Africa Bureau Mission Directors' Conference

November 4-6, 2002
Annapolis, Maryland

AFR Mission Directors Conference
November 3-8, 2002
Annapolis, MD

Objective: To develop an Africa Bureau Vision, informed by the Administrator's vision and priorities, USG foreign policies priorities, USAID's reorganization and its impact on Africa.

Time	*Session subject*	*Speaker(s)*	*Moderator/ Rapporteur*	*Associated documents*
Sunday, November 3				
3-6	Arrive and check-in at site.	N/A	N/A	N/A
6-8	Reception Chez Connie	AA/AFR Connie Newman	N/A	N/A
Monday, November 4				
8:30-9:30	Welcome, Introduction To Visioning And Logistics	Connie Newman, Keith Brown	Keith Brown	Vision Setting Exercise Background Materials
Session 1 9:30-11	A/USAID's Vision And Priorities For The Agency And Africa	A/USAID, Andrew Natsios	Connie Newman/ Wade Warren	Administrator's Management Principles, Remarks by Natsios: Challenging Orthodoxy, Remarks by Natsios at Advisory Committee on Voluntary Foreign Aid, 5 Areas of the President's Management Agenda & USAID's Status
11-11:15	Break			
Session 2 11:15-12:15	USG Foreign Policy And Priorities In Africa.	Jendayi Frazer, Mark Bellamy, and Connie Newman	Keith Brown/ Wade Warren	Kansteiner Remarks to the WSSD Outcomes Conference, Kansteiner Emphasizes Administration Engagement with Africa, and Ch. 6 of The National Security Strategy

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Time	*Session subject*	*Speaker(s)*	*Moderator/ Rapporteur*	*Associated documents*
12:15-1:15	Lunch with AAs			
Session 3 1:15-3:30	USAID's Reorganization and Redirection	Patrick Cronin, Emmy Simmons, Bill Garvelink, Duff Gillespie, and Holly Wise	Connie Newman/ Carol Grigsby	About PPC EGAT Organization Chart EGAT Functional Statement How OTI fits into USAID Office of Democracy and Governance User's Guide Office of PVC Overview PVC Directory User's Guide to USAID/Washington Population, Health and Nutrition Programs GDA at a Glance GDA Alliance Guidance for USAID Staff GDA Conceptual Framework
3:30-3:45	Break			
Session 4 3:45-5:15	Effects of Agency reorganization on the Africa Bureau	Lucretia Taylor, Wade Warren and Pillar Bureau representatives	Connie Newman/ Carol Grigsby	Executive Messages: Agency Reorganization and Functions of Regional Bureaus, Pillar Bureaus, and PPC
5:15-5:45	Session Highlights	Rapporteurs	N/A	N/A
7:30-9:30	Evening Meetings			

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Tuesday, November 5				
Time	***Session subject***	***Speaker(s)***	***Moderator/ Rapporteur***	***Associated documents***
Session 5 8:15-11:15	Africa Bureau Initiatives	Kevin Bohrer, Sarah Moten, Jeff Hill, Juan Buttari, Pat Fleuret, Dawn Liberi, Vickie Moore, Jay Smith, and Sharon Pauling	Lucretia Taylor/Vernita Fort	SD Organization chart, Anti-corruption Initiative, Education Initiative, Initiative to End Hunger in Africa, TRADE Initiative, and the Southern Africa Global Competitiveness Hub
Session 6 11:15-12:15	Regional Platforms & Non-presence Countries	Carleene Dei, Pat Fleuret, Andy Sisson	Steve Wisecarver/ Tom O'Keefe	N/A
Session 7 12:15-12:45	Small Business Programs/MSI	Marilyn Marton	Herschelle Challenor	See white USAID folder
12:45-1:45	Lunch			
Session 8 1:45-3:30	Agency Operations & the 5 Management Systems	John Marshall, Tim Beans, and Everett Mosley	Jay Smith/ John Schneider	BTEC Charter, Business, Project Portfolio and Committee Members
3:30-3:45	Break			
Session 9 3:45-5	Bureau Operations	Jay Smith John Winfield Beverly Busa	Keith Brown/ John Schneider	USAID's Operating Expense Account: Current Practices and Planning
Session 10 5-6	Clarifying the Vision and session highlights	Rapporteurs	Connie Newman	Vision Setting Exercise Background Materials
7:30-9:30	Regional Meetings	Erna Kerst, Karen Poe, Steve Wisecarver	N/A	N/A

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Wednesday, November 6				
Time	***Session subject***	***Speaker(s)***	***Moderator/ Rapporteur***	***Associated documents***
Session 11 8:30-9:30	USAID's Role in Preventing and Responding to Conflict	Dick McCall, Ed Birgells, and Andy Sisson	Sharon Isralow/ Herschelle Challenor	N/A
Session 12 9:30-10:30	Dr. Beverlee Bruce	Dr. Beverlee Bruce	Keith Brown	Dr. Bruce's Biography
10:30-10:45	Break			
Session 13 10:45-12	Articulating the Vision	N/A	Connie Newman, Ruth Buckley, Steve Giddings, Carla Komich, and Sharon Pauling	Vision Setting Exercise Background Materials
12-1:15	Luncheon Discussion: Success Stories and Learning Experiences	All Mission Directors invited, RSVP to Pam White	Pam White/ Tom O'Keefe	USAID in Africa - Success Stories, AFR Photo Gallery, Development Leadership: Knowledge for Development Strategy
Session 14 1:15-3	Articulating the Vision, continued		Connie Newman/ Ranta Russell	Vision Setting Exercise Background Materials
3-3:15	Break			
Session 15 3:15-6	Vision, continued and rapporteur highlights	Rapporteurs		Vision Setting Exercise Background Materials
7:30-9:30	Evening Meetings			

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Thursday, November 7				
Time	***Session subject***	***Speaker(s)***	***Moderator/ Rapporteur***	***Associated documents***
Session 16 8:45-10:15	Nature, Wealth and Power: Lessons Learned and New Developments in the Environment Sector	Diana Swain, Steven Haykin, Jim Graham, and Jon Anderson	Carl Gallegos/ Graham and Anderson	Nature, Wealth and Power: Emerging Best Practices for Revitalizing Rural Africa CARPE lessons learned Congo Basin Forest Partnership Handout PowerPoint on CARPE and CBFP
10:15-10:30	Break			
10:30-12	Wrap up and finalize vision statement		Connie Newman/ Ranta Russell	Vision Setting Exercise Background Materials
12-1:15	Lunch			

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Friday, November 8		Point Four Conference Room, Ronald Reagan Building		
8:00-8:30	Security	Mike Flannery	N/A	N/A
Session 17 8:30-9:15	The Changing Face of Food Aid	Lauren Landis	N/A	N/A
9:15-9:45	MCA	Jay Smith and Cynthia Rozell	N/A	N/A
9:45-10:30	AGOA	USTR	N/A	N/A
10:30-10:45	Break			
Session 18 10:45-12	Human resources	Rose Marie & AFR HR Team	N/A	Power Point and draft FS Annual Evaluation Form GS Annual Evaluation Form FS Skills Matrix
12-2:00	Lunch (Optional Session: Southern Africa Biotech and Ag to be held in AA/AFR Conference Room)			
2:00-2:30	Global Health AA	Anne Peterson	N/A	N/A
2:30-3:15	Outreach	Ed Fox and Joanne Giordano	N/A	N/A
3:15-3:45	D/AID	Fred Schieck	N/A	N/A
3:45-4:00	Break			
Session 19 4-5	Congressional Staff Roundtable Discussion	Ed Fox Reb Brownell	N/A	N/A
5-6	Socialize with Staffers			

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Session 16: Open Session
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Session Overviews
AFR Mission Directors' Conference
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- **Title:** Welcome, introduction to visioning, and logistics
- **Time:** Monday, November 4 @ 8:30-9:30
- **Speaker:** Connie Newman
- **Moderator:** Keith Brown
- **Objective:** To set the stage for the coming 3.5 days of work and on developing a vision for the Bureau.
- **Topics to be discussed/questions to be answered:**
  - Process for achieving a vision statement
  - Content of conference
  - Logistics

Session Overview DRAFT VERSION 10/23/02
AFR Mission Directors' Conference
November 3-6, 2002
Annapolis, MD

Session 1

- **Title:** A/USAID's vision and priorities for the Agency and Africa

- **Time:** Monday, November 4 @ 9:30-11

- **Speaker:** A/USAID, Andrew Natsios

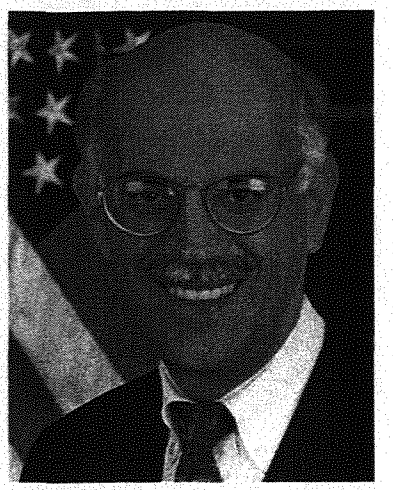
- **Moderator:** Connie Newman

- **Objective:** To gain a better and more complete understanding of the Administrator's objectives and priorities for the Agency.

- **Topics to be discussed/questions to be answered:**
  - Contribution of reorganization to the achievement of the agency's and bureau's vision
  - Programmatic priorities for the Agency and how they apply to Africa
  - MCA and USAID's role
  - Nature and extent of collaboration with other USG agencies and donors
  - Nature and extent of USAID outreach
  - The Natsios report and its impact on agency strategies and operations
  - Regional platforms
  - HR rationalization

- **Associated Documents:**
  - The Administrator's Management Principles
  - Remarks by Andrew S. Natsios, Challenging Orthodoxy: Changing Perspectives on Development, October 21, 2002
  - Remarks by Andrew S. Natsios, Remarks at Advisory Committee on Voluntary Foreign Aid Meeting, October 9, 2002
  - The Five Areas of the President's Management Agenda and USAID's Status

- **Rapporteur:** Wade Warren



Andrew S. Natsios
Administrator

U.S. Agency for International Development

Andrew S. Natsios was sworn in on May 1, 2001, as administrator of the U.S. Agency for International Development (USAID). For more than 40 years, USAID has been the lead U.S. government agency providing economic and humanitarian assistance to transitioning and developing countries.

