.		
Notification of Allowance	Notice that apportioned funding has been posted to the Agency's general ledger for obligation by bureaus and offices. If funding has been allocated to another Agency, the receiving Agency is notified.		ORG: Bureau/Office Other USG Agency

### 3.4.1.3 Supporting Systems / Applications / Tools

<b>Systems, Applications, and Tools Used to Support the Sub-Process</b>		
<p><b>“System”</b> - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p><b>“Tool”</b> - A purpose-built application designed for decision making, reporting, or mitigating gaps in corporate system functionality.</p>		
<b>Name/Acronym</b>	<b>Type</b>	<b>Description</b>
Phoenix	System	Phoenix is used for processing Agency transactions in the areas of general ledger, budget execution/funds control, accounts payable, disbursements, accounts receivable, loan management/credit, and cost allocation. Phoenix is also being used as the Agency tool for estimating accruals.
MAL	System	The MAL is a custom-developed central repository and staging area that was developed to aggregate MACS data. Each month, MACS transaction-level data is extracted to an ASCII text file and submitted to USAID/W. USAID loads the file into the MAL, which summarizes transactional data, and then creates a second file that is posted to Phoenix via a custom-developed batch process.

### 3.4.1.4 Services

<b>What services are currently defined to support this sub-process?</b>	
<b>Service Name</b>	<b>Description</b>
Not Currently Defined	

## 3.4.2 Control Funds

### 3.4.2.1 Sub-Process Details

General Sub-Process Information	
<b>Sub-Process Description</b>	Record commitments/de-commitments and obligations/de-obligations, as well as sub-commitments and sub-obligations. Provides the ability to perform analysis if funds cannot be committed or obligated and allow an authorized user to obtain reports and on-line queries regarding funds distribution and control.
<b>FEA BRM v2.0 Sub function</b>	Management of Government Resources/Financial Management/Budget and Finance Support Delivery of Services/Planning and Resource Allocation/Budget Execution
<b>Assessment</b>	<p>The Flash by Obligations and the Pipeline reports are produced through Crystal Enterprise (CE) and are used to track expenditure and obligations. Fund account facilitates the tracking and monitoring all financial activities.</p> <p>M/FM supports the OHA MPE business processes by updating fund accounts and the standard general ledger (SGL) to reflect the current status of funds and monitoring all HIV/AIDS funding resources/activities that impact availability of funds.</p>

Who's doing the sub-process? (Business Units and roles)		
<p><b>"Owns"</b> – Provides high level guidance, directs overall effort for completing sub-process, is measured by and ultimately responsible for results.</p> <p><b>"Executes"</b> – Manages day-to-day activities of the sub-process and is responsible for the quality and timeliness of completing the tasks of the sub-process.</p> <p><b>"Participates"</b> – Performs day-to-day activities and contributes to the execution of tasks of the sub-process.</p> <p><b>"Advises"</b> – Plays a consultative role to the supported business unit in the execution of the sub-process.</p>		
Business Unit	Role	Execution Frequency
M/FM	Owns	Daily, Weekly, Monthly

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Financial Management	USAID/W

### 3.4.2.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Procurement Document	Commitment document + decommitment document + obligation document + deobligation document	BPA: A&A & ORG: Business Support Services	
Financial Performance Status	Actual financial information reflecting all Agency transactions (events that change USAID financial position). Actual amounts available, committed, obligated, and expended reflecting all transactions at all accounting classification system (ACS) levels. This data may be for the current year or any prior year, as requested.		BPA: A&A & ORG: Business Support Services & ORG: Program Operations

Name	Description	Received From	Sends To
Account Update, Procurement Transactions	Financial information that updates Agency account records. Includes the results of posting appropriations, transaction data resulting associated with financial events, and account balance rollover associated with periodic account closing. Audit trails are generated for all account updates. Note that in the as-is financial management architecture, account updates from missions are posted to the general ledger via an auxiliary ledger in USAID/W that serves as a collection point. Financial transactions associated with a procurement document that have been validated and approved for posting to the general ledger. It includes commitment / decommitment, obligation /deobligation, sub-commitment/ decommitment, sub-obligation/deobligation.		DS: General Ledger

### 3.4.2.3 Supporting Systems / Applications / Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p>“<b>System</b>” - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p>		
<p>“<b>Tool</b>” - A purpose-built application designed for decision making, reporting, or mitigating gaps in corporate system functionality.</p>		
Name/Acronym	Type	Description
Phoenix	System	Phoenix is used for processing Agency transactions in the areas of general ledger, budget execution/funds control, accounts payable, disbursements, accounts receivable, loan management/credit, and cost allocation. Phoenix is also being used as the Agency tool for estimating accruals.
MAL	System	The MAL is a custom-developed central repository and staging area that was developed to aggregate MACS data. Each month, MACS transaction-level data is extracted to an ASCII text file and submitted to USAID/W. USAID loads the file into the MAL, which summarizes transactional data, and then creates a second file that is posted to Phoenix via a custom-developed batch process.

### 3.4.2.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

### 3.5 Manage Accounts Payable

#### 3.5.1 Manage Accounts Payable Information

##### 3.5.1.1 Sub-Process Details

General Sub-Process Information	
<b>Sub-Process Description</b>	Maintain payee information including payee name, vendor number, 1099 flag, Tax Identification Number (TIN), address, bank information, vendor type, third party information, and other vendor information, e.g. past performance. Information required to process 1099s to include Treasury requirements is included in this process.
<b>FEA BRM v2.0 Sub function</b>	Management of Government Resources/Financial Management/Accounting Management of Government Resources/Financial Management/Reporting and Information Management of Government Resources/Financial Management/Payments
<b>Assessment</b>	<p>Non LOC grants are process like commercial invoices with the following exceptions</p> <p>Grantees submit their payment claims on the Standard Form (SF) 270</p> <p>Some grantees may receive advances if this is part of their grant agreement. Advances are also recorded on the SF 270</p> <p>If the grantee can receive advances, M/FM/CMP will automatically pay the advance but the grantee is required to submit the SF269 in order to liquidate the advance.</p> <p>This sub-process indirectly supports the MPE's Acheive business sub-process by maintaining crucial vendor information that facilitates the prompt payment of invoices and supports the continued availability of vendor services/goods for HIV/AIDS activities.</p>

Who's doing the sub-process? (Business Units and roles)		
<p>"Owns" – Provides high level guidance, directs overall effort for completing sub-process, is measured by and ultimately responsible for results.</p> <p>"Executes" – Manages day-to-day activities of the sub-process and is responsible for the quality and timeliness of completing the tasks of the sub-process.</p> <p>"Participates" – Performs day-to-day activities and contributes to the execution of tasks of the sub-process.</p> <p>"Advises" – Plays a consultative role to the supported business unit in the execution of the sub-process.</p>		
Business Unit	Role	Execution Frequency
M/FM	Owns	Daily, Weekly, Monthly

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Financial Management	USAID/W

### 3.5.1.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Vendor Information	Vendor information includes: vendor ID, vendor name, address (es), phone numbers, bank account(s) and electronic fund transfer information, other required information for advertising, disbursement, and reporting.	BPA: A&A	BPA: A&A
Vendor Information	Vendor information includes: vendor ID, vendor name, address(es), phone numbers, bank account(s) and electronic fund transfer information, other required information for advertising, disbursement, and reporting.	ORG: Vendor	
Closeout Notification	Notification to the Agency's financial management business area that a given award has been fully closed out and that no more financial activity against it is to be forthcoming.	BPA: A&A	
Accounts Receivable 1099 Information	Tax information associated with delinquent debts.	SP: Manage Receipts	
ICASS Service Bill	Notification of the receipt a bill of a given amount for services that the Agency has used under an ICASS agreement.		BPA: Budgeting
Account Payable Information	Information required to process individual payments and recurring payments. Required information includes payee information, banking information, and tax information.		SP: Record Accounts Payable
IRS 1099 Data	Data, including taxpayer identification number (TIN) and payee type and amounts, transferred to the US Treasury for the generation of vendor 1099 forms.		ORG: Treasury Department

### 3.5.1.3 Supporting Systems / Applications / Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p><b>“System”</b> - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p><b>“Tool”</b> - A purpose-built application designed for decision making, reporting, or mitigating gaps in corporate system functionality.</p>		
Name/Acronym	Type	Description
Phoenix	System	Phoenix is used for processing Agency transactions in the areas of general ledger, budget execution/funds control, accounts payable, disbursements, accounts receivable, loan management/credit, and cost allocation. Phoenix is also being used as the Agency tool for estimating accruals.

<b>Systems, Applications, and Tools Used to Support the Sub-Process</b>		
<p><b>“System”</b> - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p><b>“Tool”</b> - A purpose-built application designed for decision making, reporting, or mitigating gaps in corporate system functionality.</p>		
<b>Name/Acronym</b>	<b>Type</b>	<b>Description</b>
A&A Interface	System	The majority of purchases are done in A&A, the only remaining module of the NMS. This interface allows the Agency to record A&A large awards and small purchases, commit and obligate funds for these awards, and report on the current financial position from the Agency’s core financial system. The Interface transfers commitments from Phoenix to A&A via a nightly batch process and interfaces A&A obligation to Phoenix in “real-time”. A&A information is also interfaced from A&A to ProDoc, which is a contract-writing system that generates solicitation and award documents and captures Federal procurement data.
Treasury Interface	System	USAID implemented Connect:Direct as the method for sending disbursement information to Treasury. The program copies and transmits the data to Treasury for payment and a notification of receipt is then transmitted and processed for confirmation.

#### 3.5.1.4 Services

<b>What services are currently defined to support this sub-process?</b>	
<b>Service Name</b>	<b>Description</b>
Not Currently Defined	

### 3.5.2 Record Accounts Payable

#### 3.5.2.1 Sub-Process Details

General Sub-Process Information	
<b>Sub-Process Description</b>	Register accounts payable document, approve invoices administratively, compute disbursements and periodic accruals, and schedule payments. If the invoice requires administrative approval, it is forwarded electronically to the CTO. Final invoices are sent to Procurement. Document matching is performed automatically within the system based on the electronic invoice received. Travel Management: users enter expenses into the Travel Manager system and transactions are interfaced with the Core Financial Management System. Automatic recurring payments: disbursed using Treasury's Prime Pay system; detailed entries to USAID via an upload from GOALS. All other systems such as Payroll, intra-governmental credit card, IPAC, PSC and cashier transactions, etc. are also interfaced with the Core Financial Management System to record and update transaction entries automatically. The DHHS Letter of Credit (LOC) System and M & I Loans System transactions are interfaced with Accounts Payable for purposes of preparing the SF224 report.
<b>FEA BRM v2.0 Sub function</b>	Management of Government Resources/Financial Management/Accounting Management of Government Resources/Financial Management/Reporting and Information  Management of Government Resources/Financial Management/Payments Management of Government Resources/Financial Management/Budget and Finance
<b>Assessment</b>	Invoices are paper based except for City Bank which is automatically paid through the Phoenix credit card module. USAID has 30 days to pay commercial invoices. A document control processes is in place to track the invoice approval process.  Non LOC grants are process like commercial invoices with the following exceptions Grantees submit their payment claims on the Standard Form (SF) 270  Some grantees may receive advances if this is part of their grant agreement. Advances are also recorded on the SF 270  If the grantee can receive advances, M/FM/CMP will automatically pay the advance but the grantee is required to submit the SF269 in order to liquidate the advance.  This sub-process indirectly supports the MPE's Acheive business sub-process by facilitating the prompt payment of invoices and enabling vendor to continue supporting HIV/AIDS activities

Who's doing the sub-process? (Business Units and roles)		
<p><b>"Owns"</b> – Provides high level guidance, directs overall effort for completing sub-process, is measured by and ultimately responsible for results.</p> <p><b>"Executes"</b> – Manages day-to-day activities of the sub-process and is responsible for the quality and timeliness of completing the tasks of the sub-process.</p> <p><b>"Participates"</b> – Performs day-to-day activities and contributes to the execution of tasks of the sub-process.</p> <p><b>"Advises"</b> – Plays a consultative role to the supported business unit in the execution of the sub-process.</p>		
Business Unit	Role	Execution Frequency
M/FM	Owns	Daily, Weekly, Monthly

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Financial Management	USAID/W

## 3.5.2.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Accounts Payable Information	Information required to process individual payments and recurring payments. Required information includes payee information, banking information, and tax information.	SP: Maintain Accounts Payable Information	
Payment Authorization	The CTO's (or authorizing officer's) notification to the FM office as to the goods or services that have been received and providing the administrative approval for payment to vendor. It includes the following data: Obligation number (or voucher number), Vendor ID, Dollar amount, Date.	BPA: A&A	
Notification of Receipt	A record documenting that ordered materials were received. This may require the information in the event of a multiple-part shipment, or a handwritten notation on the acquisition document, where the order is received in a single shipment. Receiving reports are in English, indicate item cost in U.S. currency, and have any damage or discrepancies noted. Report may include owner of item, procurement document number, receiving report number and date, and method of acquisition.	ORG: Business Support Services	
Credit Card Transaction	Financial transaction made by a USAID employee via USAID corporate credit card.	ORG: Financial Institution	
Vendor Invoice	Statement from vendor identifying goods and/or services delivered to USAID and payment required.	ORG: Vendor	
Vendor Invoice	Statement from vendor identifying goods and/or services delivered to USAID and payment required. May be provided hardcopy; hardcopy receipts are imaged to record the invoice electronically.		Cognizant Technical Officer
Account Update	Financial information that updates Agency account records. Includes the results of posting appropriations, transaction data resulting associated with financial events, and account balance rollover associated with periodic account closing. Audit trails are generated for all account updates. Note that in the as-is financial management architecture, account updates from missions are posted to the general ledger via an auxiliary ledger in USAID/W that serves as a collection point.		DS: General Ledger
Accounts Payable	Financial system document that contains the information from the vendor invoice and establishes the basis for making a disbursement. Invoices requiring administrative approval require payment authorization from the CTO through the A&A business area. Invoices for goods acquired by USAID require notification matching of receipt from the property management system (see BSS business area).		SP: Execute Payment
Scheduled Payment	A disbursement that has been calculated and scheduled for payment pending certification by an authorized USAID certifying officer.		SP: Execute Payment

### 3.5.2.3 Supporting Systems / Applications / Tools

<b>Systems, Applications, and Tools Used to Support the Sub-Process</b>		
<p><b>“System”</b> - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p><b>“Tool”</b> - A purpose-built application designed for decision making, reporting, or mitigating gaps in corporate system functionality.</p>		
<b>Name/Acronym</b>	<b>Type</b>	<b>Description</b>
Phoenix	System	Phoenix is used for processing Agency transactions in the areas of general ledger, budget execution/funds control, accounts payable, disbursements, accounts receivable, loan management/credit, and cost allocation. Phoenix is also being used as the Agency tool for estimating accruals.
A&A Interface	System	The majority of purchases are done in A&A, the only remaining module of the NMS. This interface allows the Agency to record A&A large awards and small purchases, commit and obligate funds for these awards, and report on the current financial position from the Agency’s core financial system. The Interface transfers commitments from Phoenix to A&A via a nightly batch process and interfaces A&A obligation to Phoenix in “real-time”. A&A information is also interfaced from A&A to ProDoc, which is a contract-writing system that generates solicitation and award documents and captures Federal procurement data.
Financial Institutions Credit Card System (Credit Card Module in Phoenix will be rollout to USAID/W in October)	System	Citibank submits hardcopy credit card transaction reports to USAID. Disbursements are manually entered into Phoenix.
IPAC	System	USAID uses the Intra-Governmental Payment and Collection (IPAC) System, a Treasury on-line system, to bill Missions for LOC transactions and other federal government agencies.
ECS	System	Electronic Certification System (Treasury system)

### 3.5.2.4 Services

<b>What services are currently defined to support this sub-process?</b>	
<b>Service Name</b>	<b>Description</b>
Not Currently Defined	

### 3.5.3 Execute Payments

#### 3.5.3.1 Sub-Process Details

General Sub-Process Information	
<b>Sub-Process Description</b>	Certify payment schedules by the Certifying Officer and process non-manual payment schedule disbursements.
<b>FEA BRM v2.0 Sub function</b>	Management of Government Resources/Financial Management/Payments
<b>Assessment</b>	<p>All USAID/W payments are made through Treasury. Missions make payments through USDO.</p> <p>Non LOC grants are process like commercial invoices with the following exceptions</p> <p>Grantees submit their payment claims on the Standard Form (SF) 270</p> <p>Some grantees may receive advances if this is part of their grant agreement. Advances are also recorded on the SF 270</p> <p>If the grantee can receive advances, M/FM/CMP will automatically pay the advance but the grantee is required to submit the SF269 in order to liquidate the advance.</p>

Who's doing the sub-process? (Business Units and roles)		
<p><b>"Owns"</b> – Provides high level guidance, directs overall effort for completing sub-process, is measured by and ultimately responsible for results.</p> <p><b>"Executes"</b> – Manages day-to-day activities of the sub-process and is responsible for the quality and timeliness of completing the tasks of the sub-process.</p> <p><b>"Participates"</b> – Performs day-to-day activities and contributes to the execution of tasks of the sub-process.</p> <p><b>"Advises"</b> – Plays a consultative role to the supported business unit in the execution of the sub-process.</p>		
Business Unit	Role	Execution Frequency
M/FM	Owns	Daily, Weekly, Monthly

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Financial Management	USAID/W

#### 3.5.3.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Accounts Payable	Financial system document that contains the information from the vendor invoice and establishes the basis for making a disbursement. Invoices requiring administrative approval require payment authorization from the CTO through the A&A business area. Invoices for goods acquired by USAID require notification matching of receipt from the property management system.	SP: Record Accounts Payable	
Scheduled Payment	A disbursement that has been calculated and scheduled for payment pending certification by an authorized USAID certifying officer.	SP: Record Accounts Payable	