President Bush also has appointed him Special Coordinator for International Disaster Assistance and Special Humanitarian Coordinator for Sudan.

Natsios has served previously at USAID, first as director of the Office of Foreign Disaster Assistance from 1989 to 1991, and then as assistant administrator for the Bureau for Food and Humanitarian Assistance (now the Bureau for Democracy, Conflict and Humanitarian Assistance) from 1991 to January 1993.

Before assuming his new position, Natsios was chairman and chief executive officer of the Massachusetts Turnpike Authority from April 2000 to March 2001, and had responsibility for managing the Big Dig, the largest construction project in U.S. history. Before that, he was secretary for administration and finance for the Commonwealth of Massachusetts from March 1999 to April 2000. From 1993 to 1998, Natsios was vice president of World Vision U.S. From 1987 to 1989, he was executive director of the Northeast Public Power Association in Milford, Massachusetts.Natsios served in the Massachusetts House of Representatives from 1975 to 1987 and was named legislator of the year by the Massachusetts Municipal Association (1978), the Massachusetts Association of School Committees (1986), and Citizens for Limited Taxation (1986). He also was chairman of the Massachusetts Republican State Committee for seven years.

Natsios is a graduate of Georgetown University and Harvard University's Kennedy School of Government where he received a master's degree in public administration.

Natsios is the author of numerous articles on foreign policy and humanitarian emergencies, as well as the author of two books: U.S. Foreign Policy and the Four Horsemen of the Apocalypse (Center for Strategic and International Studies, 1997), and The Great North Korean Famine (U.S. Institute of Peace, 2001).

After serving 23 years in the U.S. Army Reserves, Natsios retired in 1995 with the rank of lieutenant colonel. He is a veteran of the Gulf War.

A native of Holliston, Massachusetts, Natsios and his wife, Elizabeth, have three children, Emily, Alexander, and Philip.

Frederick W. Schieck
Deputy Administrator
U.S. Agency for International Development

President Bush's nominee for Deputy Administrator of the U.S. Agency for International Development (USAID), Frederick W. Schieck has been confirmed by the Senate and was sworn in on Jan. 31, 2002. For more than 40 years, USAID has been the lead government agency providing economic and humanitarian assistance to transitioning and developing countries.

Schieck has had a long and successful career in international development both at USAID and other institutions. Schieck was a USAID Foreign Service Officer for more than 25 years before retiring in 1990 with the rank of Career Minister. He also held a number of senior positions at the Inter-American Development Bank (IDB) in Washington, D.C., from 1990 to 2000, including Deputy Manager of the Bank's Operations Department, which was responsible for over $5 billion a year in lending to 26 Latin American countries.

He has also served as a member of the Board of Trustees and Vice President of the Executive Committee of the Pan-American Development Foundation.

During his Foreign Service career at USAID, Schieck held senior positions in Washington, D.C., including Acting Assistant Administrator and Deputy Assistant Administrator for Latin America and the Caribbean; Deputy Assistant Administrator for Program and Policy Coordination; and Deputy Assistant Administrator for Asia.

Overseas, Schieck served as USAID Director in the Philippines and in Guatemala; he also worked in Chile, Bolivia and Ecuador.

Schieck has a bachelor's degree in Foreign Service from Georgetown University and an M.B.A. from the Harvard Business School.

He has served in the U.S. Army Reserves.

Schieck is fluent in Spanish.

Schieck and his wife, Sara, have one daughter, Sara.

This message was sent out earlier today, 05/08/2001, as an Executive Message. This notice is being posted to the Intranet for record purposes.

USAID/General Notice
ADMINISTRATOR ES
May 08, 2001

E X E C U T I V E M E S S A G E

SUBJECT: The Administrator's Management Principles

On Wednesday, May 2, 2001, the Administrator held two meetings with USAID's Washington employees at which he shared his Management Principles, repeated below. The sessions were also videotaped. Copies of those videos will be supplied to the missions shortly.

Andrew S. Natsios
Management Principles

1. Integrity is non-negotiable. Tell the truth. Keep your promises or don't make them. Compromising ethical standards is a short road to trouble.

2. Get all the facts before making decisions: do not make assumptions based on rumor. Rumors are usually wrong.

3. Practice transparency: management by intrigue is a sign of weakness. Game playing reduces public trust and the confidence of our employees and colleagues. Discipline yourselves; you are part of a team.

4. Decision-making should be based on the merits to the extent politics allows. Remember we serve the public interest and the common good. Do what is right.

5. Determine your core constituencies and political supporters and stay faithful to them. Cultivate Congress in particular.

6. Pay attention to the news media or it will drive your agenda in ways that may not be helpful.

7. While good process is important, what ultimately counts is getting the job done. Process should generally be subordinated to policy and task completion, not drive it.

8. Focus on the long-term over the short-term. Think strategically.

9. Public policy most often fails at the implementation stage. The devil is usually in the details.

10. No surprises. Anticipate problems before they become crises; remember the earlier you address a problem the greater are your options and the more likely you can solve it.

11. Use the chain of command. I will too, for decision and action. For information only, I may not. I will randomly call people for information outside the chain.

12. I have an open door policy. I will not shoot the messenger of bad news.

13. If you hire the right people, other organizational problems will disappear. If you don't hire carefully, your problems will multiply regardless of the organizational structure.

14. Keep simple your programs, structure, and processes for doing business. Excessive complexity leads to confusion, paralysis, and muddle.

15. Focus on a few clearly defined and achievable objectives and drive the organization to achieve them. Do not change them constantly or select an excessive number or your subordinates will get confused and the organization will wander.

16. Get your rest and balance your workdays.

Point of Contact: Daryl Daniels, ES, (202) 712-5774

Remarks by Andrew S. Natsios Administrator, U.S. Agency for International Development

Challenging Orthodoxy: Changing Perspectives on Development

October 21, 2002

The revolution begun in U.S. policy development by President Bush's Millennium Challenge Account proposal is neither fully understood nor fully appreciated in Britain or on the continent. I would like to place this speech into historical context and suggest some of the thinking behind it.

Three times in the past 55 years an American President has gone to the nation in times of peril and delivered a major address on foreign assistance. The first was Harry Truman on the March 12, 1947, with the Cold War looming. Truman appeared before a joint session of Congress and warned of the grave dangers facing Greece and Turkey.

Three months later, Secretary George Marshall in his famous speech at Harvard announced this country's intention to restore normal economic health to the European states.

The Marshall Plan was more than a transfer of U.S. funds to fight hunger, poverty, and desperation and chaos, as he put it. Equally important was the demand that the Europeans come together to determine their needs and design a program for their own recovery. Thus, the process of European integration was started, and the economic and political foundations were laid for the stable, prosperous, and democratic Europe we know today.

The second President with an important international development initiative was John F. Kennedy. March 13, 1961, with the Cold War at its height, he announced the creation of the Alliance for Progress, a 10-year plan to address basic needs of the Latin American people. Nine days later, Kennedy sent a message to Congress that would lead to the creation of the United States Agency for International Development.

A third President has now made a major statement on foreign assistance and its importance to the national security and foreign policy interests of the United States. March 14, 2002, with the events of September 11th fresh in the nation's mind in the midst of the war on terrorism, President Bush addressed the Inter-American Development Bank and announced the creation of a $5 billion Millennium Challenge Account. It is the largest increase in foreign assistance in 40 years.

To quote from the President's speech, "The growing divide between wealth and poverty, between opportunity and misery, is both a challenge to our compassion and a source of instability. Even as we fight to defeat terror, we must also fight for the values that make life worth living; for education and health and economic opportunity." The President was clear, however, that the new funds would be used for countries "that root out corruption, respect human rights and adhere to the rule of law, as well as encourage open markets and sustainable budget policies."

President Bush's recent National Security Strategy which has caused some controversy across the Atlantic contains in it a robust reaffirmation of the development principles in the MCA proposal, a commitment to continue to press forward with the initiative, and some important statements on the danger failed and failing states pose to the United States and other nations.

In emphasizing these points, the President laid out a very new course for foreign assistance that is based on sound theory and solid practice and promises a more productive future for our foreign assistance programs.

Disposing of myths

Before we go to some other comments about the Millennium Challenge Account, I want to talk about some of the wrong-headed presumptions that have plagued development assistance for the past four decades. I'd like to emphasize that ideas count. If people think that the theories of people in think tanks or in universities don't count, all they need to do is look at the fact that people in the developing world and in the Northern countries as well use these theories to defend or attack ideas that they do or do not like.

The first myth I'd like to deal with is the question that is a popular view among some developing world intellectuals (fortunately, a declining number of them) called dependency theory. Dependency theory argues poor countries are poor because they are victims of the craven greed of wealthy countries which prey on their economic and political weakness to extract wealth.

For too long now, dependency theory has been used by some leaders in some countries as a convenient if dishonest escape from responsibility for bad economic policy and bad governance; if one is a victim, one need not accept responsibility for one's own failures. If there were a careful analysis of statements of leaders in the developing world making the most progress, dependency theory would not be found in their rhetoric. The converse is equally true.

A second myth that follows from the first is that income redistribution from wealthy Northern countries to impoverished Southern countries will solve the problem of poverty in the world. The presumption of this school of thought is that there is a fixed amount of wealth in the world, and if the South has too little it is because the North has too much. This was an implicit axiom of some of those who were in the debate before President Bush's attendance at the International Conference on Financing for Development in late March in Monterrey, Mexico.

Wealth, however, is not fixed. The total amount of it can be increased or reduced depending on the economic incentives and system of governance chosen by a country, rich or poor, North or South.

The third myth is that the engine of development is capital. This is simply not true. The reality is that certain economic policies and governance systems are far more important. Until recently there has not been wide enough discussion of the values of societies that reward risk taking and business enterprise, that bring about an empowered entrepreneurial class and a favorable climate to the formation of new enterprise and job creation. These are microeconomic aspects of economic growth that deserve far more attention.