Name	Description	Received From	Sends To
Account Update	Financial information that updates Agency account records. Includes the results of posting appropriations, transaction data resulting associated with financial events, and account balance rollover associated with periodic account closing. Audit trails are generated for all account updates. Note that in the as-is financial management architecture, account updates from missions are posted to the general ledger via an auxiliary ledger in USAID/W that serves as a collection point.		DS: General Ledger
Record of Disbursements in Transit	Financial records marked 'disbursement in transit' following the electronic transmission of a payment to the US Treasury, the State Department Disbursing Office (USDO), or a local bank.		SP: Confirm Payments
Payment Schedule (EPS)	Total amount to be disbursed for a given accounts payable document and the schedule on which the payments are to be made. Recorded on SF 1166. Payments to be processed by the State Department US Disbursing Office (USDO) are transferred from USAID to the USDO as Electronic Payment Schedules (EPS).		ORG: State Department (USDO)
Payment Schedule (ECS)	Total amount to be disbursed for a given accounts payable document and the schedule on which the payments are to be made. Recorded on SF 1166 (Payment Transactions and Payment Schedules). Payments to be processed by the US Treasury are transferred from USAID to the Treasury through the Electronic Certification System (ECS), which provides authentication security services. USAID intends to use Prime Pay (Kansas City Financial Center) for US "Preferred Vendors".		ORG: Treasury Department
Vendor Payment Information (PAID)	Details Unavailable		ORG: Treasury Department
Payment Schedule (PAYLINKS)	Total amount to be disbursed for a given accounts payable document and the schedule on which the payments are to be made. Payments to banks are made via the PAYLINKS system or alternative bank-provided system for trust funds and local payments.		ORG: Financial Institution
Payment Schedule (Credit Card)	Total amount to be disbursed for a given accounts payable document and the schedule on which the payments are to be made. Automated credit card payments are handled through commercial banks.		ORG: Financial Institution

### 3.5.3.3 Supporting Systems / Applications / Tools

<b>Systems, Applications, and Tools Used to Support the Sub-Process</b>		
<p><b>“System”</b> - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p><b>“Tool”</b> - A purpose-built application designed for decision making, reporting, or mitigating gaps in corporate system functionality.</p>		
<b>Name/Acronym</b>	<b>Type</b>	<b>Description</b>
Phoenix	System	Phoenix is used for processing Agency transactions in the areas of general ledger, budget execution/funds control, accounts payable, disbursements, accounts receivable, loan management/credit, and cost allocation. Phoenix is also being used as the Agency tool for estimating accruals.
Financial Institutions Credit Card System (Credit Card Module in Phoenix will be rollout to USAID/W in October)	System	Citibank submits hardcopy credit card transaction reports to USAID. Disbursements are manually entered into Phoenix.
IPAC	System	USAID uses the Intra-Governmental Payment and Collection (IPAC) System, a Treasury on-line system, to bill Missions for LOC transactions and other federal government agencies.
USDO	System	Collection data for payments made for mission collections through the USDO Automatic Cashiering System (ACS)
PAYLINKS	System	Details Unavailable
ECS	System	Electronic Certification System (Treasury System)

### 3.5.3.4 Services

<b>What services are currently defined to support this sub-process?</b>	
<b>Service Name</b>	<b>Description</b>
Not Currently Defined	

### 3.5.4 Confirm Payments

#### 3.5.4.1 Sub-Process Details

General Sub-Process Information	
<b>Sub-Process Description</b>	Reconcile disbursements; perform searches for payee information upon requests for payment history information from vendors or managers or upon research of payment record differentials, and produce reports.
<b>FEA BRM v2.0 Sub function</b>	Management of Government Resources/Financial Management/Payments Management of Government Resources/Financial Management/Reporting and Information
<b>Assessment</b>	<p>Treasury notifies USAID when payments are made and sends a document control number that identifies the file through the Electronic Certification System (ECS).</p> <p>Non LOC grants are process like commercial invoices with the following exceptions                      Grantees submit their payment claims on the Standard Form (SF) 270                      Some grantees may receive advances if this is part of their grant agreement. Advances are also recorded on the SF 270                      If the grantee can receive advances, M/FM/CMP will automatically pay the advance but the grantee is required to submit the SF269 in order to liquidate the advance.</p>

Who's doing the sub-process? (Business Units and roles)		
<p><b>"Owns"</b> – Provides high level guidance, directs overall effort for completing sub-process, is measured by and ultimately responsible for results.</p> <p><b>"Executes"</b> – Manages day-to-day activities of the sub-process – and is responsible for the quality and timeliness of completing the tasks of the sub-process.</p> <p><b>"Participates"</b> – Performs day-to-day activities and contributes to the execution of tasks of the sub-process.</p> <p><b>"Advises"</b> – Plays a consultative role to the supported business unit in the execution of the sub-process.</p>		
Business Unit	Role	Execution Frequency
M/FM	Owns	Daily, Weekly, Monthly

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Financial Management	USAID/W

#### 3.5.4.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Record of Disbursements in Transit	Financial records marked 'disbursement in transit' following the electronic transmission of a payment to the US Treasury, the State Department Disbursing Office (USDO), or a local bank.	SP: Execute Payments	
Payment Status (Bank Statement)	Confirmation that the disbursement from a trust fund or for a credit card transaction has been accomplished, reported by bank statement.	ORG: Financial Institution	

Name	Description	Received From	Sends To
Payment Status (GOALS)	Confirmation that the disbursement has been accomplished, transmitted through the US Treasury Government Online Accounting Link System (GOALS).	ORG: Treasury Department	
Payment Status (ACS)	Confirmation that mission disbursements have been accomplished, transmitted through the State Department US Disbursing Office (USDO) Automatic Cashiering System (ACS) or via FMC 80 file or SF 1221.	ORG: State Department (USDO)	
Account Update	Financial information that updates Agency account records. Includes the results of posting appropriations, transaction data resulting associated with financial events, and account balance rollover associated with periodic account closing. Audit trails are generated for all account updates. Note that in the as-is financial management architecture, account updates from missions are posted to the general ledger via an auxiliary ledger in USAID/W that serves as a collection point.		DS: General Ledger

### 3.5.4.3 Supporting Systems / Applications / Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p><b>“System”</b> - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p><b>“Tool”</b> - A purpose-built application designed for decision making, reporting, or mitigating gaps in corporate system functionality.</p>		
Name/Acronym	Type	Description
Phoenix	System	Phoenix is used for processing Agency transactions in the areas of general ledger, budget execution/funds control, accounts payable, disbursements, accounts receivable, loan management/credit, and cost allocation. Phoenix is also being used as the Agency tool for estimating accruals.
Financial Institutions Credit Card System (Credit Card Module in Phoenix will be rollout to USAID/W in October)	System	Citibank submits hardcopy credit card transaction reports to USAID. Disbursements are manually entered into Phoenix.
USDO	System	Collection data for payments made for mission collections through USDO Automatic Cashiering System (ACS)
GOALS	System	Details Unavailable
PAYLINKS	System	Details Unavailable

### 3.5.4.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

### 3.5.4.5 Performance Metrics

## 3.5.5 Manage Accruals

### 3.5.5.1 Sub-Process Details

General Sub-Process Information	
<b>Sub-Process Description</b>	Accruals are estimated once every quarter. M/FM gives users' access to the ARS and provides a hard copy report; users have two weeks to review and correct accruals information in the ARS. This accrual information is used for USAID's financial statements and for Phoenix Pipeline Report.
<b>FEA BRM v2.0 Sub function</b>	Management of Government Resources/Financial Management/Accounting Management of Government Resources/Financial Management/Reporting and Information
<b>Assessment</b>	Managing accruals accounts for a substantial amount of the work performed by M/FM/A.

Who's doing the sub-process? (Business Units and roles)		
<p><b>"Owns"</b> – Provides high level guidance, directs overall effort for completing sub-process, is measured by and ultimately responsible for results.</p> <p><b>"Executes"</b> – Manages day-to-day activities of the sub-process and is responsible for the quality and timeliness of completing the tasks of the sub-process.</p> <p><b>"Participates"</b> – Performs day-to-day activities and contributes to the execution of tasks of the sub-process.</p> <p><b>"Advises"</b> – Plays a consultative role to the supported business unit in the execution of the sub-process.</p>		
Business Unit	Role	Execution Frequency
M/FM/A	Owns	Quarterly

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Financial Management	USAID/W

### 3.5.5.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Extract A&A Information	A list of contracts and Contracting Officers (COs) is extracted from A&A at the end of each quarter.	M/FM/A	
Map A&A Information to Phoenix	The A&A extract information is mapped against open obligations in Phoenix and accruals are estimated based on this information.	M/FM/A	

Name	Description	Received From	Sends To
Accruals Loaded to ARS	The Accruals Report gathers Obligation and Contract information from Phoenix and A&A, and uses this data to calculate Estimated Accrual amounts. Each line of the report represents either an Obligation line item or a Contract funding strip. The accruals information is loaded to the ARS and users are given access to review and change information as appropriate. A hard copy report is also provided to users by M/FM/A.	M/FM/A	Bureaus/Offices
ARS On-Line Changes	Users and managers log on to the ARS to review accrual information, make changes where appropriate, and monitor the review process. Users have two weeks to review and change information.	Bureaus/Offices	
Accruals Uploaded to Phoenix	Once the two week review period is over, the accruals information is formatted and uploaded to Phoenix. AV forms are created and process through a batch process.	M/FM/A	
Manual Corrections	M/FM/A coordinates the manual correction of forms rejected during the batch process.	M/FM/A Bureaus Offices	

### 3.5.5.3 Supporting Systems / Applications / Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p><b>“System”</b> - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p><b>“Tool”</b> - A purpose-built application designed for decision making, reporting, or mitigating gaps in corporate system functionality.</p>		
Name/Acronym	Type	Description
Acquisition and Assistance (A&A)	System	A&A is the only remaining module of NMS. A&A enables USAID to plan procurements, issues solicitations, issue awards, process award modifications, and support contract administration.
Phoenix	System	Phoenix is used for processing Agency transactions in the areas of general ledger, budget execution/funds control, accounts payable, disbursements, accounts receivable, loan management/credit, and cost allocation.
ARS	System	Accrual Reporting System is a web-based tool, called e-Focus that is used for estimating accruals.

### 3.5.5.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

### 3.6 Manage Accounts Receivable

#### 3.6.1 Establish Accounts Receivable

##### 3.6.1.1 Sub-Process Details

General Sub-Process Information	
<b>Sub-Process Description</b>	Enter debt records at the source of the originating accounts receivable documentation (e.g., USAID missions). The USAID/W M/FM/A enters all debt records originating in USAID/W. Forward accounts receivable data entered at the source to the appropriate Mission Controllers, including accounts receivables generated through the Travel Manager system and the Payroll system.
<b>FEA BRM v2.0 Sub function</b>	Management of Government Resources/Financial Management/Accounting Management of Government Resources/Financial Management/Collections and Receivables
<b>Assessment</b>	N/A

Who's doing the sub-process? (Business Units and roles)		
<p><b>“Owns”</b> – Provides high level guidance, directs overall effort for completing sub-process, is measured by and ultimately responsible for results.</p> <p><b>“Executes”</b> – Manages day-to-day activities of the sub-process and is responsible for the quality and timeliness of completing the tasks of the sub-process.</p> <p><b>“Participates”</b> – Performs day-to-day activities and contributes to the execution of tasks of the sub-process.</p> <p><b>“Advises”</b> – Plays a consultative role to the supported business unit in the execution of the sub-process.</p>		
Business Unit	Role	Execution Frequency
M/FM	Owns	Daily, Weekly, Monthly

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Financial Management	USAID/W

##### 3.6.1.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Overpayment Notice	A notice from an interfacing business area, typically through an information system or the CTO that USAID has overpaid a party, resulting in an account receivable for the Agency.	ORG: Cognizant Technical Officer	
Request for Bill	A request, entered at the source of the originating accounts receivable documentation, for the creation of a bill to a payer. The request typically comes through a USAID bureau or office. This data item includes notice of funds expected to be received by the Agency from another government organization under a reimbursable agreement, such as ICASS.	ORG: Bureau/Office	

Name	Description	Received From	Sends To
Account Receivable	Financial system document containing billing information. The account receivables document references the proper fund account information for the bill.		SP: Monitor Accounts Receivable
Account Receivable	Financial system document containing billing information. The account receivables document references the proper fund account information for the bill.		SP: Service Account Receivable
Account Update	Financial information that updates Agency account records. Includes the results of posting appropriations, transaction data resulting associated with financial events, and account balance rollover associated with periodic account closing. Audit trails are generated for all account updates. Note that in the as-is financial management architecture, account updates from missions are posted to the general ledger via an auxiliary ledger in USAID/W that serves as a collection point.		DS: General Ledger

3.6.1.3 Supporting Systems / Applications / Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p><b>“System”</b> - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p><b>“Tool”</b> - A purpose-built application designed for decision making, reporting, or mitigating gaps in corporate system functionality.</p>		
Name/Acronym	Type	Description
Phoenix	System	Phoenix is used for processing Agency transactions in the areas of general ledger, budget execution/funds control, accounts payable, disbursements, accounts receivable, loan management/credit, and cost allocation. Phoenix is also being used as the Agency tool for estimating accruals.

3.6.1.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

## 3.6.2 Service Accounts Receivable

### 3.6.2.1 Sub-Process Details

General Sub-Process Information	
<b>Sub-Process Description</b>	Responds to customer inquiries and appeals. The customer inquiry process is facilitated by on-line access to accounts receivable subsidiary files that have been automatically updated at the time of posting of the account receivable. Feedback is provided to the customer and adjustment vouchers are prepared as necessary. Adjustment vouchers are prepared on-line and forwarded for automated supervisory approval. The adjustments are posted automatically upon certification by the supervisor by entering the supervisor password.
<b>FEA BRM v2.0 Sub function</b>	Management of Government Resources/Financial Management/Accounting Management of Government Resources/Financial Management/Collections and Receivables Management of Government Resources/Financial Management Reporting and Information
<b>Assessment</b>	USAID receives infrequent customer inquiries.

Who's doing the sub-process? (Business Units and roles)		
<p><b>“Owns”</b> – Provides high level guidance, directs overall effort for completing sub-process, is measured by and ultimately responsible for results.</p> <p><b>“Executes”</b> – Manages day-to-day activities of the sub-process and is responsible for the quality and timeliness of completing the tasks of the sub-process.</p> <p><b>”Participates”</b> – Performs day-to-day activities and contributes to the execution of tasks of the sub-process.</p> <p><b>“Advises”</b> – Plays a consultative role to the supported business unit in the execution of the sub-process.</p>		
Business Unit	Role	Execution Frequency
M/FM	Owns	Daily, Weekly, Monthly

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Financial Management	USAID/W

### 3.6.2.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Account Receivable	Financial system document containing billing information. The account receivables document references the proper fund account information for the bill.	SP: Establish Account Receivable	
Customer Inquiry	An inquiry from a net payer to the Agency in regard to a bill received. The inquiry may result in USAID making adjustments to the bill.	ORG: Payer	
Account Update	Financial information that updates Agency account records. Includes the results of posting appropriations, transaction data resulting associated with financial events, and account balance rollover associated with periodic account closing. Audit trails		DS: General Ledger

Name	Description	Received From	Sends To
	are generated for all account updates. Note that in the as-is financial management architecture, account updates from missions are posted to the general ledger via an auxiliary ledger in USAID/W that serves as a collection point.		
Bill	SF 129, Bill for Collection in foreign currency or U.S. dollars. If the payer is a government Agency, the bill will consist of SF 1080 (non-IPAC) or SF1081 (IPAC) to facilitate funds transfer and collections.		ORG: Payer

3.6.2.3 Supporting Systems / Applications / Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p>“<b>System</b>” - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p>		
<p>“<b>Tool</b>” - A purpose-built application designed for decision making, reporting, or mitigating gaps in corporate system functionality.</p>		
Name/Acronym	Type	Description
Phoenix	System	Phoenix is used for processing Agency transactions in the areas of general ledger, budget execution/funds control, accounts payable, disbursements, accounts receivable, loan management/credit, and cost allocation. Phoenix is also being used as the Agency tool for estimating accruals.

3.6.2.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

### 3.6.3 Collect Payments

#### 3.6.3.1 Sub-Process Details

General Sub-Process Information	
<b>Sub-Process Description</b>	Receive collections. USAID/W collections are received by a bank under a worldwide contractual outsourcing of the cashing function, which provides a bank employed cashier at each location as desired by USAID. Collections can be received at the bank by the bank, onsite at USAID cashier, electronically, or through the bank's lockbox system. The collections are also loaded by the bank to an interface file before deposit with the Federal reserve. The interface file is passed to the USAID Core Financial System daily. There is an automatic matching of collections to accounts receivable. This is done via the data elements that were entered on the invoice at the time of the bill creation and remitted by the debtor with the collection.
<b>FEA BRM v2.0 Sub function</b>	Management of Government Resources/Financial Management/Collections and Receivables
<b>Assessment</b>	N/A

Who's doing the sub-process? (Business Units and roles)		
<p><b>"Owns"</b> – Provides high level guidance, directs overall effort for completing sub-process, is measured by and ultimately responsible for results.</p> <p><b>"Executes"</b> – Manages day-to-day activities of the sub-process and is responsible for the quality and timeliness of completing the tasks of the sub-process.</p> <p><b>"Participates"</b> – Performs day-to-day activities and contributes to the execution of tasks of the sub-process.</p> <p><b>"Advises"</b> – Plays a consultative role to the supported business unit in the execution of the sub-process.</p>		
Business Unit	Role	Execution Frequency
M/FM	Owns	Daily, Weekly, Monthly

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Financial Management	USAID/W

#### 3.6.3.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Collection (Bank Transmittal)	Collection data for payments made through banks. Financial Institutions make various kinds of collections on behalf of USAID ("lockbox services").	ORG: Financial Institution	
Collection (CASHLINK)	An online system used in USAID/W to monitor collections and balances on a daily basis. The system allows the Agency to monitor electronic funds transfers (EFTs) that are submitted to Treasury on behalf of USAID. Using Cash-Link the Agency can download account balances, average daily balances, wire transfers, and detail account transactions.	ORG: Treasury Department	
Collection	Collection data for interAgency payments made via Treasury Online Intra-Governmental Payment	ORG: Treasury	

Name	Description	Received From	Sends To
(IPAC/GOALS)	and Collection (IPAC), accessed through the US Treasury GOALS.	Department	
Collection (ACS)	Collection data for payments made for mission collections through the USDO Automatic Cashiering System (ACS).	ORG: State Department (USDO)	
Account Update	Financial information that updates Agency account records. Includes the results of posting appropriations, transaction data resulting associated with financial events, and account balance rollover associated with periodic account closing. Audit trails are generated for all account updates. Note that in the as-is financial management architecture, account updates from missions are posted to the general ledger via an auxiliary ledger in USAID/W that serves as a collection point.		DS: General Ledger
Received Collection	A collection from any source which has been received by USAID and recorded in the core financial management system.		DS: Cash Receipt
Mission Collection	USAID collections serviced by mission accounting stations.		DS: Standard Voucher
Accounts Receivable Report	Reports of financial activity on all accounts receivable, including disbursements in transit and collections received, for the purposes of accounts receivable reconciliation and adjustments as necessary.		SP: Monitor Accounts Receivable
Delinquent Debt	A receivable past due.		SP: Monitor Accounts Receivable

### 3.6.3.3 Supporting Systems / Applications / Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p><b>“System”</b> - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p><b>“Tool”</b> - A purpose-built application designed for decision making, reporting, or mitigating gaps in corporate system functionality.</p>		
Name/Acronym	Type	Description
Phoenix	System	Phoenix is used for processing Agency transactions in the areas of general ledger, budget execution/funds control, accounts payable, disbursements, accounts receivable, loan management/credit, and cost allocation. Phoenix is also being used as the Agency tool for estimating accruals.
Financial Institutions Credit Card System (Credit Card Module in Phoenix will be rollout to USAID/W in October)		Citibank submits hardcopy credit card transaction reports to USAID. Disbursements are manually entered into Phoenix.
CASHLINKS		An online system used in USAID/W to monitor collections and

<b>Systems, Applications, and Tools Used to Support the Sub-Process</b>		
<p><b>“System”</b> - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p><b>“Tool”</b> - A purpose-built application designed for decision making, reporting, or mitigating gaps in corporate system functionality.</p>		
<b>Name/Acronym</b>	<b>Type</b>	<b>Description</b>
		balances on a daily basis. The system allows the Agency to monitor electronic funds transfers (EFTs) that are submitted to Treasury on behalf of USAID. Using Cash-Link the Agency can download account balances, average daily balances, wire transfers, and detail account transactions.
IPAC/GOALS		Collection data for interAgency payments made via Treasury Online Intra-Governmental Payment and Collection (IPAC), accessed through the US Treasury GOALS.
USDO		Collection data for payments made for mission collections through the USDO Automatic Cashiering System (ACS).

### 3.6.3.4 Services

<b>What services are currently defined to support this sub-process?</b>	
<b>Service Name</b>	<b>Description</b>
Not Currently Defined	

## 3.6.4 Monitor Accounts Receivable

### 3.6.4.1 Sub-Process Details

<b>General Sub-Process Information</b>	
<b>Sub-Process Description</b>	Monitor accounts receivable beginning once they are 30 days past due. Interest is assessed automatically through the system at the Treasury interest rate as of the date the receivable was established. Dunning letters are sent at 30 and 60 days. The second dunning letter constitutes a letter of intent to refer the debt to the US Treasury for administrative offset if it is not collected at that time. Appeals or requests for installment may be reviewed upon receipt from the debtor. Reporting on receivables referred to Treasury remains the responsibility of USAID. Treasury will notify USAID of subsequent collection or recommend write-off. Write-offs are conducted by M/FM/CAR to the Core Financial System for the AID/W and each Mission billing office.
<b>FEA BRM v2.0 Sub function</b>	Management of Government Resources/Financial Management/Accounting Management of Government Resources/Financial Management/Collections and Receivables
<b>Assessment</b>	USAID is not conducting 90 day mailings. M/FM/A has old bills that were migrated to Phoenix but hardcopy documentation was not retained.

<b>Who's doing the sub-process? (Business Units and roles)</b>		
<p><b>“Owns”</b> – Provides high level guidance, directs overall effort for completing sub-process, is measured by and ultimately responsible for results.</p> <p><b>“Executes”</b> – Manages day-to-day activities of the sub-process and is responsible for the quality and timeliness of completing the tasks of the sub-process.</p> <p><b>”Participates”</b> – Performs day-to-day activities and contributes to the execution of tasks of the sub-process.</p> <p><b>“Advises”</b> – Plays a consultative role to the supported business unit in the execution of the sub-process.</p>		
<b>Business Unit</b>	<b>Role</b>	<b>Execution Frequency</b>
M/FM	Owns	Daily, Weekly, Monthly

<b>Where is the sub-process performed? (Sub-Process Execution)</b>	
<b>Business Unit</b>	<b>Location</b>
Management Bureau – Financial Management	USAID/W

### 3.6.4.2 Business Data Used by Sub-Process

<b>Name</b>	<b>Description</b>	<b>Received From</b>	<b>Sends To</b>
Accounts Receivable Report	Reports of financial activity on all accounts receivable, including disbursements in transit and collections received, for the purposes of accounts receivable reconciliation and adjustments as necessary.	SP: Collect Payment	
Delinquent Debt	A receivable past due.	SP: Collect Payment	
Account Receivable	Financial system document containing billing information. The account receivables document references the proper fund account information for the bill.	SP: Establish Account Receivable	
Dunning Notice	Notice to a payer of a receivable past due, along with notice of interest and penalties due. Dunning notices are generated at 30 and 60 days past due. The second dunning letter constitutes a letter of intent to refer the debt to the US Treasury for administrative offset (the Treasury services debt collections for all debts over 90 days delinquent).		ORG: Payer
Uncollectible Debt (TOP)	Data related to collections on delinquent accounts which the Treasury collects on behalf of USAID through government-wide offset. The US Treasury Offset Program (TOP) is a centralized debt collection program to assist federal agencies for write-offs and reporting that provides servicing for debts more than 180 days delinquent.		ORG: Treasury Department
Vendor Offset	Data to facilitate debt collection from vendors by offset of federal payments to those vendors.		SP: Manage Payment
Account Receivable 1099 Information	Tax information associated with delinquent debts.		SP: Manage Payment

Name	Description	Received From	Sends To
ICASS Service Reimbursement	Notification of the receipt of a reimbursement of a given amount that USAID/W (M/FM) has received for services rendered by the Agency under an ICASS agreement.		BPA: Budgeting
Payroll Offset	Data to facilitate debt collection from employees by offset of federal payments to those employees.		ORG: Human Resources

### 3.6.4.3 Supporting Systems / Applications / Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p><b>“System”</b> - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p><b>“Tool”</b> - A purpose-built application designed for decision making, reporting, or mitigating gaps in corporate system functionality.</p>		
Name/Acronym	Type	Description
Phoenix	System	Phoenix is used for processing Agency transactions in the areas of general ledger, budget execution/funds control, accounts payable, disbursements, accounts receivable, loan management/credit, and cost allocation. Phoenix is also being used as the Agency tool for estimating accruals.
TOP	Tool	The US Treasury Offset Program (TOP) is a centralized debt collection program to assist federal agencies for write-offs and reporting that provides servicing for debts more than 180 days delinquent.

### 3.6.4.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

## 3.7 Manage Cost Accounting

### 3.7.1 Allocate Costs

#### 3.7.1.1 Sub-Process Details

General Sub-Process Information	
<b>Sub-Process Description</b>	Distribute centrally charged M/Bureaus OE costs to the benefiting organizations. Capture operating level information and assign it to SOs and Agency Goals. MCA results are used to prepare part of the Agency's Statement of Net Cost.
<b>FEA BRM v2.0 Sub function</b>	Management of Government Resources/Financial Management/Accounting Management of Government Resources/Financial Management/Reporting and Information
<b>Assessment</b>	Cost Allocation model does not capture program costs.

Who's doing the sub-process? (Business Units and roles)		
<p><b>"Owns"</b> – Provides high level guidance, directs overall effort for completing sub-process, is measured by and ultimately responsible for results.</p> <p><b>"Executes"</b> – Manages day-to-day activities of the sub-process and is responsible for the quality and timeliness of completing the tasks of the sub-process.</p> <p><b>"Participates"</b> – Performs day-to-day activities and contributes to the execution of tasks of the sub-process.</p> <p><b>"Advises"</b> – Plays a consultative role to the supported business unit in the execution of the sub-process.</p>		
Business Unit	Role	Execution Frequency
M/FM	Owns	Daily, Weekly, Monthly

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Financial Management	USAID/W

#### 3.7.1.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Identify Data	Identify statistical unit data using the staffing pattern report, NFC database queries, procurement report, and stacking plan report.	ORG: HR BPA: A&A	
Allocate Costs	Statistical unit results are provided to AMS for uploading to Phoenix. Input data and run the model.		DS: Cost Account
Reconcile Cost to GL	Analyze MCA results using business objects reports. The results are reconciled with the GL operating cost data.		DS: General Ledger
Allocate MCA Results to SO & Goals	Based on Business Objects reports from the GL cost is allocated to SO and Goals.		DS: Cost Account

### 3.7.1.3 Supporting Systems / Applications / Tools

<b>Systems, Applications, and Tools Used to Support the Sub-Process</b>		
<p><b>“System”</b> - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p><b>“Tool”</b> - A purpose-built application designed for decision making, reporting, or mitigating gaps in corporate system functionality.</p>		
<b>Name/Acronym</b>	<b>Type</b>	<b>Description</b>
Phoenix		Phoenix is used for processing Agency transactions in the areas of general ledger, budget execution/funds control, accounts payable, disbursements, accounts receivable, loan management/credit, and cost allocation. Phoenix is also being used as the Agency tool for estimating accruals.
NFC Interface	System	USAID has cross-serviced its payroll operations to NFC. NFC provides USAID the accounting data necessary to update the Phoenix general ledger through the NFC interface.
Acquisition and Assistance (A&A)	System	A&A is the only remaining module of NMS. A&A enables USAID to plan procurements, issues solicitations, issue awards, process award modifications, and support contract administration.
Staffing Pattern Report	Tool	Report received from human resources.

### 3.7.1.4 Services

<b>What services are currently defined to support this sub-process?</b>	
<b>Service Name</b>	<b>Description</b>
Not Currently Defined	

### 3.8 Manage Grants

#### 3.8.1 Manage LOC Grants

##### 3.8.1.1 Sub-Process Details

General Sub-Process Information	
<b>Sub-Process Description</b>	Grants originate from a Mission, M/OP or other bureaus or offices. The CTO is responsible for determining if the grant is eligible for LOC funding. Upon establishment of a grant, M/FM/CMP/GIB verifies that the grantee is eligible for LOC funding, and establishes the grant in the DHHS PMS system. DHHS PMS disburses funds to grantees against the grant authorization LOC documents. USAID downloads DHHS PMS disbursements and uploads them to Phoenix via a batch process. Advance transactions for both Washington and Missions will be posted to Phoenix on a monthly basis. Expenditure transactions will be interfaced biweekly. Washington expenditures will be posted to Phoenix while Mission expenditures will post advance liquidation to Phoenix and be billed to the Missions via IPAC. When grants expire, M/FM/CMP/GIB reconciles records and closes the grant in the DHHS PMS.
<b>FEA BRM v2.0 Sub function</b>	Mode of Delivery/Financial Vehicles/Federal Financial Assistance/Federal Grants (Non-State) Management of Government Resources/Financial Management/Accounting Management of Government Resources/Financial Management/Reporting and Information
<b>Assessment</b>	Cuff records are used to reconcile grants before they are closed out in DHHS PMS. On average, M/FM/CMP/GIB is closing 30 grants a month. There is no automated method for producing obligated, advance and expenditure statistics. Building on the outbound interface to the DHHS PMS interface would eliminate some of the time lags and manual processes being used. This sub- process supports OHA MPE business area by coordinating the establishment of grants and providing transactional information to designated grant authority. Award information is suppose to be sent to M/FM/CMP/GIB through established procedures but when this is not followed, M/FM/CMP/GIB will coordinate with the operating unit and or grantee to obtain the proper documentation required to establish the grant.

Who’s doing the sub-process? (Business Units and roles)		
<p>“Owns” – Provides high level guidance, directs overall effort for completing sub-process, is measured by and ultimately responsible for results.</p> <p>“Executes” – Manages day-to-day activities of the sub-process and is responsible for the quality and timeliness of completing the tasks of the sub-process.</p> <p>”Participates” – Performs day-to-day activities and contributes to the execution of tasks of the sub-process.</p> <p>“Advises” – Plays a consultative role to the supported business unit in the execution of the sub-process.</p>		
Business Unit	Role	Execution Frequency
M/FM	Owns	Daily, Weekly, Monthly

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Financial Management	USAID/W

### 3.8.1.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Record Grant Obligation	<ul style="list-style-type: none"> <li>▪ Washington-funded grants:                             <ul style="list-style-type: none"> <li>– A&amp;A-related procurements are entered into the A&amp;A system by M/OP and are automatically recorded in Phoenix via the A&amp;A interface.</li> <li>– Certain Bureaus/Offices within USAID/W enter their LOC and non-LOC obligations directly into Phoenix.</li> </ul> </li> <li>▪ Mission-funded grants are entered into MACS by Mission Controllers. Mission Controllers submit LOC grant information to M/FM/CMP/GIB via e-mail to a dedicated mailbox “FM.CMP Letter of Credit Activity”</li> </ul>	ORG: Missions	
Grant Award Document	A copy of the grant award document is sent to M/FM/CMP/GIB by the designated grant authority.	ORG: Missions	
Verify LOC Eligibility and Establish Grant in PMS	<p>In order to qualify for LOC grant, a grantee should meet the four criteria below:</p> <ul style="list-style-type: none"> <li>▪ The grantee must have a U.S. bank account,</li> <li>▪ The grantee must be designated as “responsible” (normally by an A-133 Audit or a review of prior performance),</li> <li>▪ The grant must be greater than \$120,000, and</li> <li>▪ The period of performance must be greater than 12 months</li> </ul> <p>In order to establish a LOC account in PMS, the following documents must be submitted by the grantee to DHHS through M/FM/CMP- LOC Unit Completed/Signed original Direct Deposit Sign-Up Form (SF 1199A) and Contact Information Form. DHHS registers the grantee and bank information into the PMS and generates Account Code, PIN/EIN codes. With the availability of Account/PIN/EIN codes, LOC Unit submits to DHHS a request for Subaccount and/or Appropriation Table updates in the PMS M/FM/CMP/GIB then enters detailed award information into the DHHS PMS On-line authorization via an Internet connection. This is done in Washington for all types of grants (i.e., Mission, A&amp;A, etc.).</p>		ORG: DHHS
Prepare SF 1193A and Amendment to Authorized Amount of the Letter of Credit	The SF1193A shows the Letter of Credit Number, Amendment Number, grantee name and address, banking information, Amount Authorized (Cum), Time Designation, and Prior Authorization, which applies to LOC amendments. The SF1193A amounts (Cum and Current) is reconciled with and equal to the DHHS/PMS Authorization Transactions Screen. The attachment to the SF1193A lists the USAID agreement number, amendment number, effective date, DHHS Reference Agreement Number, Subaccount and amount. The SF1193A is amended to reflect any change to the information previously issued.		ORG: Grantee
Download Advance data	Advance data is manually downloaded from the DHHS PMS and uploaded it to Phoenix through a batch process. Advances are downloaded monthly	ORG: DHHS	

Name	Description	Received From	Sends To
	with the Charges by Appropriation SF 224 Detail file. The interface posts both Washington and Mission advances to Phoenix at the appropriation level via an SV document.		
Download Expenditures data	<p>Expenditure Data is manually downloaded from DHHS PMS on a biweekly basis and uploaded to Phoenix through a batch process. The interface liquidates all advances, including Mission advances, and updates the GL, but it differentiates between Washington and Mission expenditures.</p> <ul style="list-style-type: none"> <li>▪ Washington expenditures are automatically posted to Phoenix as GP documents, liquidating the advance and obligation.</li> <li>▪ The interface liquidates Mission advances in Phoenix through an SV but it does not record Mission expenditures in Phoenix. Instead, the interface creates a Mission expenditure report sorted by ALC, which is used to bill the Missions via IPAC. When IPAC bills are received by the Missions, the expenditures are recorded in MACS against the applicable obligation and ALC. The MACS obligation is also linked to an appropriation symbol. From the IPAC bill, the Mission reports charges to the appropriate appropriation on the SF 224.</li> </ul>	ORG: DHHS	
Error and Statistics Report	The Error and Statistics Report is reviewed after every download. If an error occurs M/FM/CMP/GIB reviews the error and makes manual corrections where appropriate.	ORG: DHHS	
Closed Grant	Grant records are reconciled and the grant is closed in DHHS PMS.		ORG: DHHS

### 3.8.1.3 Supporting Systems / Applications / Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p><b>“System”</b> - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p><b>“Tool”</b> - A purpose-built application designed for decision making, reporting, or mitigating gaps in corporate system functionality.</p>		
Name/Acronym	Type	Description
Phoenix	System	Phoenix is used for processing Agency transactions in the areas of general ledger, budget execution/funds control, accounts payable, disbursements, accounts receivable, loan management/credit, and cost allocation. Phoenix is also being used as the Agency tool for estimating accruals.
DHHS PMS	System	USAID has entered into a cross-servicing agreement with DHHS for transactions related to USAID-issued Letter of Credit (LOC) grants. USAID enters grant award information into the DHHS PMS system via the Internet.