The perception has been that official development assistance whether it be from the United States or other Northern governments, can in and of itself ensure progress in the developing world. I would argue that prudent economic policies and wise and just governing systems are more important. Capital will flow to nations with open economies and transparent legal systems.

Finally, the fourth implicit myth is that the United States and Western democracies have become wealthy because they are somehow better than others. That is simply not true. Human nature is fundamentally fallen. Political arrangements which ignore this weakness will fail. Democratic capitalism adjusted for the variations of local culture and tradition remains the preferred model for development. Democratic capitalism recognizes both the great strengths and the weaknesses of human nature, and it creates political arrangements which restrain the weaknesses and encourage the strengths.

The central question which development professionals must answer in order to make the aid system produce better and more sustainable results is this: what structures, what systemic pressures, and what incentives will overcome the inherent characteristic of human nature in all societies that opposes transformational change because it can be so threatening. One of the sad lessons we have learned through painful mistakes is that transformational change in a poor country can not be imposed from the outside, not by the UN, not by the Banks and not by donor governments. There must be national leadership and local support for transformational change to remove the impediments to microeconomic reform, to clean up corruption in the political system, and to make public management more accountable and transparent. What causes this leadership to form and act should be a question of considerable interest to us. Part of the answer lies in the nature of the incentive system in the international aid community.

Lessons from the Developing World

Development as we see it at USAID is an attempt to compress what took a century for the United States and other countries to accomplish into a much shorter period of time.

Ann Krueger's and Vernon Ruttan's study of South Korea in Aid and Development highlights the importance of that country's export strategy in raising the national standard of living dramatically in South Korea. It was one of the poorest countries in the world in the 1950s. It is today one of the most prosperous in Asia.

Looking at South Korea during the 22 years following the Korean War, the authors found that foreign aid was an important factor in the first decade or so of the creation of the South Korean republic. In the late 1950s the Koreans undertook, however, their own very important series of steps to encourage economic growth. They reduced inflation, they decreased budget deficits, they liberalized the economy, and they supported exports.

By the mid 1960s, interest rates had driven domestic savings to an extraordinary level, 21.7 percent by 1969, an unheard of figure in the United States and western Europe. By that year, led by the country's determined export policies, GNP rose by 15 percent in one year, averaging 8 percent over an entire decade.

Some of the pressure for economic and later political reforms in these Asian tigers has been ascribed to the threat Communist China posed to the region. In some ways the fear of Chinese expansionism provided the very discipline needed for the oligarchies and mercantilists to support the reforms of their political system.

Another very important book, The East Asian Miracle published in 1993 by the World Bank, points out that the four Asian 'Tigers' along with Japan grew more rapidly than others in the world between 1965 and 1990, with real incomes increasing more than fourfold, 400 percent.

The World Bank study reported: "Private domestic investment and rapidly growing human capital were the principal engines of growth. High levels of domestic financial savings sustained high levels of investment. Agriculture, while declining in relative importance, experienced rapid growth in productivity improvements. Population growth rates then declined more rapidly in high-performing Asian economies than in other parts of the developing world."

The report goes on to note two other factors: sound macroeconomic management which provided a solid framework for investment, and advances in primary and secondary education which generated rapid increases in labor force skills.

Bill Easterly's recent book, The Elusive Quest for Growth, makes many of the same points and delivers a particularly scathing attack on those who persist in taking a capital requirements approach to growth and development. While he offers "no magic elixirs" that lead inexorably to growth, Easterly puts his focus on incentives. "If we do the hard work of ensuring that the trinity of First World aid donors, Third World governments, and ordinary Third World citizens have the right incentives, development will happen," he writes. "If they don't, it won't."

The Millennium Challenge Account

President Bush, in his March 14 speech, set a new direction for development assistance by insisting on performance, not mere promises, to determine which countries would qualify for assistance under the new Millennium Challenge Account.

The structure of the Millennium Challenge Account as he has proposed it will create the reward system to accelerate the development process by giving to the reformers in developing countries a powerful tool to use against those forces opposed to transformational change. His proposal may have as much influence on decision making in countries which do not qualify as those which do. His proposal rewards past performance rather than future promise, the old system of conditionality which has not worked. The size of the reward is very important in understanding its potential over decision-making: we estimate in most countries the MCA will provide funding 5 to 10 times higher than existing levels of aid from the USG. The President proposed three standards to judge this performance.

The first is the central importance of policies that encourage economic freedom, private investment, and entrepreneurship. It is an indisputable fact that the only way any country is ever moved from Third World to middle-income or First World status is by sustained rates of high economic growth over a long period of time. That is something we need to repeat over and over again because we get lost in the morass of detail and debate over many other things. Without sustained rates of high economic growth, poor countries will not become prosperous.

Economic growth, in all cases with the exception of city-states such as Hong Kong, Singapore, and the Mauritius Islands, has been driven first by high rates of increase in agricultural production. Three-quarters of the poor people in the world, in Africa and Central Asia in particular, live in rural areas.

Following the Marshall Plan's success in Europe, the greatest international development success was the Green Revolution in Asia during the 1960s. This was the revolution led by the transfer of technology developed through the CGIAR (Consultative Group on International Agricultural Research) network of agricultural research stations to the peasants and commercial farmers in Asia. Unfortunately, in the mid to late 1980s, funds to implement this research for agricultural development dried up.

The gross disparities of wealth in Latin America versus the much more equitable distribution of wealth in Asia has been driven largely by different approaches to agriculture and rural development. In Latin America, the infrastructure investment in electricity, roads, schools and water systems, has been heavily concentrated in urban areas, ignoring rural areas. The Asian giants took exactly the opposite approach. They allocated investments evenly between urban infrastructure and rural infrastructure, and since most poor live in rural areas, it meant that the rural areas grew at similar levels. That is why Taiwan, for example, now has the best distribution of wealth of any of the industrialized countries.

As USAID administrator, one of my goals is to revitalize our agricultural program not just for subsistence agriculture for domestic consumption, but also for export. That is why we created a new bureau called the Bureau of Economic Growth, Agriculture and Trade. We are focusing our experts in agriculture to bring about a renewal of this discipline within USAID and in our worldwide missions.

Trade and investment are critical to economic growth. Many developing countries simply do not know how to take advantage of the opportunity the new global economy presents. The 49 least-developed countries in the world account for less than one-half of 1 percent of world trade. That is not a recipe for economic growth.

USAID accounts for more than 70 percent of the U.S. government's trade and development training programs. We have already had success in Eastern Europe and the former Soviet Bloc countries in training in marketing, in developing export niches for their particular products. We want to emphasize this now in Africa and Central Asia.

Our current trade capacity building programs help countries prepare to join the World Trade Organization; understand WTO regulations so they can participate in rules-based trading more effectively; and identify exports that can compete more effectively in world markets.

We're also looking increasingly at programs that boost economic performance at the microeconomic level. In the last 20 years, our focus has been heavily in all of the international institutions and agencies on macroeconomic reform, which is an essential but not sufficient for rapid economic growth.

Microeconomic reform focuses on tax policies that encourage local savings and investment, encourage the creation of new enterprises, focus on questions like training an entrepreneurial class. Many countries -- Bolivia is a good example -- have done what the international community said they should do in terms of macroeconomic reforms. Bolivia has had elections and a parliamentary democracy for 15 years now. It has implemented macroeconomic reforms producing low inflation rates and a stable currency. Still, it has not enjoyed economic growth.

What has been missing is microeconomic reform to create a class of entrepreneurs who can build businesses. Not all investment is international investment. Not all businesses are run by people from other countries entering the developing world. Many of the Asian giants developed because they had an entrepreneurial class, even if it was small, to begin to build their own businesses, to run their own businesses in their own culture and their own society. Increases in production and productivity are required before a country can fully participate in free trade. One must produce something worth trading or trade will not occur.

President Bush's second criterion for the Millennium Challenge Account is the central importance of good governance to economic growth and development. The President described it as "ruling justly."

In this area, USAID has changed a great deal during the last 10 to 15 years. Now we do a significant amount to promote development of democratic institutions. We cooperate with the National Endowment for Democracy, the International Republican Institute, the National Democratic Institute - all democracy NGOs.

Initially, our efforts focused heavily on ensuring free and fair elections. That is important, but it is not sufficient. Beyond promoting free and fair elections, we must help democracies to be effective at constraining the power of the state toward abuse. Corruption is one of the most serious problems we face in the developing world. A new focus at USAID is in programs to promote accountability and the rule of law, and to root out corruption.

We have been training investigative reporters in Eastern Europe. A group of them formed a consortium in Bulgaria very recently to do an investigation of how Bulgaria had been a base of support to international terrorism. The series of articles they produced has reached 1-1/2 million Bulgarian readers, and it has caused a real stir.

A free press has been for a very long time a constraint on the power of political figures in our democracy and in other democracies.

In addition to freedom of the press, other critical accountability functions for effective democracies include a meritocracy in the civil service and a separation between economic and political power. In many developing countries, the economic and political power are so entwined that oligarchies take control of the government, impose mercantilist or Marxist economic policies, and use political power to ensure themselves markets and suppress competition.

Also essential for accountability is an impartial judicial system enforcing the rule of law and the sanctity of contracts. Businesses require predictability in their relationship to the state in order to invest. Business does not invest unless it has some guarantees.

President Bush's third criterion for the Millennium Challenge Account is a demonstrable commitment

by developing countries to invest in health and education and to ensure effective delivery of services. Countries with high rates of sustained economic growth have consistently invested in health and education services for their people, helping create a work force for a growing economy. It is in these last two social services where development assistance has made its greatest progress in the last several decades as literacy rates have risen and child mortality rates have dropped.

We know that advances in primary education have major payoffs in other sectors. Studies in Africa indicate that, without any other changes, agricultural production increases when women, who dominate farming, have primary school education. Children are fed better and their health improves when their mothers have a basic education. We know that an educated citizenry increases the chances for nascent democracies to succeed.

We have created in USAID what's called the Global Development Alliance, which is an attempt to marry private sector capital flows to the developing world with those from the public sector. Thirty or 40 years ago, 70 percent of the capital flows from the United States to the Third World were ODA -- official development assistance -- and 30 percent was private. It's the opposite now; 80 percent of the capital flows to the developing world are private, and only 20 percent is ODA.