<b>Systems, Applications, and Tools Used to Support the Sub-Process</b>		
<p><b>“System”</b> - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p><b>“Tool”</b> - A purpose-built application designed for decision making, reporting, or mitigating gaps in corporate system functionality.</p>		
<b>Name/Acronym</b>	<b>Type</b>	<b>Description</b>
DHHS Interface	System	USAID has entered into a cross-servicing agreement with DHHS for transactions related to USAID-issued Letter of Credit (LOC) grants. USAID enters grant award information into the DHHS PMS system via the Internet. DHHS disburses funds to grantees, monitors expenses on behalf of USAID, and provides advance and expenditure data to USAID via an automated interface to Phoenix
IPAC	System	USAID uses the Intra-Governmental Payment and Collection (IPAC) System, a Treasury on-line system, to bill Missions for LOC transactions and other federal government agencies.

### 3.8.1.4 Services

<b>What services are currently defined to support this sub-process?</b>	
<b>Service Name</b>	<b>Description</b>
Not Currently Defined	

### 3.9 Mission Accounts Payable

#### 3.9.1 Mission - Maintain Payee Information

##### 3.9.1.1 Sub-Process Details

General Sub-Process Information	
<b>Sub-Process Description</b>	Payee information is maintained, including MACSTRAX vendor information and information required for Form 1099 reporting.
<b>FEA BRM v2.0 Sub function</b>	Management of Government Resources/Financial Management/Accounting Management of Government Resources/Financial Management/Reporting and Information Management of Government Resources/Financial Management/Payments
<b>Assessment</b>	AMS is updating Mission Functional Requirements and Workflows as part of the Phoenix Overseas Deployment. The updated Mission workflows will be finalized in late November. These Mission business process are general therefore business processes may vary at some Missions.

Who's doing the sub-process? (Business Units and roles)		
<p><b>“Owns”</b> – Provides high level guidance, directs overall effort for completing sub-process, is measured by and ultimately responsible for results.</p> <p><b>“Executes”</b> – Manages day-to-day activities of the sub-process and is responsible for the quality and timeliness of completing the tasks of the sub-process.</p> <p><b>”Participates”</b> – Performs day-to-day activities and contributes to the execution of tasks of the sub-process.</p> <p><b>“Advises”</b> – Plays a consultative role to the supported business unit in the execution of the sub-process.</p>		
Business Unit	Role	Execution Frequency
Mission Controller's Office	Owns	Daily

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Missions	Worldwide

##### 3.9.1.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Payee Information	Payee information includes payee name, TIN, 1099 flag, address, bank info, and other applicable vendor information. The MACSTRAX payee profile is set up when the initial voucher is received from the vendor.	SP: Mission – Record Transactions	ORG: Internal Revenue Service, ORG: Vendor
Voucher	A document received from the vendor stating amount, timeframe, and work performed by the vendor.	SP: Mission - Record Transactions	

### 3.9.1.3 Supporting Systems / Applications / Tools

<b>Systems, Applications, and Tools Used to Support the Sub-Process</b>		
<p><b>“System”</b> - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p><b>“Tool”</b> - A purpose-built application designed for decision making, reporting, or mitigating gaps in corporate system functionality.</p>		
<b>Name/Acronym</b>	<b>Type</b>	<b>Description</b>
MACS	System	Mission Accounting and Control System (MACS) is a computer-based accounting and financial management system. It is at the center of a process which provides financial information to the United States Agency for International Development in Washington, D.C. (USAID/W), as well as to Mission management and other interested parties. MACS contains programs which maintain data security and recovery, reconcile accounting records for specific periods, archive historical data and meet various other accounting and financial management objectives. MACS is an on-line, interactive, fully integrated processing system in which data is updated continuously as transactions are posted via computer terminal.

### 3.9.1.4 Services

<b>What services are currently defined to support this sub-process?</b>	
<b>Service Name</b>	<b>Description</b>
Not Currently Defined	

## 3.9.2 Mission - Record Transactions

### 3.9.2.1 Sub-Process Details

<b>General Sub-Process Information</b>	
<b>Sub-Process Description</b>	Log the invoice into the pay tracking system, approve vouchers administratively, process vouchers, and schedule payments.
<b>FEA BRM v2.0 Sub function</b>	Management of Government Resources/Financial Management/Accounting
<b>Assessment</b>	AMS is updating Mission Functional Requirements and Workflows as part of the Phoenix Overseas Deployment. The updated Mission workflows will be finalized in late November. These Mission business process are general therefore business processes may vary at some Missions.

<b>Who’s doing the sub-process? (Business Units and roles)</b>		
<p><b>“Owns”</b> – Provides high level guidance, directs overall effort for completing sub-process, is measured by and ultimately responsible for results.</p> <p><b>“Executes”</b> – Manages day-to-day activities of the sub-process and is responsible for the quality and timeliness of completing the tasks of the sub-process.</p> <p><b>”Participates”</b> – Performs day-to-day activities and contributes to the execution of tasks of the sub-process.</p> <p><b>“Advises”</b> – Plays a consultative role to the supported business unit in the execution of the sub-process.</p>		
<b>Business Unit</b>	<b>Role</b>	<b>Execution Frequency</b>
Mission Controller's Office	Owns	Daily

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Missions	Worldwide

### 3.9.2.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Voucher	Payee information includes payee name, TIN, 1099 flag, address, bank info, and other applicable vendor information.	ORG: Vendor	SP: Mission – Maintain Payee Information
Payee Information	Payee information includes payee name, TIN, 1099 flag, address, bank info, and other applicable vendor information. The MACSTRAX payee profile is set up when the initial voucher is received from the vendor.	ORG: Vendor, SP: Mission – Maintain Payee Information	SP: Mission – SP: Maintain Payee Information, SP: Mission – Execute Payment
Scheduled Payments	A date, time, vendor information, and amount to be paid to a vendor.		SP: Mission – Execute Payment

### 3.9.2.3 Supporting Systems / Applications / Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p>“System” - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p>“Tool” - A purpose-built application designed for decision making, reporting, or mitigating gaps in corporate system functionality.</p>		
Name/Acronym	Type	Description
MACS	System	Mission Accounting and Control System (MACS) is a computer-based accounting and financial management system. It is at the center of a process, which provides financial information to the United States Agency for International Development in Washington, D.C. (USAID/W), as well as to Mission management and other interested parties. MACS contains programs which maintain data security and recovery, reconcile accounting records for specific periods, archive historical data and meet various other accounting and financial management objectives. MACS is an on-line, interactive, fully integrated processing system in which data is updated continuously as transactions are posted via computer terminal.

### 3.9.2.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

### 3.9.3 Mission - Execute Payment

#### 3.9.3.1 Sub-Process Details

General Sub-Process Information	
<b>Sub-Process Description</b>	The Certifying Officer certifies payment schedules and processes payment disbursements.
<b>FEA BRM v2.0 Sub function</b>	Management of Government Resources/Financial Management/Payments
<b>Assessment</b>	AMS is updating Mission Functional Requirements and Workflows as part of the Phoenix Overseas Deployment. The updated Mission workflows will be finalized in late November. These Mission business process are general therefore business processes may vary at some Missions.

Who's doing the sub-process? (Business Units and roles)		
<p><b>“Owns”</b> – Provides high level guidance, directs overall effort for completing sub-process, is measured by and ultimately responsible for results.</p> <p><b>“Executes”</b> – Manages day-to-day activities of the sub-process and is responsible for the quality and timeliness of completing the tasks of the sub-process.</p> <p><b>”Participates”</b> – Performs day-to-day activities and contributes to the execution of tasks of the sub-process.</p> <p><b>“Advises”</b> – Plays a consultative role to the supported business unit in the execution of the sub-process.</p>		
Business Unit	Role	Execution Frequency
Mission Controller's Office	Owns	Daily

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Missions	Worldwide

#### 3.9.3.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Payment Schedule	A date, time, vendor information, and amount to be paid to a vendor.	SP: Mission – Record Transactions	
Disbursement	A payment as has been recorded in MACS.		ORG: Treasury, ORG: USDO

### 3.9.3.3 Supporting Systems / Applications / Tools

<b>Systems, Applications, and Tools Used to Support the Sub-Process</b>		
<p><b>“System”</b> - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p><b>“Tool”</b> - A purpose-built application designed for decision making, reporting, or mitigating gaps in corporate system functionality.</p>		
<b>Name/Acronym</b>	<b>Type</b>	<b>Description</b>
MACS	System	Mission Accounting and Control System (MACS) is a computer-based accounting and financial management system. It is at the center of a process which provides financial information to the United States Agency for International Development in Washington, D.C. (USAID/W), as well as to Mission management and other interested parties. MACS contains programs which maintain data security and recovery, reconcile accounting records for specific periods, archive historical data and meet various other accounting and financial management objectives. MACS is an on-line, interactive, fully integrated processing system in which data is updated continuously as transactions are posted via computer terminal.
USDO	System	Collection data for payments made for mission collections through the USDO Automatic Cashiering System (ACS).
ECS	System	Electronic Certification System (Treasury System)
PAYLINKS	System	Details Unavailable

### 3.9.3.4 Services

<b>What services are currently defined to support this sub-process?</b>	
<b>Service Name</b>	<b>Description</b>
Not Currently Defined	

## 3.9.4 Mission - Confirm Payments

### 3.9.4.1 Sub-Process Details

<b>General Sub-Process Information</b>	
<b>Sub-Process Description</b>	Reconcile disbursement records with the USDO and Treasury, perform searches for payee information upon requests for information from vendors or managers or based on payment record variances, and produce reports.
<b>FEA BRM v2.0 Sub function</b>	Management of Government Resources/Financial Management/Payments Management of Government Resources/Financial Management/Reporting and Information
<b>Assessment</b>	AMS is updating Mission Functional Requirements and Workflows as part of the Phoenix Overseas Deployment. The updated Mission workflows will be finalized in late November. These Mission business process are general therefore business processes may vary at some Missions.

<b>Who's doing the sub-process? (Business Units and roles)</b>		
<p><b>“Owns”</b> – Provides high level guidance, directs overall effort for completing sub-process, is measured by and ultimately responsible for results.</p> <p><b>“Executes”</b> – Manages day-to-day activities of the sub-process and is responsible for the quality and timeliness of completing the tasks of the sub-process.</p> <p><b>“Participates”</b> – Performs day-to-day activities and contributes to the execution of tasks of the sub-process.</p> <p><b>“Advises”</b> – Plays a consultative role to the supported business unit in the execution of the sub-process.</p>		
<b>Business Unit</b>	<b>Role</b>	<b>Execution Frequency</b>
Mission Controller's Office	Owns	Daily

<b>Where is the sub-process performed? (Sub-Process Execution)</b>	
<b>Business Unit</b>	<b>Location</b>
Missions	Worldwide

### 3.9.4.2 Business Data Used by Sub-Process

<b>Name</b>	<b>Description</b>	<b>Received From</b>	<b>Sends To</b>
Account Updates	Reconciliation is performed between the disbursement information reflected in MACSTRAX, the SF 1221 received from the USDO, statements from the USAID Trust Fund local bank, and the GOALS report from Treasury. If a variance exists between MACSTRAX records and disbursement records, adjustments are posted directly into MACS.	ORG: USDO, ORG: Treasury	
Payee Information	Payee information includes payee name, TIN, 1099 flag, address, bank info, and other applicable vendor information. The MACSTRAX payee profile is set up when the initial voucher is received from the vendor.	SP: Mission – Maintain Payee Information	
Reports	A/P reports are generated from MACS.		

### 3.9.4.3 Supporting Systems / Applications / Tools

<b>Systems, Applications, and Tools Used to Support the Sub-Process</b>		
<p><b>“System”</b> - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p><b>“Tool”</b> - A purpose-built application designed for decision making, reporting, or mitigating gaps in corporate system functionality.</p>		
<b>Name/Acronym</b>	<b>Type</b>	<b>Description</b>
MACS	System	Mission Accounting and Control System (MACS) is a computer-based accounting and financial management system. It is at the center of a process which provides financial information to the United States Agency for International Development in Washington, D.C. (USAID/W), as well as to Mission management and other interested parties. MACS contains programs which maintain data security and recovery, reconcile accounting records for specific periods, archive

<b>Systems, Applications, and Tools Used to Support the Sub-Process</b>		
<p><b>“System”</b> - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p><b>“Tool”</b> - A purpose-built application designed for decision making, reporting, or mitigating gaps in corporate system functionality.</p>		
<b>Name/Acronym</b>	<b>Type</b>	<b>Description</b>
		historical data and meet various other accounting and financial management objectives. MACS is an on-line, interactive, fully integrated processing system in which data is updated continuously as transactions are posted via computer terminal.
USDO	System	Collection data for payments made for mission collections through the USDO Automatic Cashiering System (ACS).
GOALS	System	Details Unavailable

#### 3.9.4.4 Services

<b>What services are currently defined to support this sub-process?</b>	
<b>Service Name</b>	<b>Description</b>
Not Currently Defined	

### 3.10 Mission Accounts Receivable

#### 3.10.1 Mission - Service Accounts Receivable

##### 3.10.1.1 Sub-Process Details

General Sub-Process Information	
<b>Sub-Process Description</b>	Recognize the existence of debt owed to the Mission. Missions do not establish receivables for their "Open Items" until they become delinquent debt, however the amounts due are identified and a preliminary request for collection is sent. At the Moscow Mission, Bills for Collections are set up at the point the debt is created.
<b>FEA BRM v2.0 Sub function</b>	Management of Government Resources/Financial Management/Accounting Management of Government Resources/Financial Management/Collections and Receivables Management of Government Resources/Financial Management Reporting and Information
<b>Assessment</b>	AMS is updating Mission Functional Requirements and Workflows as part of the Phoenix Overseas Deployment. The updated Mission workflows will be finalized in late November. These Mission business process are general therefore business processes may vary at some Missions.  A/R activity at the Mission is low and MACS does not have an AR module so some Missions have developed tools, such as spreadsheets, to facilitate the AR process.

Who's doing the sub-process? (Business Units and roles)		
<p><b>"Owns"</b> – Provides high level guidance, directs overall effort for completing sub-process, is measured by and ultimately responsible for results.</p> <p><b>"Executes"</b> – Manages day-to-day activities of the sub-process and is responsible for the quality and timeliness of completing the tasks of the sub-process.</p> <p><b>"Participates"</b> – Performs day-to-day activities and contributes to the execution of tasks of the sub-process.</p> <p><b>"Advises"</b> – Plays a consultative role to the supported business unit in the execution of the sub-process.</p>		
Business Unit	Role	Execution Frequency
Mission Controller's Office	Owns	Daily

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Missions	Worldwide

##### 3.10.1.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Open Items	Open Items are receivable items that need to be tracked. Open Items are employee expenses for personal use of Mission telephone, fax, or vehicles. Audit disallowances, as well as overpayments to vendors or on employee travel advances are also Open Items.	DS:	
Request for Payment	A Request for Payment is a communication to the debtor requesting payment of an open item. An Employee Uncollectible Debt Memo		ORG: Vendor

Name	Description	Received From	Sends To
	is sent to employees that have outstanding advances is a type of request for payment.		
Bill for Collection	A Bill for Collection is a formal communication to a debtor when an amount is delinquent. It is used to formalize an account receivable. Bill for Collections are generally used when a Mission has not been able to collect on an Open Item. However, Mission Bills for Collection are not recorded in the SGL account for accounts receivable. They are recorded in the Mission Open Item Manual Subsidiary File and a manual A/R Sub-ledger. The process used to formalize an A/R is to Determine the Debt Status, Assess Interest & Penalties if the initial Bill for Collection is unsuccessful, and execute a Bill for Collection.		ORG: Vendor

### 3.10.1.3 Supporting Systems / Applications / Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p><b>“System”</b> - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p><b>“Tool”</b> - A purpose-built application designed for decision making, reporting, or mitigating gaps in corporate system functionality.</p>		
Name/Acronym	Type	Description
Spreadsheets	Tool	A suite of productivity tools produced by the Microsoft Corporation including a word processor (Microsoft Word), a spreadsheet application (Microsoft Excel), presentation software (PowerPoint) and a database application (MS Access). Other applications include a diagramming tool (Visio) and a scheduling product (Microsoft Project).