That is not because ODA has declined in absolute terms; it is because the private and non-profit sector has been dramatically increasing capital flows to the developing world. This is not just private capital from businesses. According to a new study by Carol Adelman, twelve percent of the gross national product of El Salvador is remittances from the Salvadorean community in the United States. The same study analyzes the total non-profit capital flows to the developing world from the United States amount to over $40 billion annually, more than 4 times greater than ODA.

I was just with the Prime Minister of Lebanon at a lunch and he told me that 25 percent of Lebanon's gross national product comes from remittances from abroad. A study done by UCLA recently said that half of the microfinance lending that's going on in Mexico right now is from the Mexican-American diaspora in California sending remittances back to their villages. So there is a lot of microfinancing that has nothing to do with ODA.

An important question is, how do we link into that in a way that can accelerate many of those capital flows in the private sector? Foundations send a huge amount of money to the developing world each year. Bill Gates, for example, sent $750 million to GAVI, the Global Alliance for Vaccines and Immunizations; USAID sent $49 million.

The Millennium Challenge Account and the Global Development Alliance will remake the foreign assistance program of the United States government, so that a decade after it is fully operational the record of performance of foreign assistance in reducing poverty and creating prosperous democracies will be a lot better than what has happened the last two decades.

Remarks by Andrew S. Natsios
Administrator, U.S. Agency for International Development

Remarks at Advisory Committee on Voluntary Foreign Aid meeting
October 9, 2002

MR. NATSIOS: Well, thank you very much. It's actually a delight to be here. I say that at the beginning of all my remarks, but I really do mean it this morning.

Charlie McCormick is sitting here. I just wanted to say, I have the tie on. This, though, is not an indication that there's any bias towards a single NGO. This represents the entire community, Charlie.

MR. McCORMICK: Well, we'll still take your $30.

MR. NATSIOS: It was actually given to me in the Nuba Mountains, in Sudan, as the United States Government was negotiating the first phase of the Nuba Mountain Accords. They were quite successful, then, but I'm not sure it's successful now.

The first phase of the effort to have peace in Sudan was the Nuba Mountain Accords over humanitarian assistance. It was designed to build up confidence on both sides that some permanent solution that was just -- that was just -- could be worked out. Now, we can all debate as to what's going to happen in the next few days, but that was very successful. When I was there, one of your people (Save the Children) did give me this tie, Charlie.

Anyway, I'd like to talk about several things today before I introduce our keynote speaker, Jim Kolbe. The first is the World Summit on Sustainable Development. Second is the Millennium Challenge Account, the current approach. I'm not going to go into enormous details on it, but I will talk a little bit about it, and then about the national security strategy, which has been discussed a lot in the media in a way that I think is really a distortion of what's in it. But that's another question.

Let me just say to begin with that it's the case when you're in public office that you always like to say you're at a critical historical juncture. I've heard that phrase begin more speeches over the last 30 years of my career. And of course if everything's a critical juncture in history, then nothing is a critical juncture.

But the reality is, in this particular case the President -- and I have to say it is the President -- has changed the debate substantially. In the speech that he gave to the Inter-American Bank (March 14, 2002), which many of you either saw personally or read about -- if you haven't read it, I would strongly urge you, it's on our web site -- it changes the debate.

Part of the criticism of the United States within my community outside of the United States -- I mean within other donor governments -- some of them say: "You guys are changing the debate. We're not sure we like what the change is. It's not that you're not doing anything. It's not that you're not making a commitment; it's that we're not comfortable with the demands the President is making." They don't say it exactly that way, but that's what they mean.

And this goes for U.N. agencies; it goes for the banks. Because what the President is saying is: we've been trying for 20 years, with not a lot of success, with the poorest countries, with the 48 LDCs (lesser developed countries), only one of which has graduated in the last 20 years. That's Botswana, and they did not do it primarily through AID help. Primarily they found a way of avoiding the elites looting the country of all the wealth in the diamond mines instead of spending it properly, through good governance, on the people of the country.

That's the only country that's graduated. And the President made the comment: something's wrong with the system. Something is wrong with the system.

And so what he said is: telling countries that if you do all these things we'll give you more money in the future has not worked very well. Conditionality has not been a success. Why isn't it? Because the countries want the money, but they really don't want to make the reform necessary to have high rates of economic growth and good governance, both of which are difficult to do but are also absolutely essential

to high rates of sustained economic growth, which is the only way countries become prosperous that are very poor.

And so they take the money and don't make the changes, or they make the changes and then as soon as they get the money they rescind the changes. Or they don't implement them properly because there's no commitment.

And so what the President has done in the Millennium Challenge Account and in a lot of the other things he's said and done in our area of work is to say: well, I'm changing the paradigm here. We need to take the countries that are making a genuine effort to reform their political systems, to eliminate corruption, to respect human rights, to make the changes, microeconomic and macroenomic changes in the economic system to stimulate investment, entrepreneurialism, to make the reforms necessary to stimulate economic activity and growth in the private sector, and then we will put money there, in the appropriate way, to accelerate what's already going on, what is clearly a commitment.

We're not going to have a debate about which countries should be part of it here, but you can tell the countries. I've seen the heads of state. I've seen the cabinets in some countries that are a disaster. In other countries, they're spectacular. And they are making the changes without us pressing them, because they know what the right things are to do. You can tell the countries that it's easier to work in. I mean, I don't have to tell people in this room that.

But by focusing on performance, not promise, the President is changing the debate in a profound way. And that is why I think the Millennium Challenge Account is so important. It's not just that there's $5 billion more in the account. It is that the debate, the terms of the debate, have shifted.

I would argue that one of the principal utilities of the MCA is that it can be used by reformers in every country as a bludgeon against the mercantilists. They don't call them socialists anymore, but they believe basically in a heavy state hand in economic planning --which has been a disaster in every country it's been tried in. And so you have reformers who know what needs to be done, but they can't get the political system to do it.

What we're hoping is, for countries that are making progress but not very much of it, where some reform has been done but not enough, the reformers will say, look, we could have qualified for this if we'd only shown a commitment to do what's necessary to create the platform for rapid rates of growth and social services and democratic governance.

The World Summit on Sustainable Development that Colin Powell and I went to -- Paula Dobriansky led the negotiating effort -- and the Doha meeting, which began the next round of trade negotiations, are also connected to the Millennium Challenge Account speech that the President gave. Because the President knows, we know, that the open trading system will in fact reduce poverty. If you look at the countries that have become middle-income or upper-income countries -- the Taiwans, the Chiles, the Costa Ricas, the South Koreas of the world -- they have done it through trade and a trading system which is open to their products and which allows these countries to export and to encourage investment.

And so there's a piece, in terms of Doha, that's very important. I am told that the U.S. Trade Rep has never set foot at AID until Bob Kimmet came to see me last year. Normally, the AID Administrator and the Trade Rep are not necessarily on the same page. We are. Not only the same page, but 70 percent of all the monies spent on trade capacity-building in the developing world is spent by USAID. Seventy percent. It's a huge portion of it, and it's widely recognized that we do the best job. It's not me. It predates me by 15 years. But over the years, it's been building up. And if you ask heads of state and ministers in the Third World and you ask business people what's most important, it's that capacity-building.

I have to tell you, one of Jim Kolbe's top priorities is this area of capacity-building and trade. Because you can lower the trade barriers, but if people don't have the skill set to understand how the trading system works -- how it applies to sanitary codes, for example, how you can determine a niche market that will allow you to use value-addedness in your country to export more, to expand a particular part of your economy - that makes a big difference.

So Doha is particularly important here. And WSSD. I mean, there was a lot of media and a lot of hype, but if you carefully read the document that was negotiated, we won most of the fights, most of the debates

that we wanted to come out of that. And we made a series of very important announcements of tangible things we're going to do that have funding behind them.

The first is the Initiative to Cut Hunger, particularly in Africa but also in Central Asia, through agricultural development, a major interest of mine, as all of you know.

Another is the Congo Basin Forest Partnership, which is a series of national parks. Gabon has put aside 10 percent of its national territory into these parks to protect the rain forests across that center of Africa from the east coast to the west coast.

The Clean Energy Initiative seeks to transfer clean energy technologies to developing world, something we've been engaged in for 10 years and now want to expand.

And the Global Fund invests in health, in HIV/AIDS, which we've been at the forefront as a country in this, as many of you know.

And finally, there was a proposal in the area of water, especially in construction of municipal water projects. The West Africa Water Initiative is one of the elements of the water proposal. I want to mention that because it's part of the Global Development Alliance that we started last year.

I want to report that we just did our report for fiscal year 2002, and we invested $125 million of AID funding in either explicit Global Development Alliance projects or partnerships with many other organizations in the private sector that seek to take private money from foundations, businesses, universities, NGOs, and think tanks. But it's not a grant program, where we give money to other organizations. It is not a grant program; it's an effort to leverage the money from different institutions, since much of the money going to the developing world now from the United States, 80 percent of it, comes from the private sector, not from ODA (Official Development Assistance).

That's a shift. 1970, 70 percent of all aid to folks in the developing world was ODA, from the United States. It's now 20 percent. It's not because of huge cuts; it's because of massive increases in NGO fund-raising, in universities. Universities give, according to a study that Carol Adelman has done, $1.2 billion in private scholarships to people from the developing world every year. These are not the government. These are the private universities in the United States. It's bigger than the aid programs in many of the democracies in Europe.

If you go through that, and you go through remittances -- there's a huge movement of remittances to the developing world we're only now beginning to understand. There was a study done -- I think I mentioned it to you before -- of funding for micro-enterprise in Mexico. Fifty percent of the funding for micro-enterprise in Mexico comes from the Mexican-American diaspora in California. It has nothing to do with us or our micro- finance programs. It comes from ethnic diasporas in the United States. We are the great melting pot, but we don't quite completely melt. Everybody keeps up their contacts with their families, for generations sometimes. I still correspond with family members in the old country from four generations ago. We still maintain -- now it's e-mail contact. And we don't send remittances back anymore, because where I come from, where my family is from (Greece), is not a poor country anymore.