### 3.10.1.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

### 3.10.2 Mission – Receive Collections

#### 3.10.2.1 Sub-Process Details

General Sub-Process Information	
<b>Sub-Process Description</b>	<p>Collections that are received at by the Cashier can be identified as receipt for an existing account receivable or as an unidentifiable receipt. The Mission can have either a Mission cashier or it can use an Embassy cashier. The collection process consists of Processing the Collection (done by Mission or embassy cashier) Performing Collection Analysis (done by Mission accountant), and Completing the Deposit (done by Mission or embassy cashier).</p> <p>Posting of collections by the cashier is determined by the information that is from the Bill for Collection and with the assistance of the Mission accountant, who provides feedback to the Mission or Embassy cashier. Based on the type of funding involved a collection can be deposited into various accounts.</p>
<b>FEA BRM v2.0 Sub function</b>	Management of Government Resources/Financial Management/Collections and Receivables
<b>Assessment</b>	<p>AMS is updating Mission Functional Requirements and Workflows as part of the Phoenix Overseas Deployment. The updated Mission workflows will be finalized in late November. These Mission business process are general therefore business processes may vary at some Missions.</p> <p>These Mission business process are general therefore business processes may vary at some Missions. A/R activity at the Mission is low and MACS does not have an AR module so some Missions have developed tools, such as spreadsheets, to facilitate the AR process.</p>

Who's doing the sub-process? (Business Units and roles)		
<p><b>“Owns”</b> – Provides high level guidance, directs overall effort for completing sub-process, is measured by and ultimately responsible for results.</p> <p><b>“Executes”</b> – Manages day-to-day activities of the sub-process and is responsible for the quality and timeliness of completing the tasks of the sub-process.</p> <p><b>”Participates”</b> – Performs day-to-day activities and contributes to the execution of tasks of the sub-process.</p> <p><b>“Advises”</b> – Plays a consultative role to the supported business unit in the execution of the sub-process.</p>		
Business Unit	Role	Execution Frequency
Mission Controller's Office	Owns	Daily

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Missions	Worldwide

## 3.10.2.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Bill for Collection	A Bill for Collection is a formal communication to a debtor when an amount is delinquent. It is used to formalize an account receivable. Bill for Collections are generally used when a Mission has not been able to collect on an Open Item. However, Mission Bills for Collection are not recorded in the SGL account for accounts receivable. They are recorded in the Mission Open Item Manual Subsidiary File and a manual A/R Sub-ledger. The process used to formalize an A/R is to Determine the Debt Status, Assess Interest & Penalties if the initial Bill for Collection is unsuccessful, and execute a Bill for Collection.		SP: Mission – Service Accounts Receivable
Deposit document	A document used to describe a deposit.		ORG: USDO
Deposit	Foreign currencies, checks, and cash that is received by the cashier.	ORG: Vendor	

## 3.10.2.3 Supporting Systems / Applications / Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p><b>“System”</b> - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p><b>“Tool”</b> - A purpose-built application designed for decision making, reporting, or mitigating gaps in corporate system functionality.</p>		
Name/Acronym	Type	Description
MACS	System	Mission Accounting and Control System (MACS) is a computer-based accounting and financial management system. It is at the center of a process, which provides financial information to the United States Agency for International Development in Washington, D.C. (USAID/W), as well as to Mission management and other interested parties. MACS contains programs which maintain data security and recovery, reconcile accounting records for specific periods, archive historical data and meet various other accounting and financial management objectives. MACS is an on-line, interactive, fully integrated processing system in which data is updated continuously as transactions are posted via computer terminal.
Spreadsheets	Tool	A suite of productivity tools produced by the Microsoft Corporation including a word processor (Microsoft Word), a spreadsheet application (Microsoft Excel), presentation software (PowerPoint) and a database application (MS Access). Other applications include a diagramming tool (Visio) and a scheduling product (Microsoft Project).

## 3.10.2.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

### 3.10.3 Mission – Monitor Aged Receivables

#### 3.10.3.1 Sub-Process Details

General Sub-Process Information	
<b>Sub-Process Description</b>	Mission Bills for Collection (BFC) and aged Open Items, (for which BFC wasn't sent), are monitored in order to evaluate the status of the delinquent debt. Bills for Collection are sent for aged Open Items after the mission have reviewed debtors' debt case file. Monitoring Aged Receivables process encompasses Recognizing Receivables Past Due and Managing Delinquent Debt. The Mission is able to write-off A/R under \$5,000.
<b>FEA BRM v2.0 Sub function</b>	Management of Government Resources/Financial Management/Accounting Management of Government Resources/Financial Management/Collections and Receivables
<b>Assessment</b>	AMS is updating Mission Functional Requirements and Workflows as part of the Phoenix Overseas Deployment. The updated Mission workflows will be finalized in late November. These Mission business process are general therefore business processes may vary at some Missions.  These Mission business process are general therefore business processes may vary at some Missions. A/R activity at the Mission is low and MACS does not have an AR module so some Missions have developed tools, such as spreadsheets, to facilitate the AR process.

Who's doing the sub-process? (Business Units and roles)		
<p><b>"Owns"</b> – Provides high level guidance, directs overall effort for completing sub-process, is measured by and ultimately responsible for results.</p> <p><b>"Executes"</b> – Manages day-to-day activities of the sub-process and is responsible for the quality and timeliness of completing the tasks of the sub-process.</p> <p><b>"Participates"</b> – Performs day-to-day activities and contributes to the execution of tasks of the sub-process.</p> <p><b>"Advises"</b> – Plays a consultative role to the supported business unit in the execution of the sub-process.</p>		
Business Unit	Role	Execution Frequency
Mission Controller's Office	Owns	Daily

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Missions	Worldwide

#### 3.10.3.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Open Items	Open Items are receivable items that need to be tracked. Open Items are employee expenses for personal use of Mission telephone, fax, or vehicles. Audit disallowances, as well as overpayments to vendors or on employee travel advances are also Open Items.	SP: Mission – Service Accounts Receivable	
Bill for Collection	A Bill for Collection is a formal communication to a debtor when an amount is delinquent. It is used to formalize an account receivable. Bill for Collections are generally used when a Mission has not been able to collect on an Open Item.	SP: Mission – Service Accounts Receivable	ORG: Debtors

Name	Description	Received From	Sends To
	However, Mission Bills for Collection are not recorded in the SGL account for accounts receivable. They are recorded in the Mission Open Item Manual Subsidiary File and a manual A/R Sub-ledger. The process used to formalize an A/R is to Determine the Debt Status, Assess Interest & Penalties if the initial Bill for Collection is unsuccessful, and execute a Bill for Collection.		
Appeals	A request by a debtor to modify the terms and agreements of a debt.	ORG: Debtor	
Write-off	An amount owed by a vendor that is considered not going to be paid		SP: Mission – Service Accounts Receivable
Installment	An agreement between USAID and a debtor for the debtor to service its debt to USAID.		ORG: Debtor

3.10.3.3 Supporting Systems / Applications / Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p><b>“System”</b> - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p><b>“Tool”</b> - A purpose-built application designed for decision making, reporting, or mitigating gaps in corporate system functionality.</p>		
Name/Acronym	Type	Description
Spreadsheets	Tool	A suite of productivity tools produced by the Microsoft Corporation including a word processor (Microsoft Word), a spreadsheet application (Microsoft Excel), presentation software (PowerPoint) and a database application (MS Access). Other applications include a diagramming tool (Visio) and a scheduling product (Microsoft Project).

3.10.3.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

## 4. USAID HIV/AIDS To-Be Business and Information Architecture

### 4.1 Financial Management Changes resulting from Ongoing Programs

The Phoenix Overseas Deployment project is an ongoing project that will have a significant impact of the financial management processes used by Missions. The set of process flows developed by that program were examined to determine the impact on the sub-process captured in the enterprise architecture. In addition, interviews were conducted with project SMEs to validate the findings.

The current set of processes will be fundamentally the same for the To-Be environment. Changes will result from utilizing Phoenix instead of MACS, but from a sub-process perspective, the same activities will be performed. Some activities, such as accruals will be simplified. The following table summarizes the changes resulting from the Phoenix Overseas Deployment project.

As-Is Process	To-Be Process Change
<b>Manage Funds / Distribute Budgetary Resources</b>	<ul style="list-style-type: none"> <li>▪ There will be slight changes in the way in which budgets are distributed; in particular, there will be a 7<sup>th</sup> level in budget distributions.</li> <li>▪ Foreign currency trust funds will be processed the same manner in which other budgets are distributed.</li> <li>▪ Reprogramming dollars will be available at any budget distribution level. Reprogramming at high levels will be done in Washington.</li> </ul>
<b>Mission Accounts Payable</b>	<ul style="list-style-type: none"> <li>▪ The MACSTRAX interface and associated processing for moving information from the MACS system to the central system in USAID/W will go away for those missions utilizing Phoenix.</li> <li>▪ Disbursements will be centralized through Washington and paid by Treasury. (Local payments will still go through locally.)</li> <li>▪ Washington and the field will use the Phoenix Accrual Reporting System.</li> </ul>
<b>Missions Accounts Receivable</b>	<ul style="list-style-type: none"> <li>▪ Missions utilizing Phoenix will use the Accounts Receivable module.</li> </ul>

### 4.2 Financial Management Touch Points to the HIV/AIDS Program

There are no recommended changes in the way that the HIV/AIDS program utilizes the services provided by the Financial Management processes. There are however, specific details in implementing the processes that are documented in the following sections. The integration points between Financial Management and the two business process areas that are central to HIV/AIDS Program operations (Program Oversight and Program Operations) are described in the following subsections.

The following table summarizes the new touchpoints with the To-Be HIV/AIDS Program operations.

FM Process	HIV/AIDS Program Process	Relationship
FM / Manage Funds / All Sub-Processes	Operational Coordination / Monitor and Evaluate Program	FM provides financial information to operating units that facilitates the monitoring, aggregation and reporting of

FM Process	HIV/AIDS Program Process	Relationship
	Performance	HIV/AIDS funds. This information is used, in conjunction with performance related data, to evaluate and report on activity effectiveness.
FM / Manage Funds / Distribute Budgetary Resources	Program Standards / Assess Needed Changes to Program Standards	Program Standards constantly evolve and change to meet program needs. The Office of Financial Management (FM) and Office of HIV/AIDS coordinate through PPC to establish fund codes and to record and distribute funds using established Program Standards. In the event that a given standard is not appropriate or is contradictory to Agency financial management policies, the organization responsible for maintaining HIV/AIDS Program Standards is notified of the discrepancy. The standards organization takes the appropriate action to remedy the discrepancy and updates and distributes modified Program Standards as necessary.
	Program Standards / Develop and Maintain Program Management Criteria	
	Program Standards / Develop and Maintain Technical Performance Indicators	
	Program Standards / Evaluate Program Standards	
FM / Manage General Ledger / Generate Financial Reports	Program Information / Collect and Aggregate Program Results	FM provides financial information to OHA that facilitates the monitoring, aggregation and reporting of HIV/AIDS funds. OHA uses this information in conjunction with performance, technical, and budget related data from operating units to establish overall Program results.

### 4.3 Recommendations

The HIV/AIDS segmented EA has identified several improvements to the HIV/AIDS Program. These improvements rest on three foundational areas:

- *Standards* – Including documenting and formalizing processes, developing and enforcing standards and lexicon and aligning indicators across business areas.
- *Governance* – Including formalizing roles and aligning responsibility, authority and accountability.
- *Communications* – Including developing and adopting a formal Communication Plan, as well as quick hit Program Management Information reporting solutions.

A detailed description of each recommendation can be found in the USAID HIV/AIDS Segment Business and Information Architecture Overview (MST-PMO-004-CP-051-D00-IBM dated January 12, 2004), Section 7 Recommendations.

Several of the individual recommendations, and all three foundational areas, affect the Financial Management Business Process Area. At this time, the specific recommendations below are being made for the Financial Management Business Process Area to play a key role in developing and

implementing solutions. All recommendations made should be coordinated with the FM BPA, but should be led by other parts of the HIV/AIDS Program. For specifics see the above reference.

- **Investigate the ability and effectiveness of aligning the ACS with the budget/program categories**– The concept is to determine if aligning the ACS with the budget/program categories within the ACS, will better address financial reporting needs. Furthermore, this might facilitate tracking and reporting on multi-purpose dollars since the purpose is ultimately captured within the SO structure.
- **More Involvement by M/FM and M/OP in Financial Management and Acquisition and Assistance HIV/AIDS Program Policies and Procedures** – Work closely with the Office of Procurement and Office of Financial Management to develop and maintain HIV/AIDS Program Policies and Procedures that pertain to the areas of acquisitions and financial management. This coordination will enable the development of a unified HIV/AIDS Program approach to strategic planning, acquisition planning, budget and performance planning, and financial management.
- **Investigate and unify the primary touchpoint between the HIV/AIDS Program, A&A, FM, and Budgeting** - Investigate budget execution to fully understand the touch points between the HIV/AIDS Program and Budgeting, Financial Management, and Acquisition and Assistance. The front end of the budget execution phase, where the various planning processes (HIV/AIDS Program, Budgeting, and Acquisitions and Assistance) overlap with the executing program operations. Currently, there are a multitude of cuff systems and informal processes that attempt to facilitate and coordinate information exchange across the various areas. By formally defining the processes, and integrating systems that support these BPAs, this area can be improved, and really serve as the keystone to build the rest of the Program and BPA transformation. Some of this will be addressed by the Phoenix Overseas Deployment Project and the Procurement System Improvement Project but more significantly more integration is needed to develop a common Agency standard.

## Appendix A: As-Is FEA PRM Alignment

<b>Services to Citizens</b>		
This Measurement Category Captures The Extent To Which Results Related To Services That The U.S. Government Provides Both To And On Behalf Of The American Citizen Are Achieved.		
<b>Measurement Category</b>	<b>Generic Measurement Indicator Grouping</b>	<b>"Operationalized" Measurement Indicators</b>
<b>COMMUNITY AND SOCIAL SERVICES -</b> Community and Social Services includes all activities aimed at creating, expanding, or improving community and social development, social relationships, and social services in the United States. This includes all activities aimed at locality specific or nationwide social development and general social services. This Line of Business includes general community development and social services programs, as well as earned and unearned benefit programs that promote these objectives.	Homeownership Promotion	
	Community and Regional Development	
	Social Services	
	Postal Services	
<b>DEFENSE AND NATIONAL SECURITY -</b> Protect and advance U.S. national interests and, if deterrence fails, decisively defeat threats to those interests	Strategic National and Theatre Defense	
	Operational Defense	
	Tactical Defense	
<b>DISASTER MANAGEMENT-</b> Disaster Management involves the activities required to prepare for, mitigate, respond to, and repair the effects of all disasters whether natural or man-made.	Disaster Monitoring and Prediction	
	Disaster Preparedness and Planning	
	Disaster Repair and Restore	
	Emergency Response	
<b>ECONOMIC DEVELOPMENT-</b> Economic Development includes the activities required to promote commercial/industrial development and to regulate the American financial industry to protect investors. It also includes the management and control of the domestic economy and the money supply, and the protection of intellectual property and innovation.	Business and Industry Development	
	Industry Sector Income Stabilization	
	Intellectual Property Protection	
	Financial Sector Oversight	
<b>EDUCATION –</b> Education refers to those activities that impart knowledge or understanding of a particular subject to the public. Education can take place at a formal school, college, university or other training program. This Line of Business includes all government programs that promote the education of the public, including both earned and unearned benefit programs.	Elementary, Secondary, and Vocational Education	
	Higher Education	
	Cultural and Historic Preservation	
	Cultural and Historic Exhibition	

<b>Services to Citizens</b>		
This Measurement Category Captures The Extent To Which Results Related To Services That The U.S. Government Provides Both To And On Behalf Of The American Citizen Are Achieved.		
<b>Measurement Category</b>	<b>Generic Measurement Indicator Grouping</b>	<b>"Operationalized" Measurement Indicators</b>
<b>ENERGY</b> - Energy refers to all actions performed by the government to ensure the procurement and management of energy resources, including the production, sale and distribution of energy, as well as the management of spent fuel resources. Energy management includes all types of mass-produced energy (e.g., hydroelectric, nuclear, wind, solar, or fossil fuels). Also included in this Line of Business is the oversight of private industry.	Energy Supply	
	Energy Conservation and Preparedness	
	Energy Resource Management	
	Energy Production	
<b>ENVIRONMENTAL MANAGEMENT</b> - Environmental Management includes all functions required to monitor the environment and weather, determine proper environmental standards and ensure their compliance, and address environmental hazards and contamination.	Environmental Monitoring and Forecasting	
	Environmental Remediation	
	Pollution Prevention and Control	
<b>LAW ENFORCEMENT</b> - Law Enforcement involves activities to protect people, places, and things from criminal activity resulting from non-compliance with U.S. laws. This includes patrols, undercover operations, response to emergency calls, as well as arrests, raids, and seizures of property.	Criminal Apprehension	
	Criminal Investigation and Surveillance	
	Citizen Protection	
	Crime Prevention	
	Leadership Protection	
	Property Protection	
	Substance Control	
<b>LITIGATION AND JUDICIAL ACTIVITIES-</b> Litigation and Judicial Activities refers to those activities relating to the administration of justice.	Judicial Hearings	
	Legal Defense	
	Legal Investigation	
	Legal Prosecution and Litigation	
	Resolution Facilitation	
<b>CORRECTIONAL ACTIVITIES-</b> Correctional Activities involves all Federal activities that ensure the effective incarceration and rehabilitation of convicted criminals.	Criminal Incarceration	
	Criminal Rehabilitation	
<b>HEALTH</b> - Health involves Federal programs and activities to ensure and provide for the health and well being of the public. this includes the direct provision of health care services and immunizations as well as the monitoring and tracking of public health indicators for the detection of trends and identification of widespread illnesses/diseases. It also includes both earned and unearned health care benefit programs.	Illness Prevention	
	Immunization Management	
	Public Health Monitoring	
	Health Care Services	
	Consumer Health and Safety	

<b>Services to Citizens</b>		
This Measurement Category Captures The Extent To Which Results Related To Services That The U.S. Government Provides Both To And On Behalf Of The American Citizen Are Achieved.		
<b>Measurement Category</b>	<b>Generic Measurement Indicator Grouping</b>	<b>"Operationalized" Measurement Indicators</b>
<b>HOMELAND SECURITY-</b> Homeland Security involves protecting the nation against terrorist attacks. This includes analyzing threats and intelligence, guarding borders and airports, protecting critical infrastructure, and coordinating the response emergencies. The Homeland Security Line of Business is defined by the President's Strategy on Homeland Security. Note: Some of the Critical Mission Areas from the President's strategy have already been identified in other Lines of Business in the BRM.	Border and Transportation Security	
	Key Asset and Critical Infrastructure Protection	
	Catastrophic Defense	
<b>INCOME SECURITY –</b> Income Security includes activities designed to ensure that members of the public are provided with the necessary means – both financial and otherwise – to sustain an adequate level of existence. This includes all benefit programs, both earned and unearned, that promote these goals for members of the public.	General Retirement and Disability	
	Unemployment Compensation	
	Housing Assistance	
	Food and Nutrition Assistance	
	Survivor Compensation	
<b>INTELLIGENCE OPERATIONS-</b> TBD		
<b>INTERNATIONAL AFFAIRS AND COMMERCE-</b> International Affairs and Commerce involves the non-military activities that promote U.S. policies and interests beyond our national borders, including the negotiation of conflict resolution, treaties, and agreements. In addition, this function includes: foreign economic development and social/political development; diplomatic relations with other Nations; humanitarian, technical and other developmental assistance to key Nations; and global trade.	Foreign Affairs	
	International Development and Humanitarian Aid	
	Global Trade	
<b>NATURAL RESOURCES -</b> Natural Resources includes all activities involved in conservation planning, land management, and national park/monument tourism that affect the nation's natural and recreational resources, both private and federal. Note: Energy-related natural resources are covered in the Energy Management line of business.	Water Resource Management	
	Conservation, Marine and Land Management	
	Recreational Resource Management and Tourism	
	Agricultural Innovation and Services	
<b>TRANSPORTATION -</b> Transportation involves all federally supported activities related to the safe passage, conveyance, or transportation of goods and/or people.	Air transportation	
	Ground Transportation	
	Water Transportation	
	Space Operations	