The point is, though, that we're only beginning to understand how these remittance systems work. And the question is: could we facilitate this? Apparently, there's a high transaction cost in the private sector to move this money. And there's some things we might be able to propose in terms of Treasury regulations that would facilitate a much higher percentage of the money actually getting to people. Because in some cases, it's 18 to 20 percent of the money they send back goes for transaction costs, just to move the money, which is, I think, unfair and unreasonable.

One of these GDAs, Global Development Alliances that we formed around this notion of all this private-sector money was the West Africa Water Initiative, which we announced at WSSD. I'd like to thank the organizations involved in that. Steve Hilton of the Hilton Foundation put in, from his foundation, $18 million; World Vision put in $16 million. We have large contributions by UNICEF, Lions Club International, Desert Research Institute, Winrock, Cornell University, and the World Chlorine Council, and there are others, involved in a small way.

Of the $41 million in this plan, $4.4 million comes from AID. The rest of it is private.

Now, I gave a speech yesterday and a lady said, "well, how come you're giving so little?" I said, "well, it means we have other money to do other things with." But the notion that all of this has to be entirely public-sector-driven, I think, fails to understand this profound shift in money in terms of flows to the Third World in the last 30 years.

Beside the hype about WSSD, some constructive things went on, because there is a growing understanding now in the developing world -- and, I think, an acceptance in Europe, Canada, and Japan -- that a performance-based system is a much better system for everybody. Just giving money is not going to solve all the problems. It is not just a funding problem; it is what happens to the money once it's spent. It becomes an issue that we should need to focus on.

I think that the NGO community and the university community in the United States, have played a major role in many of these international conferences, particularly the American-based ones. I'm being a little biased here, but this is sort of an unspoken comment that you really don't make, but I'm going to make it publicly now. The notion that all NGOs are the same all over the world is like saying all businesses are the same, or all universities are the same. There's a huge difference. And there is a gap, a difference, between the way NGOs in other Northern countries behave and those in our country. And I want to tell you a couple of things that are very different.

My observation is that, for the most part -- there are exceptions - our NGOs tend to be far less ideologically abstract. For me, if you're too abstract, you get lost in abstraction; you don't get anything done. My observation of the developing world is the American NGOs tend to be -- I mean NGOs in the largest sense of that word -- much more operational, much more interested in what actually works, not in simply abstract theory that frequently is never represented by anybody on the ground, in reality, because there's such a gap between the theory sometimes and what we find when we have to deal with reality operationally.

And so I appreciate the contribution that our community has made, our universities, our private for-profits, our NGO community, our think tanks have made in trying to close the gap between the realities that we find in the developing world and the, sort of, abstraction that we deal with at a lot of international conferences.

My main purpose here, however, is to introduce our keynote speaker. I've now gone into his time a little bit. He is a powerful figure in our community now and, I have to tell you, wise. Some committee chairs and subcommittee chairs in the Congress do their work, they chair the committee, but they never fully master the technical disciplines that they are chairing. Jim Kolbe is an exception, a shining example of the opposite of that. He has not only mastered it, he's become an expert in some areas, so much so that he's always keeping me on my toes when he asks me questions that I'm not anticipating.

He has three major interests. We all have major interests; it doesn't mean we're not interested in other things. But he is heavily focused on the issue of trade, because Jim Kolbe knows there is a direct connection between trade and economic growth and poverty reduction.

Just a little side-note here. We had Michael Porter from the Harvard Business School, one of my favorite business intellectuals in the United States, to speak to our senior staff for two hours at our headquarters. We videotaped it, and now require everybody all over the world in AID to see the tape. I don't know if we're going to have a test on it or not. A lot of what we do, even in the social service sector, can hang off of the kind broad, visionary view of development in the Third World that Michael Porter brings. And by the way, we'll make that tape available to anybody who wants to get a copy of it.

But what he says is we now know we have to have good political governance. Governance makes a huge difference. Democracy makes a huge difference. We need to have the macro economics policies in place. But those two things alone are not enough. And what his focus in these two hours was on, micro economic things -- from the rule of law, the question of infrastructure, the question of marketing, the question of firms and investment and elite education, leadership in the economic sector.

Jim Kolbe understands all this. When I described some of the things in the Porter speech at a recent meeting, I could see his eyes light up, because they're the same things that Jim Kolbe's been talking about. I don't know if they have a secret alliance or something, but listening to Jim Kolbe's comments on this are very similar to the kinds of things that Porter talked about in that brilliant lecture.

The second of his major interests is HIV/AIDS and other infectious diseases. Because we know we can make progress in the battle for hope in the Third World by combating, through the science and through medicine, the scourge of HIV/AIDS and the other terrible infectious diseases we have to deal with, particularly in sub-Sahara Africa.

And the third interest he has is something that very few people on the Hill have in a government agency, and that is on internal management systems. He has a deep interest in this, and I do as well, and so we are talking constantly about what progress we've made, or not made, in certain areas of the business systems reform that I announced in my comments to the Senate Foreign Relations Committee when I was up for confirmation last year.

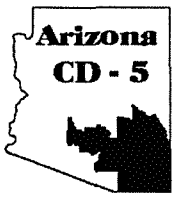
The staff at the Legislative Public Affairs Bureau would be upset if I failed to mention how delighted they were that our poet laureates, who remain anonymous, had their poem of limericks on the chairman's birthday this year put into "Roll Call." It was a great piece of poetry, and if you want to read it, you can see it in "Roll Call." We have that kind of relationship that we can send the lyrics in, have them accept it, and then have them publish it.

Now I would like to introduce Jim Kolbe, my friend.

Congressman Jim Kolbe

5th District Arizona

STATEMENT



Contact: Neena Moorjani (202) 225- 2542 ***www.house.gov/kolbe***

Remarks of Jim Kolbe
Advisory Committee on Voluntary Foreign Aid (ACVFA)
Wednesday, October 9th, 2002
National Press Club

Administrator Natsios, thank you for that nice introduction. I appreciate the opportunity to speak to all of you today. Those of you here who serve on the Advisory Committee on Voluntary Foreign Aid to USAID can and will continue to play an important role in the evolution of our foreign assistance programs. The rest of you in the audience demonstrate by your presence and your professions your profound interest in seeing our efforts for the developing world be successful.

Today, I plan to discuss with you some of the broad foreign policy challenges as I see them, some thoughts on the lessons we've learned about development assistance, and my personal views on how integral foreign assistance is to the attainment to our foreign policy objectives. Finally, I want to share some recommendations with you to consider incorporating into your thinking on how the US should evolve its development strategy for the 21st century.

The decade preceding September 11th brought many US foreign policy accomplishments and challenges, including: the fall of the Berlin Wall and the drive to integrate the Former Soviet Union into the family of democratic and capitalist states, Latin America's need to sustain its movement toward greater economic growth and democracy, the engagement of China into the global trading system, and the development of a world consensus supported by US leadership focused on fighting the global pandemic of HIV/AIDs.

Today, even after all that has occurred since September of last year, we cannot and should not lose sight of those accomplishments and those challenges. Consequently, I am glad to see that a good part of your discussion later today will focus on HIV/AIDS and the Global Fund. You will also focus on public and corporate partnerships as a tactical

means to strengthening our overall development effort. And you will discuss – as I will – the most exciting and innovative idea in foreign assistance in a generation, the proposed Millennium Challenge Account (MCA).

But to set the framework of my remarks, let me acknowledge that the emotional and physical impact of 9-11 was enormous. While it did not change most of the foreign policy realities we face, it definitely changed our perceptions of those realities and very much our policy responses to them. Now, we confront escalating public expenditures for homeland security, new private sector costs to help protect critical infrastructure, and all kinds of opportunity costs as security overshadows other priorities. We must work to make sure that the President's Millennium Challenge Account does not fall victim to the war against terrorism.

In the mind of the American public, our foreign policy post 9-11 carries a sense of urgency and priority we have not seen in a decade – perhaps longer. All over America we feel a new sense of vulnerability. As we wrestle, debate, and implement programs to meet those pre 9-11 and post 9-11 challenges, our underlying foreign, national security, and international economic policy objectives remain constant. We continue to believe in and encourage personal liberty and respect for human rights, democracy, pluralism and the rule of law, and broad based capitalism as the mode of economic development.

We stand astride an important moment in recent history in so many ways. While this phrase is used all too often in public dialogue – a fact Administrator Natsios has noted -- it remains appropriate in light of what our country and others have endured or witnessed this last century. Free markets, entreprenuralism, and an absence of large state central planning has been embraced - albeit still to varying degrees -- as the chief means by which nations will improve in the quality of life for their citizens. Individualism, markets, and democratic choice have defeated Communist and central planning ideology all over the world, for the simple reason that it was unable to meet the civic and material needs of its citizens.

Today, even as I talk about these positive trends, the House of Representatives is preparing to vote for a resolution to authorize the use of force against Iraq. The foreign policy that the President and Congress are embarking upon in this resolution are very much in the spirit of keeping this progress moving forward.

Several months ago, Brent Scrowcroft, NSC advisor to former President George Bush, commented that America's future security and prosperity in the world depends on how well we can change the trend lines in parts of the world post 9-11. In his view, problems transcend the obvious tension between Islam and the West to ones focused on how the world has become more fractured and tensions among its various pieces have started to increase. One indicator of the fragmentation relates to the number of countries in the United Nations. When UN was born, it had 51 member nations in 1945. Now, its membership has swelled to 191.

However, I would note that even as the world has become more fractured into a kaleidoscope of nation states, it has become more united along key democratic and free market dimensions.

In 2001, Freedom House noted continued gains in democracy in its annual report. Measured by the degree of political and civil liberties, it found that the number of free countries has increased from 65 in 1990 to 86 in 2001. Two and a half billion people, 40% of the world's population live in these countries. The organization noted that the 40% of people living in freedom is the largest in the history of its survey (some 20 years). But with that statistic of course, we also must see the reverse which means that 60% of the world's population do not enjoy the same level of political and civil freedom as we do in the United States.

Freedom House also notes that the number of partly free countries increased from 50 in 1990 to 59 in 2001. These are defined as those where limited political and civil liberties are combined with negatives such as corruption, weak rule of law, and a dominance of one political party. Some 1.4 billion people, or 25% of the world's population, live in these countries. Despite the need to continue to push for expanded freedom, there is progress.

Although there is clearly some weakening in the belief of free markets, in developing and developed countries alike, we must see it in context. GATT at its inception in 1947 had 23 nations as original signers. Now, the WTO, its successor organization, has over 140 members. That represents a large number of nations subscribing to the principles of capitalism and global trade. Amazingly, developing nations represent 80% of the WTO. The WTO reports that international trade increased from $1.8 trillion in 1983 to over 5½ trillion recently.

General Scrowcroft also has made some insightful comments on challenges of globalization. For some 20 or 30 countries, the prospect of globalization offers a great promise of development. For the rest, it offers just a growing divide. Simple statistics are illustrating this trend: 40 years ago the world's 20 richest countries had per capita incomes that were 20 times greater than the world's 20 poorest countries. Now that number is 37 times greater.

The term globalization gets thrown around a lot. I owe you my definition. My working description is this: the increasing integration of the world brought about through expanded international flows of trade, investment, labor, capital, knowledge, information, and technology. In essence, it is the expansion of capitalism, or of free market principles in practice.

In the minds of some, globalization remains an evil phenomenon. We just witnessed another round of protests here in Washington at the recent World Bank and IMF meetings. The target of these protests was the capitalist system itself. While the emotions and passions of these protesters stem from real concerns and fears, we must not lose sight of the fact that the US – and the international community -- have an overriding foreign

policy interest in deepening global integration and making it sustainable. Why? Because it can help generate the benefits that can allow us to attain our development and foreign policy objectives. "Is global integration here to stay?" is not -- in my view -- a question which is still in doubt. The answer is definitely yes.

As many of you know, it was only in this Congress that I assumed the chairmanship of the FO Subcommittee. It has been a terrific challenge and opportunity to play this leadership role on behalf of my party and the House chamber. I continue to enjoy the excellent working relationship I have forged with my ranking member, Nita Lowey. Despite these very partisan times and occasional disagreements, we have managed to work in a bipartisan way, and two years running have assembled an appropriations bill both of us could support.

Over these last two sessions of Congress, I sometimes think of accomplishments of the 107th Congress in the area of foreign assistance. Certainly, many in the Executive branch and you in the audience share credit in those accomplishments. And while the FY 2003 appropriation process is stalled for the time being, I am sure that when the dust settles foreign assistance levels will not be reduced from the bill's general total.

If we assume the levels in the bill adopted in the House Appropriations Committee, the child survival account will have increased from a little over $1 billion in 2001 to $1.7 billion in 2003, an increase of $700 million or 60%. This large increase was accomplished even with a moderate increase in development assistance from $1.3 billion in 2001 to $1.4 billion in 2003, an increase of a little over $100 million or 10%. On HIV/AIDS, funding has more than doubled in spending, growing from $315 million in 2001 to $786 million in 2002. Over the 2002-2003 period, if one assumes at least the House Foreign Operations level of $250 million (an amount higher than the Senate at present) for the Global Fund, plus if $100 million is provided from the 03 Labor HHS bill (the bill has not been written yet), then the US will have contributed $650 million in total to the Global Fund to Fight AIDS, Tuberculosis, and Malaria.

Certainly, these are significant investments in fighting the pandemic but it is clear that much more will be necessary. UNAIDS estimates that programs in developing countries and countries in transition will need to have about $10 billion annually to fight the pandemic by 2005 – just three years from now. All national governments, including and specifically the US, will have to increase the amount of resources they plan to budget and dedicate to fight this disease.

However, while I personally take some satisfaction in these foreign assistance accomplishments -- as do many of my colleagues and as you should -- I can say that their impact will pale in comparison to a single vote (10 years in the making) and the continuation of one international economic policy. In my 18 years of Congress, it was the most dramatic vote I have ever worked. When first considered on the House floor, the vote was open for 48 minutes. It passed on two occasions by a single vote. In my opinion, it was the most important development assistance vote in last 10 years.

What vote and what law do you think I am referring to? I am referring to Trade Promotion Authority or TPA for short. This vote was all about the future. It gave the President the confidence to lead and gave us the best tool to shape the challenge of globalization. Why do I think that TPA vote will be more impactful than our investments in development assistance? Most of our development assistance investments will fall far short of their objective – if not completely wasted -- unless there are economic and political systems to sustain them and generate economic growth as a result. We may positively touch a few lives, but we will see little long term improvement in the quality of life for the people of the developing world. The traditional forms of assistance may make us feel good but they will not have lasting impact unless other economic tools work.

Trade promotion authority, on the other hand, can dramatically make a difference in the developing world if it is used as a powerful lever to truly generate free trade between developed and developing countries alike. But while I just identified what I thought was the most important vote in our efforts to reduce poverty, allow me to share some lessons we can use to improve the delivery of our development assistance. There are four I want to highlight:

- First, it is not the quantity of foreign assistance that is important to development.
- Second, it's all about a focus on economic growth.
- Third, we need to work more on better governance.
- And fourth, the need for a laser focus on what works. We are anything but focused right now.

Let me examine those four lessons in more detail.

Lesson #1: It Is Not The Quantity Of Foreign Assistance That Is Important.

America has given over $167 billion (in constant 1999 US dollars) in official development assistance (ODA) to 156 countries, regions, and territories since 1980. Of those 156 countries, we have data for per capita GDP data between 1980 and 2000 for 97 of these countries. These countries received over $144 billion in inflation adjusted ODA since 1980. These 97 countries had a median inflation adjusted per capita GDP of $1,076 in 1980, but only $994 in 2000. That means that there has been a decline in real terms.

No relationship – no link – is apparent between economic growth and the levels of official development assistance. One study noted that between 1980 and 2000, 23 recipients of U.S. official development assistance received amounts equivalent to one quarter of their entire gross domestic product in 2000. I'm speaking only of U.S. assistance; it does not include aid from other nations or the World Bank. Growth in per capita GDP for these countries averaged -0.16 percent, with 12 experiencing negative growth, and only 4 experiencing growth over 1 percent.

In another study, a former World Bank development economist found a similar lack of relationship. Bill Easterly noted that between 1950 and 1995, Western countries gave $1 trillion in aid in constant 1985 dollars. He concluded, after studying investment and

growth patterns in over 80 countries in a similar time frame, "Among all low-income countries, there is not a clear relationship between aid and growth."

You should note the time frames of these studies – 20 years and 45 years. We're not talking about expecting quick results after a year or two of assistance. These are long term studies and long term results. Simply put, the focus on the amount of aid is misplaced. Tax policy, regulatory policy, anti-corruption, transparency, and the rule of law matter far more in a developing country than the amount of development assistance.

Lesson #2: It's All About Economic Growth.

Let me take a moment to review some recent success in the area of poverty reduction, other key improvements in development measures, and a quick look at the geographic areas of where we have seen success. In 1990, 29% of the world's population lived on income of less than a $1.00 per day. In 2000, it was 23%, a 6% point drop. The absolute number of people living on less than a $1 per day has declined even as the world population has increased. An interesting fact I would note is that this has occurred even as there was a decline of 30% in the level of official development assistance over the last decade or the same time frame.[1]

Some other development indicator improvements are important to recognize as well. Between 1990-1999, adult illiteracy rates in low-income countries for males aged 15 and above decreased from 35% to 29%; and for females aged 15 and above, the figure declined from 56% to 48%. While only 30% of people in the developing world had access to clean drinking water in 1970, today about 80% have. Wages and conditions have improved as economies grow. In 1970, 35% of all people in developing countries were severely malnourished. In 1996, the figure had fallen to 18% and the UN expects the figure will continue to fall.

Why have we seen this success? The answer will be found in raising personal incomes and economic growth. It is an increase in personal incomes that enable us to achieve all of our other aspirations for the developing world. And raising personal incomes come with broad-based economic growth. Look at the big success stories around the globe; most of them did not receive US aid. China's growth has been consistent at 7% - 10% over the last decade. There has been sustained significant economic growth in countries such as Indonesia, Vietnam, Brazil, and Mozambique. Some countries have even managed to double GDP per capita, including Botswana, Chile, Thailand, and Korea. None are major aid recipients.

How do we best help countries achieve broad based economic growth? Economic growth is only possible with capitalism, investment, & trade. Trade, open financial markets, and investment are good for the poor. Empirical research of the World Bank shows that during the last decade income per capita in developing countries that have focused on capitalism and that participate in the global trading system grew more than three times faster than countries choosing not to participate.

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[1] Data taken from statistics shared by Dr. Francis Rischard of the World Bank.

A key question you might ask: "Did that growth benefit that country's society at large – or only the elites within that country?" The answer: the World Bank found that the benefits of that economic growth were evenly distributed through the population strata of those countries. As a result, the absolute poverty rates for trading nations have also fallen sharply over last 10 years. Indeed, history has shown that countries that have embraced democracy along with capitalism and participation in the global trading system have experienced the highest economic growth and generated the highest quality life for their citizens. And that of course, leads me to the third lesson.

Lesson #3: Good Governance Matters.

Free markets & trade alone are not sufficient. Case in point is Latin America where countries have been moving in a free market direction for the last decade but economic growth has remained elusive. Some have suggested that the growth of the early 90s appears to have been an aberration – a few years sandwiched between the lost decade of the 1980s and the lost second half-decade of the 1990s. As a result, popular acceptance of free markets and democracy across Latin American is less certain. However, we should not allow this failure to generate better rates of growth to affect the belief these societies have placed in capitalism.

The power of free markets as a tool of development cannot be exercised without the right policy environment. Thomas Friedman, the Pulitzer prize winning diplomatic columnist of the New York Times explains it this way: countries must have a good governance "plug" to integrate into the global economy. A poor quality or corroded plug simply will not integrate with the expectations of a global capitalist economy. A critical governance component relates to creating a corruption free environment. Corruption undermines economic growth. You cannot have sustainable development without rule of law.

This is very much true in Latin America. Historically, gross inequities of wealth and income in the region have created political environments that allow bureaucracies to manipulate the economy to benefit the few. As a result, pockets of both political and economic instability stretch from Haiti to Argentina. We should not be surprised that the incentives exist for the traditional authoritarian left or right to reverse the direction toward free markets and more effective democratic governance.

Lesson #4: The Need To Remain Focused.