<b>Services to Citizens</b>		
This Measurement Category Captures The Extent To Which Results Related To Services That The U.S. Government Provides Both To And On Behalf Of The American Citizen Are Achieved.		
<b>Measurement Category</b>	<b>Generic Measurement Indicator Grouping</b>	<b>"Operationalized" Measurement Indicators</b>
<b>WORKFORCE MANAGEMENT</b> – Workforce Management includes those activities that promote the welfare of the Nation’s workforce by improving their working conditions, advancing opportunities for profitable employment, and strengthening free collective bargaining.	Training and Employment	
	Labor Rights Management	
	Worker Safety	
<b>GENERAL SCIENCE AND INNOVATION</b> - General Science and Innovation includes all Federal activities to meet the national need to advance knowledge in this area. This includes general research and technology programs, space exploration activities, and other research and technology programs that have diverse goals and cannot be readily classified into another Line of Business or Sub-function.	Scientific and Technological Research and Innovation	
	Space Exploration and Innovation	

<b>Support Delivery of Services</b>		
This Measurement Category Captures The Extent To Which Intermediate Outcomes Related To The Delivery Of Services Are Achieved.		
<b>Measurement Category</b>	<b>Generic Measurement Indicator Grouping</b>	<b>"Operationalized" Measurement Indicators</b>
<b>CONTROLS AND OVERSIGHT</b> - Controls and Oversight ensures that the operations and programs of the Federal Government and its external business partners comply with applicable laws and regulations and prevent waste, fraud, and abuse.	Corrective Action	
	Program Evaluation	
	Program Monitoring	
<b>INTERNAL RISK MANAGEMENT AND MITIGATION</b> - Internal Risk Management and Mitigation involves all activities relating to the processes of analyzing exposure to risk and determining appropriate countermeasures.	Contingency Planning	
	Continuity Of Operations	
	Service Recovery	
<b>LEGISLATIVE RELATIONS</b> - Legislative Relations involves activities aimed at the development, tracking, and amendment of public laws through the legislative branch of the Federal Government.	Legislation Tracking	
	Legislation Testimony	
	Proposal Development	
	Congressional Liaison Operations	
<b>REGULATORY DEVELOPMENT</b> - Regulatory Development involves activities associated developing regulations, policies, and guidance to implement laws.	Policy and Guidance Development	
	Public Comment Tracking	
	Regulatory Creation	
	Rule Publication	

<b>Support Delivery of Services</b>		
This Measurement Category Captures The Extent To Which Intermediate Outcomes Related To The Delivery Of Services Are Achieved.		
<b>Measurement Category</b>	<b>Generic Measurement Indicator Grouping</b>	<b>"Operationalized" Measurement Indicators</b>
<b>PLANNING AND RESOURCE ALLOCATION</b> - Planning and Resource Allocation involves the activities of determining strategic direction, identifying and establishing programs and processes, and allocating resources (capital and labor) among those programs and processes.	Budget Formulation	
	Capital Planning	
	Enterprise Architecture	
	Strategic Planning	
	Budget Execution	
	Workforce Planning	
	Management Improvement	
<b>PUBLIC AFFAIRS</b> - Public Affairs involves the exchange of information and communication between the Federal Government, citizens and stakeholders in direct support of citizen services, public policy, and/or national interest.	Customer Services	
	Official Information Dissemination	
	Product Outreach	
	Public Relations	
<b>REVENUE COLLECTION</b> - Revenue Collection includes the collection of Government income from all sources. Note: Tax collection is accounted for in the Taxation Management Sub-Function in the General Government Line of Business.	Debt Collection	
	User Fee Collection	
	Federal Asset Sales	
<b>GENERAL GOVERNMENT</b> - General Government involves the general overhead costs of the Federal Government, including legislative and executive activities; provision of central fiscal, personnel, and property activities; and the provision of services that cannot reasonably be classified in any other Line of Business. As a normal rule, all activities reasonably or closely associated with other Lines of Business or Sub-Functions shall be included in those Lines of Business or Sub-Functions rather than listed as a part of general government. This Line of Business is reserved for central government management operations; Agency-specific management activities would not be included here.	Central Fiscal Operations	
	Legislative Functions	
	Executive Functions	
	Central Property Management	
	Central Personnel Management	
	Taxation Management	
	Central Records and Statistics Management	

<b>Management of Government Resources</b>		
This Measurement Category Captures The Extent To Which Intermediate Outcomes Related To Back Office Support That Enable Government To Operate Efficiently Are Achieved.		
<b>Measurement Category</b>	<b>Generic Measurement Indicator Grouping</b>	<b>"Operationalized" Measurement Indicators</b>
<b>ADMINISTRATIVE MANAGEMENT -</b> Administrative Management involves the day-to-day management and maintenance of the internal infrastructure.	Facilities, Fleet, and Equipment Management	
	Help Desk Services	
	Security Management	
	Travel	
	Workplace Policy Development and Management	
<b>FINANCIAL MANAGEMENT –</b> The use of financial information to measure, operate and predict the effectiveness and efficiency of an entity's activities in relation to its objectives. The ability to obtain and use such information is usually characterized by having in place policies, standards, and a system of controls that reliably capture and report activity in a consistent manner.	Accounting	
	Budget and Finance	
	Payments	
	Collections and Receivables	
	Asset and Liability Management	
	Reporting and Information	
<b>HUMAN RESOURCE MANAGEMENT -</b> Human Resource Management involves all activities associated with the recruitment and management of personnel.	Benefits Management	
	Personnel Management	
	Payroll Management and Expense Reimbursement	
	Resource Training And Development	
	Security Clearance Management	
	Staff Recruitment And Employment	
<b>INFORMATION AND TECHNOLOGY MANAGEMENT –</b> Information and Technology Management involves the coordination of information technology resources and systems required to support or provide a citizen service.	Lifecycle/Change Management	
	System Development	
	System Maintenance	
	IT Infrastructure Maintenance	
	IT Security	
	Record Retention	
	Information Management	
<b>SUPPLY CHAIN MANAGEMENT -</b> Supply Chain Management involves the purchasing, tracking, and overall management of goods and services.	Goods Acquisition	
	Inventory Control	
	Logistics Management	
	Services Acquisition	

## Appendix B: As-Is FEA BRM Alignment

Services to Citizens		
The Services For Citizens Business Area Describes The Mission And Purpose Of The United States Government In Terms Of The Services It Provides Both To And On Behalf Of The American Citizen. It Includes The Delivery Of Citizen-Focused, Public, And Collective Goods And/Or Benefits As A Service And/Or Obligation Of The Federal Government To The Benefit And Protection Of The Nation's General Population.		
Lines of Business	Sub-Functions	FM Reference
COMMUNITY AND SOCIAL SERVICES	Homeownership Promotion	
	Community and Regional	
	Social Services	
	Postal Services	
DEFENSE AND NATIONAL SECURITY		
DISASTER MANAGEMENT	Disaster Monitoring and Prediction	
	Disaster Preparedness and Planning	
	Disaster Repair and Restore	
	Emergency Response	
ECONOMIC DEVELOPMENT	Business and Industry	
	Industry Sector Income Stabilization	
	Intellectual Property Protection	
	Financial Sector Oversight.	
EDUCATION	Elementary, Secondary, and Vocational Education	
	Higher Education	
	Cultural and Historic Preservation	
	Cultural and Historic Exhibition	
ENERGY	Energy Supply	
	Energy Conservation and Preparedness	
	Energy Resource Management	
	Energy Production	
ENVIRONMENTAL MANAGEMENT	Environmental Monitoring and Forecasting	
	Environmental Remediation	
	Pollution Prevention and Control	
LAW ENFORCEMENT	Criminal Apprehension	
	Criminal Investigation and Surveillance	

<b>Services to Citizens</b>		
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<b>Lines of Business</b>	<b>Sub-Functions</b>	<b>FM Reference</b>
	Citizen Protection	
	Crime Prevention	
	Leadership Protection	
	Property Protection.	
	Substance Control	
LITIGATION AND JUDICIAL ACTIVITIES	Judicial Hearings	
	Legal Defense	
	Legal Investigation	
	Legal Prosecution and Litigation	
	Resolution Facilitation	
CORRECTIONAL ACTIVITIES	Criminal Incarceration	
	Criminal Rehabilitation	
HEALTH	Illness Prevention	
	Immunization Management	
	Public Health Monitoring	
	Health Care Services	
	Consumer Health and Safety	
HOMELAND SECURITY.	Border and Transportation Security	
	Key Asset and Critical Infrastructure Protection	
	Catastrophic Defense	
INCOME SECURITY	General Retirement and Disability	
	Unemployment Compensation	
	Housing Assistance	
	Food and Nutrition Assistance	
	Survivor Compensation	
INTELLIGENCE OPERATIONS		
INTERNATIONAL AFFAIRS AND COMMERCE.	Foreign Affairs	
	International Development and Humanitarian Aid	
	Global Trade	
NATURAL RESOURCES	Water Resource Management.	

<b>Services to Citizens</b>		
The Services For Citizens Business Area Describes The Mission And Purpose Of The United States Government In Terms Of The Services It Provides Both To And On Behalf Of The American Citizen. It Includes The Delivery Of Citizen-Focused, Public, And Collective Goods And/Or Benefits As A Service And/Or Obligation Of The Federal Government To The Benefit And Protection Of The Nation's General Population.		
<b>Lines of Business</b>	<b>Sub-Functions</b>	<b>FM Reference</b>
	Conservation, Marine and Land Management	
	Recreational Resource Management and Tourism	
	Agricultural Innovation and Services	
TRANSPORTATION	Air transportation	
	Ground Transportation	
	Water Transportation	
	Space Operations	
WORKFORCE MANAGEMENT	Training and Employment	
	Labor Rights Management	
	Worker Safety	
GENERAL SCIENCE AND INNOVATION	Scientific and Technological Research and Innovation	
	Space Exploration and Innovation	

<b>Modes of Delivery</b>		
The Mode Of Delivery Business Area Describes The Mechanisms The Government Uses To Achieve The Purpose Of Government, Or Its Services For Citizens. It Includes Financial Vehicles, Direct Government Delivery, And Indirect Government Delivery.		
<b>Lines of Business</b>	<b>Sub-Functions</b>	<b>FM Reference</b>
KNOWLEDGE CREATION AND MANAGEMENT	Research and Development	
	General Purpose Data and Statistics	
	Advising and Consulting	
	Knowledge Dissemination.	
PUBLIC GOODS CREATION & MANAGEMENT	Manufacturing	
	Construction	
	Public Resources, Facilities, & Infrastructure Management	
	Information Infrastructure Management	
REGULATORY COMPLIANCE AND ENFORCEMENT	Inspections & Auditing	
	Standard Setting / Reporting Guideline Development	

<b>Modes of Delivery</b>		
The Mode Of Delivery Business Area Describes The Mechanisms The Government Uses To Achieve The Purpose Of Government, Or Its Services For Citizens. It Includes Financial Vehicles, Direct Government Delivery, And Indirect Government Delivery.		
<b>Lines of Business</b>	<b>Sub-Functions</b>	<b>FM Reference</b>
	Permits and Licensing	
DIRECT SERVICES FOR CITIZENS	Military Operations	
	Civilian Operations	
FEDERAL FINANCIAL ASSISTANCE	Federal Grants (Non-State)	Manage LOC Grants
	Direct Transfers to Individuals	
	Subsidies	
	Tax Credits	
TRANSFERS TO STATES AND LOCAL GOVERNMENTS	Formula Grants	
	Project/Competitive	
	Earmarked Grants	
	State Loans	
CREDIT AND INSURANCE	General Insurance	
	Loan Guarantees.	
	Direct Loans	

<b>Support Delivery of Services</b>		
Support Delivery Of Services Provides The Critical Policy, Programmatic And Managerial Foundation To Support Federal Government Operations.		
<b>Lines of Business</b>	<b>Sub-Functions</b>	<b>FM Reference</b>
CONTROLS AND OVERSIGHT	Corrective Action	
	Program Evaluation	
	Program Monitoring	
INTERNAL RISK MANAGEMENT AND MITIGATION	Contingency Planning	
	Continuity Of Operations	
	Service Recovery	
LEGISLATIVE RELATIONS	Legislation Tracking	
	Legislation Testimony	
	Proposal Development	
	Congressional Liaison Operations	
REGULATORY DEVELOPMENT	Policy and Guidance Development	
	Public Comment Tracking	
	Regulatory Creation	

<b>Support Delivery of Services</b>		
Support Delivery Of Services Provides The Critical Policy, Programmatic And Managerial Foundation To Support Federal Government Operations.		
<b>Lines of Business</b>	<b>Sub-Functions</b>	<b>FM Reference</b>
	Rule Publication	
PLANNING AND RESOURCE ALLOCATION	Budget Formulation	
	Capital Planning	
	Enterprise Architecture	
	Strategic Planning	
	Budget Execution	Distribute Budgetary Resources Control Funds
	Workforce Planning	
	Management Improvement	
PUBLIC AFFAIRS	Customer Services	
	Official Information Dissemination	
	Product Outreach	
	Public Relations	
REVENUE COLLECTION	Debt Collection	
	User Fee Collection	
	Federal Asset Sales	
GENERAL GOVERNMENT	Central Fiscal Operations	
	Legislative Functions	
	Executive Functions	
	Central Property Management	
	Central Personnel Management	
	Taxation Management	
	Central Records and Statistics Management	

<b>Management of Government Resources</b>		
Management Of Government Resources Refers To The Back Office Support Activities That Enable The Government To Operate Effectively		
Lines of Business	Sub-Functions	FM Reference
ADMINISTRATIVE MANAGEMENT	Facilities, Fleet, And Equipment Management	
	Help Desk Services	
	Security Management	
	Travel	
	Workplace Policy Development And Management	
FINANCIAL MANAGEMENT	Accounting	Maintain Accounting System Information Process Transactions Analyze & Reconcile General Ledger Generate Financial Reports Manage Accounts Payable Information Record Accounts Payable Establish Accounts Receivable Service Accounts Receivable Monitor Accounts Receivable Manage Accruals Allocate Costs Manage LOC Grants
	Budget and Finance	Distribute Budgetary Resources Control Funds Record Accounts Payable
	Payments	Manage Accounts Payable Information Record Accounts Payable Execute Payments Confirm Payments
	Collections and Receivables.	Establish Accounts Receivable Service Accounts Receivable Collect Payments Monitor Accounts Receivable
	Asset and Liability Management	

<b>Management of Government Resources</b>		
Management Of Government Resources Refers To The Back Office Support Activities That Enable The Government To Operate Effectively		
Lines of Business	Sub-Functions	FM Reference
	Reporting and Information	Maintain Accounting System Information Process Transactions Analyze & Reconcile General Ledger Generate Financial Reports Manage Accounts Payable Information Record Accounts Payable Confirm Payments Service Accounts Receivable Manage Accruals Allocate Costs Manage LOC Grants
HUMAN RESOURCE MANAGEMENT	Benefits Management	
	Personnel Management	
	Payroll Management and Expense Reimbursement	
	Resource Training And Development	
	Security Clearance Management	
	Staff Recruitment And Employment	
INFORMATION AND TECHNOLOGY MANAGEMENT	Lifecycle/Change Management	
	System Development	
	System Maintenance	
	IT Infrastructure Maintenance	
	IT Security	
	Record Retention	
	Information Management	
SUPPLY CHAIN MANAGEMENT	Goods Acquisition	
	Inventory Control	
	Logistics Management	
	Services Acquisition	

## Appendix C: As-Is FEA DRM Alignment

People, organization & relationships - This subject area includes attributes about people, organizations, and the relationships between them. Relationships include vendors, stakeholders, owners, customers, partners, etc.

Name	Description
Vendor Information	Vendor information includes: vendor ID, vendor name, address (es), phone numbers, bank account(s) and electronic fund transfer information, other required information for advertising, disbursement, and reporting.

**Objectives, goals, & results** – This subject area consists of desired achievements and a measures of achievements. These can be used to support objectives, goals and results at many levels, including at the USAID level, the OHA level, and the operating unit level.

Name	Description
Identify Data	Identify statistical unit data using the staffing pattern report, NFC database queries, procurement report, and stacking plan report.

**Offerings** – This subject area consists of products and/or services provided by a person/organization to another person/organization. This can be used for products/services offered by USAID and products/services offered to USAID.

**Financial Data** – This subject area consists of any type of financial data excluding budget data. This is primarily focused on the use of financial resources, not what is planned.