At a multilateral and bilateral level, we have been ensnared in a cycle of "do everything development." Bill Easterly, in his article "The Cartel of Good Intentions" says it very succinctly. For low-income countries, the IMF requires a Poverty Reduction Strategy Paper (PRSP). Niger's recently completed PRSP is 187 pages long, took 15 months to develop, and sets out spending for a 5 year poverty reduction plan. The PRSP in turn must be compliant with the World Bank's Comprehensive Development Framework, a 14 point checklist covering everything from lumber policy to labor practices. This framework covers clean government, property rights, finance, social safety nets,

education, water, arts, roads, cities, tax policy. Policy makers seeking aid must complete a litany of reports – often duplicate or similar reports for multiple institutions.

All of this is incredibly inefficient. The document emerging from the Monterrey conference contained 73 separate development recommendations, including such ambitions as establishing democracy, equality between girls and boys, -- and yes -- peace on earth. The Johannesburg WSSD Conference includes some 185 recommendations. And finally, it is present in the development and implementation of the Millennium Development Goals.

Now, with those four lessons in mind, what do I think should be the role of our development assistance? Before addressing that question, let me first take a step back and articulate how I see US foreign assistance as an integral component of our overall foreign and national security policy. I often relate our total foreign assistance – all of that in the foreign operations bill – as one leg of a three legged stool providing a sturdy US foreign policy. Each leg is essential for the stool to carry the weight of the policies projected and coming together at the top. One leg is that of our diplomatic core and intelligence services; another relates to national defense & security strategy; and the third has as its core in our foreign assistance.

Our foreign assistance in a macro-sense plays multiple roles within our foreign policy process. At its first level, the foreign assistance leg can be used a vital tool for easing the suffering of people around the world. At a more nuanced level, it can enhance health, education, and national infrastructure. In light of security challenges to the United States, we can also link the foreign assistance leg of the stool to the national security leg by using it in the form of Foreign Military Financing. But, of even more importance, it can and should nurture the structures of capitalism and the rule of law -- making it possible for the poor to participate in market economies and for poor countries to participate in the global economy.

I believe this is the role we should want development assistance to play. If experience shows that successful development is driven by a country's ability to access and use all its available resources for economic growth -- and particularly those that relate to integration in the global economy, then we must strategically align development assistance to the accomplishment of that end. Our development assistance should serve as a catalyst to help countries prepare for greater participation in the global economy.

I believe it is time to move beyond the debate on the quantity of foreign assistance to a focus on economic growth and helping countries maximize the benefits of participating in the global economy. Knowing that we have a tendency to ask developing countries to accomplish all of our bilateral objectives at the same time, it is imperative that we remain focused. That should result from a reflection on how we need to break out of the trap of "do everything development" Bill Easterly identified.

Let me conclude by giving a few recommendations for our development assistance programs. Some of these recommendations relate broadly to our programs, others

convey a sense of how I think we should develop and implement the President's MCA initiative. These recommendations are applicable to all of us who share a concern about global economic progress and social justice – in the Executive branch, the legislature, and the private or non-profit sectors.

Overall Suggestions On US Development Assistance

First, lets be sure that our expectations and definition of success are aligned with our development experience. All too often, advocates for development assistance argue that success is only a matter of additional resources. But experience tells us otherwise. Decades of development experience have demonstrated that resource transfers – without an environment of effective political economy – will generate poor results. Our policy development and our advocacy must place an emphasis on those policies that will generate success -- not simply the addition of more resources.

Second, the United States must generate a development policy that is more holistic in outlook. Two pillars must be elevated in importance. US policy must recognize trade and foreign direct investment as development tools. Economic growth must become its own objective and must be strongly integrated into the fabric of our development programs.[2] Historically, we have just focused exclusively on increases in foreign assistance and debt relief as the chief drivers of development. I would argue that giving developing countries access to the markets of the US, Europe, and Japan creates a self-reliant path while aid is a donor development path. Imagine if Sub Saharan Africa had an additional 1% of international markets. That would mean that this region would have $70 billion more in resources in the form of income and revenue earned through international trade.

Our domestic discussion on development must consider the potential cost of failure in the new round of trade talks (launched in Doha) or of failure in negotiations for US free trade agreements with Central America or the countries of southern Africa. The World Bank has calculated that a successful round of global trade negotiations, coupled with related market reforms, could add a whopping $2.8 trillion to global income by 2015 - much of it in developing countries.[3]

This is a message that some in the foreign assistance advocacy community will not want to hear. We have become so devoted to the assistance programs we each represent. However, as a representative of Oxfam International has said, the "playing field is not level." It slopes down hill from developed countries. Therefore I say, if we are serious about development, we have to be serious about trade.

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[2] This is particularly true for many African countries where HIV/AIDs is actually projected to reduce GDP growth rates making the situation of responding to the pandemic even more challenging.

[3] "Faster integration through lowering barriers of merchandise trade would increase growth and provide some $1.5 trillion of additional cumulative income to developing countries over the 2005 to 2015 timeframe." 2002 Global Economic Prospects, World Bank, page xiii.

On the MCA initiative of the President, I look forward to receiving the details from the Administration so that it can be evaluated carefully. I was privileged to accompany the President to the Monterrey Conference where he emphasized his commitment to the developing world. While the details are only beginning to emerge, I am very supportive of this initiative because it would create a new paradigm of development assistance – one that puts a premium on making certain investments in assistance occur in a context of effective political economy.

As the Administration continues to work on this new initiative, I would offer these suggestions. It should consider offering MCA awardee countries special consideration for expedited bilateral trade preferences (like with AGOA or ATPA) or the option of negotiating a free trade agreement with the United States. It should offer developing countries the prospect of ownership of their development strategies with US assistance. In exchange for ownership, developing countries should be willing to accept the fact that MCA resources may be withdrawn if criteria for eligibility are not maintained or results not achieved. It should aim to build and re-enforce the governmental capacity of recipient countries to manage their development. In establishing the MCA, we must minimize the administrative bureaucracy and bureaucratic requirements in the delivery of assistance. Once countries qualify, the MCA should complement current assistance efforts but most importantly generate a focus on economic growth and self-sufficiency.

And finally, it should aim to make sure development and economic opportunity are extended to those currently outside the formal economy. By this I mean that the rule of law, property rights, and the ideas of Hernando DeSoto should be incorporated into the MCA as an objective and development goal. The promise of capitalism as a tool for economic development and poverty reduction can never fully be achieved as long as large populations have no stake in the capitalist mode of development.

As all of us – but particularly the administration and the Advisory Committee -- consider the FY 2004 budget, I would offer a couple of additional suggestions for your consideration. These are intended to generate debate and deliberative thought. I know they will be considered controversial but there are serious issues behind these suggestions. First, we might want to consider a one-year time out on <u>further increases</u> in infectious disease funding to assess the ability of USAID, private partners, and the Global Fund to effectively manage and coordinate the massive increases over the 02/03 period.[4]

Second, we might consider downgrading the role of the multilateral development banks and UN agencies (other than the Global Fund & the UN Food Program) for the next few years as we learn to utilize the Global Fund and the Millennium Challenge Account. As

[4] This suggestion is in the context of very serious management challenges USAID & the Global Fund face broadly in the context of human resources, financial management, and procurement -- specifically in the context of absorbing and deploying massive resource increases. For more information on USAID, please see House Report 107 -663 on the FY 2003 Foreign Operations, Export Financing, and Related Programs Appropriations bill.

part of this, we might not want to renew support for Asian and African Development Funds unless they agree to provide 25% of funding as grants.[5]

In conclusion, I wish to again commend you all for your dedication to improving our foreign assistance policy. Your work and interest is essential to the improvement of the quality of life to millions of people living in the developing world. As you continue discussions and leave here today, I encourage you to think about my thoughts and suggestions. I firmly believe we are going to have to think outside the box in our development assistance programs. The reality is what we have tried in the past has not worked. In light of the challenges we face, there is a sense of urgency for new ideas and tools.

Again, thank you for the opportunity today to address you as a group.

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[5] In the agreement for the 13th replenishment of IDA of the World Bank, the USG was successful in realizing a number of advances long advocated by Congress, one specifically relating to the change allowing up to 21% of IDA's resources on a grant basis.

THE FIVE AREAS OF THE PRESIDENT'S MANAGEMENT AGENDA

In August 2001, President Bush launched a reform agenda to improve management in the Federal government and deliver results. The President's Management Agenda (PMA) outlines five government-wide initiatives. They are: 1) strategic management of human capital, 2) improved financial management, 3) budget and performance integration, 4) competitive sourcing, and 5) expanded electronic government. Agencies are being evaluated by a traffic light scoring system. "Getting to Green" means that the Agency meets all standards for success.