Name	Description
Account Balances, Transaction Details	Funding levels within the Agency account structure, including trial balances and general ledger details. Accounting details associated with the posting of information from a financial event to the general ledger, including accounting transaction codes, object codes, etc
Account Receivable 1099 Information	Tax information associated with delinquent debts.
Account Update, Procurement Transactions	Financial information that updates Agency account records. Includes the results of posting appropriations, transaction data resulting associated with financial events, and account balance rollover associated with periodic account closing. Audit trails are generated for all account updates. Note that in the as-is financial management architecture, account updates from missions are posted to the general ledger via an auxiliary ledger in USAID/W that serves as a collection point.  Financial transactions associated with a procurement document that have been validated and approved for posting to the general ledger. It includes commitment /de-commitment, obligation /de-obligation, sub-commitment/ de-commitment, sub-obligation/de-obligation.
Accounts Payable Information	Information required to process individual payments and recurring payments. Required information includes payee information, banking information, and tax information. Financial system document that contains the information from the vendor invoice and establishes the basis for making a disbursement. Invoices requiring administrative

Name	Description
	approval require payment authorization from the CTO through the A&A business area. Invoices for goods acquired by USAID require notification matching of receipt from the property management system.
Accounts Receivable	Financial system document containing billing information. The account receivables document references the proper fund account information for the bill.
Accounts Receivable Report	Reports of financial activity on all accounts receivable, including disbursements in transit and collections received, for the purposes of accounts receivable reconciliation and adjustments as necessary.
Accruals Loaded to ARS	The Accruals Report gathers Obligation and Contract information from Phoenix and A&A, and uses this data to calculate Estimated Accrual amounts. Each line of the report represents either an Obligation line item or a Contract funding strip. The accruals information is loaded to the Accruals Reporting System (ARS) and users are given access to review and change information as appropriate. A hard copy report is also provided to users by M/FM/A.
Accruals Uploaded to Phoenix	Once the two week review period is over, the accruals information is formatted and uploaded to Phoenix. AV forms are created and process through a batch process.
ACS	Financial information that updates Agency account records. Includes the results of posting appropriations, transaction data resulting associated with financial events, and account balance rollover associated with periodic account closing. Audit trails are generated for all account updates. Note that in the as-is financial management architecture, account updates from missions are posted to the general ledger via the MACS Auxiliary Ledger (MAL) in USAID/W that serves as a collection point.
Advice of Charge & Collection	Advisement of charges and collections communicated between two mission accounting stations and between mission accounting stations and Washington. Advice of charge refers to notification of a payment made in USAID/W or a mission accounting station on behalf of another accounting station. Advice of collection refers to receipts collected at USAID/W or a mission accounting station on behalf of another accounting station.
Agency Financial Reports	Agency internal reports (e.g., trial balances, general ledger details, transaction details) and financial reports delivered to external organizations such as the US Treasury. Major reports include 1) Monthly Statement of Transactions (SF 224), 2) Quarterly Report of Budget Execution(SF 133), 3) Year-End Closing Statement (FMS 2108), 4) Federal Agencies Centralized Trial Balance I (FACTS I - Proprietary Account Trial Balance), 5) Federal Agencies Centralized Trial Balance II (FACTS II - Budgetary Account Trial Balance), 7) Treasury Report on Receivables (TROR), 8) Reports on Guaranteed Loans (SF 220-8), and 9) Accounts Receivable Due from the Public (Schedule 9). Also includes ad hoc reports and reports created in Crystal Enterprise and Business Objects.
Allocated Costs	Statistical unit results are provided to AMS for uploading to Phoenix. Input data and run the model.
Allocated MCA Results to SO & Goals	Based on Business Objects reports from the GL cost is allocated to SO and Goals.
Amount to Be Accrued	A report of the amount to be accrued for an accounting period. An accrual is the value of the liabilities or expenses recognized during the period for goods and/or services received, but not yet disbursed (source: ADS 631).
Approved Accrual	The CTO's approval of the amount to be accrued, corrected as necessary by the CTO.
ARS On-Line Changes	Users and managers log on to the ARS to review accrual information, make changes where appropriate, and monitor the review process. Users have two weeks to review and change information.

Name	Description
Bill for Collection	A Bill for Collection is a formal communication to a debtor when an amount is delinquent. It is used to formalize an account receivable. Bill for Collections are generally used when a Mission has not been able to collect on an Open Item. However, Mission Bills for Collection are not recorded in the SGL account for accounts receivable. They are recorded in the Mission Open Item Manual Subsidiary File and a manual A/R Sub-ledger. The process used to formalize an A/R is to Determine the Debt Status, Assess Interest & Penalties if the initial Bill for Collection is unsuccessful, and execute a Bill for Collection. SF 129, Bill for Collection in foreign currency or U.S. dollars. If the payer is a government Agency, the bill will consist of SF 1080 (non-IPAC) or SF1081 (IPAC) to facilitate funds transfer and collections.
Budget Allowance for Trust Funds	The amount of funding held by a mission in local currency trust funds, as specified in memoranda of understanding with the host country government.
Collection (ACS)	Collection data for payments made for mission collections through the USDO Automatic Cashiering System (ACS).
Collection (Bank Transmittal)	Collection data for payments made through banks. Financial Institutions make various kinds of collections on behalf of USAID ("lockbox services").
Collection (CASHLINK)	An online system used in USAID/W to monitor collections and balances on a daily basis. The system allows the Agency to monitor electronic funds transfers (EFTs) that are submitted to Treasury on behalf of USAID. Using Cash-Link the Agency can download account balances, average daily balances, wire transfers, and detail account transactions.
Collection (IPAC/GOALS)	Collection data for interAgency payments made via Treasury Online Intra-Governmental Payment and Collection (IPAC), accessed through the US Treasury GOALS.
Corrections	Correcting entries to financial data, for posting to the general ledger.
Credit Card Transaction	Financial transaction made by a USAID employee via USAID corporate credit card.
Credit Program Transaction	Data on a credit transaction serviced by the USAID loan servicing contractor. The contractor provides information monthly for non-collection transactions and weekly for collection transactions (currently an extract file from the Riggs M&I system is created containing the necessary loan transaction data: USAID imports the data into a journal voucher for posting to the general ledger). The loan servicing contractor also provides a daily Interface file containing collections data at transaction level (deposit with the Federal reserve).
Delinquent Debt	A receivable past due.
Deposit	Foreign currencies, checks, and cash that is received by the cashier.
Deposit document	A document used to describe a deposit.
Disbursement	A payment as has been recorded in MACS.
Download Advance data	Advance data is manually downloaded from the DHHS PMS and uploaded it to Phoenix through a batch process. Advances are downloaded monthly with the Charges by Appropriation SF 224 Detail file. The interface posts both Washington and Mission advances to Phoenix at the appropriation level via an SV document.
Download Expenditures data	<p>Expenditure Data is manually downloaded from DHHS PMS on a biweekly basis and uploaded to Phoenix through a batch process. The interface liquidates all advances, including Mission advances, and updates the GL, but it differentiates between Washington and Mission expenditures.</p> <ul style="list-style-type: none"> <li>▪ Washington expenditures are automatically posted to Phoenix as GP documents, liquidating the advance and obligation.</li> <li>▪ The interface liquidates Mission advances in Phoenix through an SV but it does not record Mission expenditures in Phoenix. Instead, the interface creates a Mission</li> </ul>

Name	Description
	expenditure report sorted by ALC, which is used to bill the Missions via IPAC. When IPAC bills are received by the Missions, the expenditures are recorded in MACS against the applicable obligation and ALC. The MACS obligation is also linked to an appropriation symbol. From the IPAC bill, the Mission reports charges to the appropriate appropriation on the SF 224.
Dunning Notice	Notice to a payer of a receivable past due, along with notice of interest and penalties due. Dunning notices are generated at 30 and 60 days past due. The second dunning letter constitutes a letter of intent to refer the debt to the US Treasury for administrative offset (the Treasury services debt collections for all debts over 90 days delinquent).
Error and Statistics Report	The Error and Statistics Report is reviewed after every download. If an error occurs M/FM/CMP/GIB reviews the error and makes manual corrections where appropriate.
Final Payment	
Financial Performance Status	Actual financial information reflecting all Agency transactions (events that change USAID financial position). Actual amounts available, committed, obligated, and expended reflecting all transactions at all accounting classification system (ACS) levels. This data may be for the current year or any prior year, as requested.
Historical Financial Data	Financial data that has been archived and that is subject to US government schedule regulations regarding retention and disposal of official records.
ICASS Cost Distribution	Determination by USAID/W of ICASS cost attributable to USAID bureaus and operating units.
ICASS Service Bill	Notification of the receipt a bill of a given amount for services that the Agency has used under an ICASS agreement.
ICASS Service Reimbursement	Notification of the receipt of a reimbursement of a given amount that USAID/W (M/FM) has received for services rendered by the Agency under an ICASS agreement.
IRS 1099 Data	Data, including taxpayer identification number (TIN) and payee type and amounts, transferred to the US Treasury for the generation of vendor 1099 forms.
Journal Vouchers	Journal Voucher (JV), a record of nonstandard accounting transactions that do not correspond to pre-defined accounting events. JV's are only used for unique or infrequently occurring transactions such as audit adjustments, transactions that reclassify other transactions, and period-end adjustments.
Loan Obligation Information	Information on loans to be serviced by the USAID loan servicing contractor. Note: The current servicing contractor is Riggs Bank. USAID provides Riggs with current loan award information through manual data exchange. The program office that made the loan sends a hard copy of the loan agreement. In addition, USAID makes electronic funds transfer to Riggs when necessary as advances to cover anticipated defaults on guaranteed loans.
LOC Eligibility Data	<p>In order to qualify for LOC grant, a grantee should meet the four criteria below:</p> <ul style="list-style-type: none"> <li>▪ The grantee must have a U.S. bank account,</li> <li>▪ The grantee must be designated as "responsible" (normally by an A-133 Audit or a review of prior performance),</li> <li>▪ The grant must be greater than \$120,000, and</li> <li>▪ The period of performance must be greater than 12 months</li> </ul> <p>In order to establish a LOC account in PMS, the following documents must be submitted by the grantee to DHHS through M/FM/CMP- LOC Unit Completed/Signed original Direct Deposit Sign-Up Form (SF 1199A) and Contact Information Form. DHHS registers the grantee and bank information into the PMS and generates Account Code, PIN/EIN codes. With the availability of Account/PIN/EIN codes, LOC Unit submits to DHHS a request for Subaccount and/or Appropriation Table updates in the PMS M/FM/CMP/GIB then enters detailed award information into the DHHS PMS On-line authorization via an Internet connection. This is done in Washington for all types of grants (i.e., Mission, A&amp;A, etc.).</p>

Name	Description
LOC Grant Transaction	Information regarding advances made by DHHS to grantees and expenditures made by grantees. Advances are transferred monthly for general ledger entries. Expenditures are transferred twice monthly. Detailed transaction data include advances, expenditures, original obligations, adjustments to obligation, and beginning and end dates of the grants. Monthly weighted average of unliquidated balance across appropriations is provided. Grant closeout information included as required.
Manual Corrections	M/FM/A coordinates the manual correction of forms rejected during the batch process.
Mission Collection	USAID collections serviced by mission accounting stations.
Mission Expense Accrual	A record of the budgetary and proprietary accounting transactions of a Mission. Currently reported to USAID/W by the mission quarterly via the U-101 report ("Budget Allowance Ledger Transactions and Reconciliation with Disbursing Officers Account.")
Open Items	Open Items are receivable items that need to be tracked. Open Items are employee expenses for personal use of Mission telephone, fax, or vehicles. Audit disallowances, as well as overpayments to vendors or on employee travel advances are also Open Items.
Payee Information	Payee information includes payee name, TIN, 1099 flag, address, bank info, and other applicable vendor information. The MACSTRAX payee profile is set up when the initial voucher is received from the vendor.
Payment Schedule	A date, time, vendor information, and amount to be paid to a vendor.
Payment Schedule (Credit Card)	Total amount to be disbursed for a given accounts payable document and the schedule on which the payments are to be made. Automated credit card payments are handled through commercial banks.
Payment Schedule (ECS)	Total amount to be disbursed for a given accounts payable document and the schedule on which the payments are to be made. Recorded on SF 1166 (Payment Transactions and Payment Schedules). Payments to be processed by the US Treasury are transferred from USAID to the Treasury through the Electronic Certification System (ECS), which provides authentication security services. USAID intends to use Prime Pay (Kansas City Financial Center) for US "Preferred Vendors".
Payment Schedule (EPS)	Total amount to be disbursed for a given accounts payable document and the schedule on which the payments are to be made. Recorded on SF 1166. Payments to be processed by the State Department US Disbursing Office (USDO) are transferred from USAID to the USDO as Electronic Payment Schedules (EPS).
Payment Schedule (PAYLINKS)	Total amount to be disbursed for a given accounts payable document and the schedule on which the payments are to be made. Payments to banks are made via the PAYLINKS system or alternative bank-provided system for trust funds and local payments.
Payment Status (ACS)	Confirmation that mission disbursements have been accomplished, transmitted through the State Department US Disbursing Office (USDO) Automatic Cashiering System (ACS) or via FMC 80 file or SF 1221.
Payment Status (Bank Statement)	Confirmation that the disbursement from a trust fund or for a credit card transaction has been accomplished, reported by bank statement.
Payment Status (GOALS)	Confirmation that the disbursement has been accomplished, transmitted through the US Treasury Government Online Accounting Link System (GOALS).
Payroll FM Data	TBD
Payroll Offset	Data to facilitate debt collection from employees by offset of federal payments to those employees.
Prepare SF 1193A and Amendment to Authorized	The SF1193A shows the Letter of Credit Number, Amendment Number, grantee name and address, banking information, Amount Authorized (Cum), Time Designation, and

Name	Description
Amount of the Letter of Credit	Prior Authorization, which applies to LOC amendments. The SF1193A amounts (Cum and Current) is reconciled with and equal to the DHHS/PMS Authorization Transactions Screen. The attachment to the SF1193A lists the USAID agreement number, amendment number, effective date, DHHS Reference Agreement Number, Subaccount and amount. The SF1193A is amended to reflect any change to the information previously issued.
Property Asset Accounting Data	The portion of acquisition cost that is attributed to the property asset. Acquisition cost is the cost of the property plus any transportation charges, handling and storage costs, labor and other direct or indirect costs (for goods produced or constructed), and outside services for design, plans, or specifications, billed from sources other than the vendor. (ADS, Chapter 534)
PSC Payroll Transactions	Obligation / disbursement information and change in leave balances for PSC employees serviced by the State Department USDO.
Received Collection	A collection from any source which has been received by USAID and recorded in the core financial management system.
Reconcile Cost to GL	Analyze MCA results using business objects reports. The results are reconciled with the GL operating cost data.
Record of Disbursements in Transit	Financial records marked 'disbursement in transit' following the electronic transmission of a payment to the US Treasury, the State Department Disbursing Office (USDO), or a local bank.
Reports	A/P reports are generated from MACS.
Scheduled Payment	A disbursement that has been calculated and scheduled for payment pending certification by an authorized USAID certifying officer.
Scheduled Payments	A date, time, vendor information, and amount to be paid to a vendor.
Standard Vouchers	Standard Voucher (SV), a record of customary accounting transactions and events such as budget adjustments, changes to the accounting distribution of previously recorded transaction, accruals, amortization, and depreciation.
Treasury Warrant	Official document issued by the Secretary of the Treasury that establishes the amount of monies authorized to be withdrawn from the central accounts that Treasury maintains
Trust Funds Reports	Status of LCTF activity sent to USAID/W and the host country government through regular summary reports. For the host country, the reports depend on local regulations and the requirements of the trust fund agreement. For USAID/W, the reports include the Status of Cash Report - Foreign Currency Trust Fund (MACS, U-111 or U-109) and the Summary of Allotment Ledger Transactions Reconciliations with Disbursing Officer's Accounts (MACS, U-106). In USAID/W (M/FM) consolidates these reports and transmits them through the Department of State to the Treasury.
Uncollectible Debt (TOP)	Data related to collections on delinquent accounts which the Treasury collects on behalf of USAID through government-wide offset. The US Treasury Offset Program (TOP) is a centralized debt collection program to assist federal agencies for write-offs and reporting that provides servicing for debts more than 180 days delinquent.
Updated Account Structure and Table	New or modified general ledger accounts and sub-accounts, updated accounting transaction tables, updated ACS, updated exchange rate table, etc.
Vendor Invoice	Statement from vendor identifying goods and/or services delivered to USAID and payment required. May be provided hardcopy; hardcopy receipts are imaged to record the invoice electronically.
Vendor Offset	Data to facilitate debt collection from vendors by offset of federal payments to those vendors.

Name	Description
Vendor Payment Information (PAID)	TBD
Voucher	A document received from the vendor stating amount, timeframe, and work performed by the vendor. Payee information includes payee name, TIN, 1099 flag, address, bank info, and other applicable vendor information.
Write-off	An amount owed by a vendor that is considered not going to be paid

**Contracts & Agreements** – This subject area consists of any legally binding offering between USAID and a third party. This also includes information necessary to support the process of getting to the legally binding offering. This has strong touchpoints with offerings.

Name	Description
Closed Grant	Grant records are reconciled and the grant is closed in DHHS PMS.
Closeout Notification	Notification to the Agency's financial management business area that a given award has been fully closed out and that no more financial activity against it is to be forthcoming.
Extract A&A Information	A list of contracts and contracting officers is extracted from A&A at the end of each quarter.
Grant Award Authorization Information	Current information regarding grantee is provided to the DHHS to authorize payments to letter of credit (LOC) recipients. Information includes award and payee identifiers, type of instrument, key award dates, and supporting accounting data. Currently the Office of Financial Management in Washington enters this information for all types of grants (mission and USAID/W).
Grant Award Document	A copy of the grant award document is sent to M/FM/CMP/GIB by the designated grant authority.
Installment	An agreement between USAID and a debtor for the debtor to service its debt to USAID.
Map A&A Information to Phoenix	The A&A extract information is mapped against open obligations in Phoenix and accruals are estimated based on this information.
Procurement Document	commitment document + decommitment document + obligation document + deobligation document
Record Grant Obligation	<ul style="list-style-type: none"> <li>▪ Washington-funded grants:                             <ul style="list-style-type: none"> <li>– A&amp;A-related procurements are entered into the A&amp;A system by M/OP and are automatically recorded in Phoenix via the A&amp;A interface.</li> <li>– Certain Bureaus/Offices within USAID/W enter their LOC and non-LOC obligations directly into Phoenix.</li> </ul> </li> <li>▪ Mission-funded grants are entered into MACS by Mission Controllers. Mission Controllers submit LOC grant information to M/FM/CMP/GIB via e-mail to a dedicated mailbox "FM.CMP Letter of Credit Activity"</li> </ul>

**Plans, budgets, & activities** – This subject area consists of programs and projects that are described in terms of plans, budgets, and activities. This subject area also provides a relationship between "objectives, goals & results", "offerings", "resources", "time, schedule & events" and "financial data".

Name	Description
Budgetary Resources	Funding that has been appropriated to the Agency, apportioned by OMB, and allowed to bureaus and offices for obligation. Includes program and operating expense funding.
OYB Distribution data	Information enabling authorized officials throughout the Agency to obligate funds according to the Operating Year Budget (OYB). OYB distribution data include: Strategic Objective (and activity) definition and code, sources of funds codes, restrictions and constraints, dollar amount, date and period of validity.
SO Activity Structure	The structure of the activity package that will be used to collect costs for the work performed toward the strategic objective; essentially the work breakdown structure mapped to the accounting structure.

**Address, map & geographic information** – This subject area consists of spatial information for both the physical world and abstract worlds. For instance, IP addresses can be mapped on a network map in a similar fashion as physical addresses can be mapped on a geographic map.

**Time, Schedule & Events** – This subject area consists of information used in temporal reasoning.

**Rules, Regulations, Knowledge, & Guidance** – This subject area consists of any type of documentation that provides constraints on and/or input to business processes.

**Documentation & Reports** – This subject area consists of any type of documentation that is generated by USAID not covered in another area.

Name	Description
Appeals	A request by a debtor to modify the terms and agreements of a debt.

**Communications** – This subject area consists of any type of email, fax, phone, mail, or other communication. Any communication most likely involves other information, such as documentation, etc. Therefore, this relates to most other subject areas.

Name	Description
Customer Inquiry	An inquiry from a net payer to the Agency in regard to a bill received. The inquiry may result in USAID making adjustments to the bill.
Notification of Allowance	Notice that apportioned funding has been posted to the Agency's general ledger for obligation by bureaus and offices. If funding has been allocated to another Agency, the receiving Agency is notified.
Notification of Receipt	A record documenting that ordered materials were received. This may require the information in the event of a multiple-part shipment, or a handwritten notation on the acquisition document, where the order is received in a single shipment. Receiving reports are in English, indicate item cost in U.S. currency, and have any damage or discrepancies noted. Report may include owner of item, procurement document number, receiving report number and date, and method of acquisition.
Overpayment Notice	A notice from an interfacing business area, typically through an information system or the CTO that USAID has overpaid a party, resulting in an account receivable for the Agency.
Payment	The CTO's (or authorizing officer's) notification to the FM office as to the goods or services that have been received and providing the administrative approval for payment to vendor. It

Authorization	includes the following data: Obligation number (or voucher number), Vendor ID, Dollar amount, Date.
Request for Bill	A request, entered at the source of the originating accounts receivable documentation, for the creation of a bill to a payer. The request typically comes through a USAID bureau or office. This data item includes notice of funds expected to be received by the Agency from another government organization under a reimbursable agreement, such as ICASS.
Request for Payment	A Request for Payment is a communication to the debtor requesting payment of an open item. An Employee Uncollectible Debt Memo is sent to employees that have outstanding advances is a type of request for payment.

**Resources** – This subject area consists of things used as an input to processes that support generating offerings. This includes both property and human resources.

## Appendix D: To-Be FEA PRM Alignment

Same as As-Is

## Appendix E: To-Be FEA BRM Alignment

Same as As-Is

## Appendix F: To-Be FEA DRM Alignment

Same as As-Is

## Appendix G: Applicable Legislation

Based on information gathered during the interview process and other research activities, following is a list of the legislation and regulations relevant to the Enterprise Architecture effort. It is, by no means, put forward as a complete and comprehensive list.

- Prompt Payment Act of 1982
- Federal Acquisition Streamlining Act of 1994
- E-government Act of 2002
- Foreign Assistance Act (Public Law 87-195)
- OMB Circular No. A-76
- OMB Circular No. A-11
- [OMB Circular A-123, Management Accountability and Control](#)
- OMB Circular A-127 "Financial Management Systems
- [OMB Circular A-134, Financial Accounting Principles and Standards](#)
- OMB Planning Guidance
- USAID ADS 627 Local Currency Trust Fund
- USAID ADS 520 International Cooperative Administrative Support Services (ICASS)
- Section 511/517 of the Foreign Operations, Export Financing and Related Programs Appropriation Acts
- [Pub. L. 84-863](#), 70 Stat 782, amending the Budget and Accounting Procedures Act of 1950
- [Pub. L. 96-465](#), Foreign Service Act of 1980, Chapter 6
- [Pub. L. 97-255](#), Federal Manager's Financial Integrity Act (FMFIA) of 1982
- [Pub. L. 100-504](#), Inspector General Act Amendments of 1978
- [Pub. L. 101 - 513](#), Foreign Assistance Appropriations Act of November 1990, Section 585 (a)
- [Pub. L. 101-576](#), Chief Financial Officers Act of 1990
- [Pub. L. 102-511](#), Freedom Support Act of 1992, Freedom for Russia and Emerging Eurasian Democracies and Open Markets
- [Pub. L. 103-356](#), Government Management Reform Act {GMRA} of 1994
- [Pub. L. 103-62](#), Government Performance and Results Act {GPRA}
- [Pub. L. 104-208](#), Federal Financial Management Improvement Act (FFMIA) of 1996
- [Pub. L. 105-277](#), Fiscal Year 1999 Omnibus Appropriations Bill, Section 587 (b)
- [Pub. L. 106-554](#), Section 515 of the Treasury and General Government Appropriation Act for Fiscal Year 2001
- [Pub. L. 108-7](#), Section 533, Foreign Operations, Export Financing, and Related Programs Appropriations Act, 2003

- Pub. L. 480, Section 416 (b), FAS Online - Food Aid
- 22 U.S.C. 63, Support for Eastern European Democracy (SEED) Act of 1989
- 22 U.S.C. 2391, Missions and Staffs Abroad
- 28 U.S.C. 1920, Taxation of Costs
- 31 U.S.C. 1108, Preparation and Submission of Appropriations Requests to the President
- 31 U.S.C. Section 1301(a) -- General Appropriations Law
- 31 U.S.C. 1341, Limitations on Expending and Obligation
- 31 U.S.C. 1501, Documentary Evidence Requirement for Government Obligations
- 31 U.S.C. 1502, Balances Available
- 31 U.S.C. 1535, 1536, Economy Act
- 31 U.S.C. 1552, Procedure for Appropriation Accounts Available for Definite Periods
- 31 U.S.C. 1554, Audit, Control, and Reporting
- 31 U.S.C. 3512 (5)b
- 31 U.S.C. 3527-3529
- 31 U.S.C. 3528, Responsibilities and Relief from Liability of Certifying Officials
- 31 U.S.C. 3716, Debt Collection Act of 1982
- 31 U.S.C. 3721, The Claims Act of 1964
- 31 U.S.C. 3726, Payment for Transportation
- 31 U.S.C. 6301-8, Federal Grants and Cooperative Agreements Act
- 40 U.S.C. 486, Policies, Regulations, and Delegations
- 40 U.S.C. 757, Information Technology Fund
- 41 U.S.C. 253, Competition in Contracting Act
- 42 U.S.C. 1651, and following (Defense Base Act)

## Appendix H: References and Interviews

Expanded Response Guide to Core Indicators for Monitoring and Reporting on HIV/AIDS Programs, November 2002

Federal Enterprise Architecture Program Management Office, *Business Reference Model Version 2.0 June 2003, Performance Reference Model Version 1.0 June 2003*

USAID Strategy for Enterprise Architecture Development, Draft Final, September 2003

USAID Business System Concept, Draft Final, July 15, 2003

USAID Programming Policy, Automated Directive System, *Chapter 201-Planning, Chapter 202- Achieve, Chapter 203- Assessing & Learning*, January 2003, AEP-C-00-99-00034-00

USAID Agency-Wide Expenditure for Family Planning, HIV/AIDS, Health and Nutrition FY 2001-A USAID Management Report, September 2002

USAID Target Enterprise Information Architecture System Requirements Report *Appendix B-7, C, E*, May 2001, EEI.CR-006.00-F00-PRI

USAID Financial System Integration Project Business System Concept, Final, March 6, 2000.

USAID Strategic Plan, Revised 2000

USAID Business Process Improvement “As Is” Process Flow and Descriptions Acquisition and Assistance, September 1999

USAID Bureau for Global Programs, Field Support, and Research Center for Population, Health and Nutrition, Strategic Plan, January 1999

USAID Business Process Improvement “As Is” and “To Be” Process Flow and Descriptions Financial Management, July/August 1998

A Collaborative Approach to Reviewing HIV/AIDS Strategies, Final Draft

Guidance on the New Monitoring & Reporting System Requirements for HIV/AIDS Programs

Key interviews were conducted with numerous individuals from the following organizations, both internal and external to USAID:

- GH/OHA
- GH/RCS
- M/FM
- M/OP
- PPC
- AFR
- Social & Scientific Systems
- American Management Systems
- PRIME

## Appendix I: Acronym List

<b>A&amp;A</b>	Acquisition and Assistance
<b>AFR</b>	Africa Bureau
<b>ACO</b>	Administrative Contracting Officer
<b>ACS</b>	Accounting Classification Structure
<b>ADS</b>	Automated Directive System
<b>AIDAR</b>	USAID Acquisition Regulation
<b>AMS</b>	American Management System
<b>AO</b>	Assistance Officer
<b>AP</b>	Accounts Payable
<b>ARS</b>	Accrual Reporting System <u>and</u> Annual Reporting System
<b>AWACS</b>	Agency World Wide Accounting Control System
<b>B</b>	Budgeting
<b>BBS</b>	Bureau Budget Submission
<b>BPA</b>	Business Process Area
<b>BRM</b>	Business Reference Model
<b>CBJ</b>	Congressional Budget Justification
<b>CCB</b>	Change Control Board
<b>CDC</b>	Center for Disease Control and Prevention
<b>CFS</b>	Consolidated Financial Statement
<b>CIP</b>	Capital Investment Planning
<b>CO</b>	Contracting Officer
<b>COTR</b>	Contracting Officer Technical Representative
<b>CPIC</b>	Capital Planning Investment Control
<b>CTO</b>	Cognizant Technical Officer
<b>DB</b>	Database
<b>DHHS PMS</b>	Department of Health and Human Services Payment Management System
<b>DoD</b>	Department of Defense
<b>DRM</b>	Data Reference Model
<b>DS</b>	Data Store
<b>EA</b>	Enterprise Architecture
<b>ECS</b>	Electronic Certification System
<b>EPS</b>	Electronic Payment Schedule
<b>FAR</b>	Federal Acquisition Regulations
<b>FBO</b>	Faith Based Organization
<b>FEA</b>	Federal Enterprise Architecture

<b>FEAF</b>	Federal Enterprise Architecture Framework
<b>FFMIA</b>	Federal Financial Management Improvement Act
<b>FM</b>	Financial Management
<b>FMFIA</b>	Federal Management Financial Integrity Act
<b>FTE</b>	Full Time Equivalent
<b>FY</b>	Fiscal Year
<b>GAC</b>	Global Health Coordinator
<b>GFATM</b>	Global Fund to Fight AIDS, Tuberculosis, and Malaria
<b>GH</b>	Global Health Bureau
<b>GL</b>	General Ledger
<b>GMRA</b>	Government Management Reform Act
<b>GOALS</b>	Government On-line Accounting Link System
<b>GPRA</b>	Government Relief & Result Act
<b>GSA</b>	General Services Administration
<b>HHS</b>	Health & Human Services
<b>IA</b>	Implementing Agency
<b>ICASS</b>	International Cooperative Administrative Support Services
<b>IPAC</b>	Intra-Governmental Payment and Collection
<b>IRM</b>	Office of Information Resources Management
<b>IRS</b>	Internal Revenue Service
<b>JFMIP</b>	Joint Financial Management Improvement Program
<b>LOC</b>	Letter of Credit
<b>M</b>	Management Bureau
<b>MACS</b>	Mission Accounting and Control System
<b>MAL</b>	MACS Auxiliary Ledge
<b>MCA</b>	Managerial Cost Accounting
<b>MPE</b>	Manage Portfolio Execution
<b>MTCT</b>	Mother to Child Transmission
<b>NFC</b>	National Finance Center
<b>NGO</b>	Non Governmental Agency
<b>NIH</b>	National Institutes of Health
<b>NMS</b>	New Management System
<b>OE</b>	Operating Expense
<b>OHA</b>	Office of HIV/AIDS
<b>OP</b>	Office of Procurement
<b>OU</b>	Operating Unit
<b>OYB</b>	Operating Year Budget

<b>OMB</b>	Office of Management and Budget
<b>ORG</b>	Organization
<b>PB</b>	Pillar Bureau
<b>PEPFAR</b>	President's Emergency Plan for AIDS Relief
<b>PMS</b>	Payment Management System
<b>PO</b>	Program Oversight
<b>PPC</b>	Policy and Program Coordination
<b>PPMM</b>	Program Performance, Management and Monitoring
<b>PRM</b>	Performance Reference Architecture
<b>PSC</b>	Personal Service Contractor
<b>PVO</b>	Private Voluntary Organization
<b>QA</b>	Quality Assurance
<b>RB</b>	Regional Bureau
<b>SBA</b>	Small Business Administration
<b>SCRM</b>	Service Component Reference Model
<b>SEED</b>	Support for Eastern European Democracy
<b>SGL</b>	Standard General Ledger
<b>SME</b>	Subject Matter Expert
<b>SO</b>	Strategic Objective
<b>SOW</b>	Statement of Work
<b>SP</b>	Sub-processes
<b>SRM</b>	Service Reference Model
<b>TCO</b>	Terminating Contracting Officer
<b>TIN</b>	Taxpayer Identification Number
<b>TOP</b>	United States Treasury Offset Program
<b>UN</b>	United Nations
<b>UNAIDS</b>	United Nations AIDS
<b>USAID</b>	United States Agency for International Development
<b>USDO</b>	United States Disbursing Office
<b>W</b>	Washington
<b>WHO</b>	World Health Organization
<b>W, N&amp;E</b>	Wants, Needs & Expectations

## Appendix J: Ongoing Projects

### Financial and Mixed Financial systems Maintenance

This investment consists of three systems (Professional Document System or “ProDoc”; New Management System Acquisition and Assistance or “NMS A&A”; and Mission Accounting System or “MACS”), which taken as a whole, manage Operating Expenses (OE) and Programmatic obligations for the Agency and collect information for federal mandate reporting. USAID/Washington and 61 missions are using ProDoc to produce solicitations and award documents and to perform statutory FPDS reporting. MACS is an accounting system used at 38 missions while NMS A&A manages procurements and performs statutory reporting for USAID/Washington. M/IRM provides technical support for IT security of local mission applications in response to GISRA and general control findings.

### Financial Systems Integration (FSI) – Phoenix System

The purpose of the Financial Systems Integration (FSI) Project is to acquire and incrementally implement through successive phases and product releases a single Agency-wide integrated core financial system that provides accurate financial information to support Agency decisions in order to achieve USAID’s goals in the most cost efficient and effective manner. The Phoenix System directly supports the Agency's Financial Management Improvement Program (FMIP) and Remediation Plan to achieve substantial compliance with the Federal Financial Management Improvement Act (FFMIA). In September 1999, the Agency acquired American Management Systems’ (AMS) Momentum Financials ® software product. Momentum was configured to support USAID requirements and renamed the Phoenix System. Phoenix was deployed in December 2000 and now supports USAID’s Washington headquarters financial operations. This Exhibit 300 covers USAID’s Washington headquarters financial operations. A separate Exhibit 300 is being submitted that covers the deployment of Phoenix overseas.

### Strategic Budgeting Initiative

In conjunction with its Business System Modernization project, USAID has undertaken an effort known as “Strategic Budgeting” that is aimed at formally integrating performance and budgeting. Strategic Budgeting encompasses three areas: a) the joint State/USAID Strategic Plan; b) the Strategic Budgeting model; and 3) the Performance Assessment Rating Tool (PART). USAID’s Strategic Budgeting plan is consolidating the budgeting function (formerly in the Management Bureau) into the Policy and Program Coordination Bureau (PPC). USAID is establishing a framework for making strategic allocation of Agency resources to support USAID budget decisions for the Annual Budget Submission to the Office of Management and Budget and the Congressional Budget Justification. The goals of this framework are:

- a) integration of performance information into the budget decision-making process;
- b) demonstration of what USAID budget allocations would look like absent earmarks and directives; and
- c) creation of analytical tools that can be used as inputs into Agency resource allocation decisions.

### Phoenix Overseas Deployment Project

The Phoenix Overseas Deployment Project is part of the modernization of USAID's business systems world wide through the expansion of the Agency's core accounting system to include overseas missions in developing countries. The overseas deployment of a web-based and integrated financial management system will provide an agency-wide system for budget execution, accounting, and financial management. Using e-business technologies provides a tool for mission personnel to manage financial transactions and program performance. It will also allow the Agency to replace its current Mission Accounting and Control System (MACS) system used overseas that is not considered compliant with the Joint Financial Management Improvement Program (JFMIP) requirements. This project will be coordinated through joint USAID and Department of State planning efforts.

### Procurement System Improvement Project (PSIP)

The Procurement System Improvement Project (PSIP), is designed to replace the New Management System (NMS) legacy system for Acquisition and Assistance (A&A), which is used only at USAID/Washington.