USAID's nine-part transformation plan will improve performance and position the Agency to accomplish the President's mandate. The plan will consist of the following:

- The strategic vision for the Agency
- Pillar bureau reorganization
- Budget and performance integration
- Business systems modernization
- Human capital plan
- Knowledge management
- Implementation planning
- Change management/communications strategy
- Budget

President's Management Agenda
U.S. Agency for International Development

Initiative	Current Status (As of June 30, 2002)		Progress in Implementing the President's Management Agenda		Comments
Human Capital **Agency Lead: John Marshall**	Red	• Agency has not redirected staff from supervisory positions to the front-line and does not always make staffing decisions based on programmatic justifications. • A reduction in force in the mid-90s and high expected attrition have left the agency with current and potential future skill gaps.	Yellow	Actions Taken Since February 28, 2002 • Approached OPM for help on the Accountability dimension of the scorecard. • Initiated a class of new entry professionals for the foreign service. • OPM conducted a strikeforce seminar. • Provided a timeline showing key targets for achieving human capital related objectives. • Established a human resources working group as part of its agency wide business transformation effort (BTEC) Planned Actions for Q4 FY 2002 • Establish reorganization plans for individual units. • Provide plan for integrating human capital planning into FY 2004 budget request. • Host seminar and develop accountability plan with OPM. • Develop scope of work for: 1) comprehensive human capital management plan and 2) integrating human capital management into strategic planning.	• Progress evaluation has been downgraded from green to reflect the agency's failure to meet its Q3 target for completing bureau level reorganization plans. To date only one plan is complete and approved and five units have not submitted a proposed plan at all. • Despite falling behind on a key deadline, the agency continues to pursue an ambitious human capital agenda. • **Critical to improvement in status rating is an evaluation of the agency's reorganization plans and implementation timeline.** Although the agency plans to have the unit reorganization plans complete by the end of Q4, a summary analysis of the results and full approval may not be done until Q1. • The agency plans to implement an annual portfolio review process to assure that human capital is and continues to be aligned in a rational way with program functions. • **The progress rating will return to green if all Q4 planned actions are accomplished.**

DATE: 6/24/200

President's Management Agenda
U.S. Agency for International Development

	Current Status (As of June 30, 2002)		Progress in Implementing the President's Management Agenda		Comments
Competitive Sourcing **Lead: John Marshall**	Red	• Identified 30 percent of staff positions as potentially commercial, but has not completed public-private or direct conversion competition and has not submitted a competition plan. • No change since September 30, 2001.	Red	Actions Taken Since February 28, 2002 • Consulted with OMB. Planned Actions for Q4 FY 2002 • Will negotiate parameters for a competition plan with OMB.	• **USAID progress rating is red because the agency has not yet submitted a competition plan.**

DATE: 6/24/2002

President's Management Agenda
U.S. Agency for International Development

	Current Status (As of June 30, 2002)		Progress in Implementing the President's Management Agenda		Comments
Financial Performance **Lead: John Marshall**	Red	• Almost 50% of USAID managed funds not tracked within new core accounting system since system is not deployed overseas. • USAID has not received an unqualified audit opinion on the annual financial statements.	Yellow	Actions Taken Since February 28, 2002 • Continued the comprehensive study of business practices that will include a strategy to accelerate deployment of the core accounting system worldwide. • Improved procedures to identify and recover unused funds from expired contracts. Planned Actions for Q4 FY 2002 • Investment to be made to allow reporting of field data monthly at the strategic objective level. • Process/data improvements to facilitate audit completion.	• Although USAID has begun a comprehensive evaluation of its financial management system, the progress rating is yellow because the plan to address financial performance will not be available until July. Progress toward a plan has been on schedule. • **Progress rating should be reevaluated once a plan is submitted.** • USAID plans to proceed with design and procurement for an overseas financial management system in FY 2003. • **Overseas deployment is targeted for late FY 2003/2004 at which time, the status rating should be reevaluated .**

DATE: 6/24/20

President's Management Agenda
U.S. Agency for International Development

	Current Status (As of June 30, 2002)		Progress in Implementing the President's Management Agenda		Comments
E-Government **Lead:** **John Marshall**	Red	• None of the Agency's business cases are Circular A-11 compliant. They are not forward-looking, nor do they define how the Agency can deploy its new systems worldwide.	Yellow	Actions Taken Since February 28, 2002 • USAID continued the comprehensive study of its business practices that is intended to result in more effective capital planning. • Presented results of the pilot use of the Ariba system for small procurements. • Subscribed to an online integrated staffing and recruitment system that should be complementary to government-wide e-gov initiative. Planned Actions for Q4 FY 2002 • The agency will develop a list of potential projects related to Quicksilver initiatives. • Study of business practices will continue with results to be available late June/early July.	• Although USAID has begun a comprehensive evaluation of its use of IT, the progress rating is yellow because the plan to address this area will not be available until July. Progress toward a plan has been on schedule. • **Progress rating should be reevaluated once a plan is submitted.** • **USAID's intends to provide A-11 compliant business cases for all IT investments by this fall. At this time, the status rating should be reevaluated.** • Actual implementation of planned reforms should begin in FY 2003.

DATE: 6/24/2002

President's Management Agenda
U.S. Agency for International Development

	Current Status (As of June 30, 2002)		Progress in Implementing the President's Management Agenda		Comments
Budget & Performance Integration **Lead: Patrick Cronin**	Red	• Planning and budgeting are separate with little collaboration. • No programmatic justification was given to support the FY 2003 budget request. • Evidence of performance budgeting is largely anecdotal.	Yellow	Actions Taken Since February 28, 2002 • Issued internal guidance for FY 2004 budget formulation that emphasizes strategic budgeting and performance factors for resource allocation. • Budget responsibility reassigned from management bureau to the program planning bureau. Planned Actions for Q4 FY 2002 • Submit FY 2004 budget request to OMB with performance factors integrated into the justification. • Complete a study of operating expenses to provide a model for proactive planning and present alternatives for improved cost accounting practices. • Strategic resource allocation group will develop a model for evaluating future budget allocations against ideal "shadow" allocations based on need, program performance, recipient policies, and foreign policy priorities. • Development of a comprehensive plan outlining problems being addressed along with a timeline showing expected accomplishments.	• Although USAID has begun several activities to address individual problems in this area, the progress rating reflects the lack of a comprehensive plan for reform. **Progress rating should be reviewed once USAID provides a comprehensive plan outlining problems being addressed along with a timeline with expected accomplishments.** • USAID continues to review its performance measurement approach and is developing generic measures to facilitate cross-program comparisons and working with the agency's inspector general to ensure that measures are auditable. • USAID has integrated this effort into its overall business transformation process to ensure that agency systems will support performance based budgeting. • USAID faces unique challenges in achieving success in this arena. USAID programming is often only one factor among many affecting a desired outcome making attribution difficult. • **The status rating should be reviewed once the FY 2004 budget submission is received.**

DATE: 6/24/20

Session Overview DRAFT VERSION 10/23/02
AFR Mission Directors' Conference
November 3-6, 2002
Annapolis, MD

Session 2

- **Title:** USG Foreign Policy and Priorities in Africa

- **Time:** Monday, November 4 @ 11:15-12:15

- **Speakers:** NSC Senior Advisor, Jendayi Frazer
  Deputy Assistant Secretary of State for African Affairs, Mark Bellamy
  Connie Newman

- **Moderator:** Keith Brown

- **Objective:** To review USG foreign policy for Africa.

- **Topics to be discussed/questions to be answered:**
  - Foreign Policy priorities in Africa and how they are achieved.
  - Country and sectoral priorities
  - How the USG will support NEPAD?
  - How will the USG implement MCA?
  - Initiatives relevant to USAID country and regional programs.
  - The POTUS Africa trip.

- **Associated Documents:**
  - Walter H. Kansteiner, Remarks to the WSSD Outcomes Conference, April 9, 2002
  - Kansteiner Emphasizes Bush Administration Engagement with Africa, July 6, 2001
  - Chapter 6 of The National Security Strategy of the United States of America

- **Rapporteur:** Wade Warren

The White House
President George W. Bush

For Immediate Release
Office of the Press Secretary
February 22, 2001

Statement by the Press Secretary

National Security Advisor Dr. Condoleezza Rice announced the appointment of Dr. Jendayi E. Frazer as Special Assistant to the President and Senior Director for African Affairs at the National Security Council.

Dr. Frazer comes to the NSC from Harvard University, where she has been serving as an Assistant Professor of Public Policy at the Kennedy School of Government. As a Council on Foreign Relations International Affairs Fellow, she served as a political-military planner with the Joint Chiefs of Staff in the Department of Defense, and as Director for African Affairs at the National Security Council. She has also worked on African security issues with the State Department's International Military Education Training programs and the United Nations Development Program. Dr. Frazer was a visiting fellow at the Center for International Security and Arms Control at Stanford University; a research associate at the Institute for Development Studies at the University of Nairobi, Kenya; a member of the faculty of the Graduate School of International Studies, University of Denver; and editor of the journal Africa Today.

Dr. Frazer graduated from Stanford University with a B.A. in political science and African and African-American Studies, M.A.s in international policy studies and international development education and a Ph.D. in political science.

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Return to this article at:
http://www.whitehouse.gov/news/releases/2001/02/20010222-1.html

Biography of William M. Bellamy

William M. (Mark) Bellamy was appointed Principal Deputy Assistant Secretary of State for African Affairs in June 2001, having been appointed as Deputy Assistant Secretary in August, 2000.

Mr. Bellamy joined the Foreign Service in 1977. Previous assignments include Deputy Chief of Mission, Canberra, Australia 1997-2000; Minister Counselor for Political Affairs, U.S. Embassy Paris, France 1993-1997; Counselor for Political Affairs, U.S. Embassy Pretoria, South Africa 1989-1993; Political Officer, U.S. Embassy Harare, Zimbabwe 1985-1987; Political Officer, U.S. Embassy Paris, France; Staff of the Executive Secretariat, Department of State 1979-1981; and Consular Officer, U.S. Consulate, Naples, Italy 1976-1977.

Mr. Bellamy was born in Okmulgee, Oklahoma on August 31, 1950. He received a B.A. from Occidental College in 1972 and a M.A. from Fletcher School of Law and Diplomacy in 1975. Prior to joining the Foreign Service, he worked as a journalist and public relations consultant in Los Angeles and San Francisco.

In 1993 he was the recipient of a Superior Honor Award, Department of State, and a Distinguished Honor Award in 1989, Department of State.

Mr. Bellamy speaks French and Italian. He is married to the former Pamela Sterne, also a Foreign Service Officer, and they have two children.

Walter H. Kansteiner, III, Assistant Secretary for African Affairs
Remarks to the WSSD Outcomes Conference
April 9, 2002, Johannesburg, South Africa

I'd like to spend just a few minutes talking about what the United States' priorities are in Africa and then talk a little bit about how those priorities reflect in the partnership that we're all here today to talk about.

We essentially have five priorities for Africa and they're all inter-linked and they do change, because events in Africa obviously change. But the basic motivation for those five priorities remains the same. They go something like this.

The first priority is to help Africans have a better life. Some people call it GNP per capita. Others call it standard of living increase. However you want to measure it or however you want to call it, it's making the environment a better place for those that live in Africa. We think one primary way to do that is activate the private sector. Certainly, official development assistance is very important, but ultimately, we've got to get the private sector involved to really bring the potential of Africa to its fullest. In that light, I'm also here in South Africa today leading a group of private equity fund managers looking at private equity deals; talking to African entrepreneurs on what their capital requirements and capital needs are and seeing if there isn't a match -- if there isn't a partnership -- between some American capital and some very good African business plans that they can link up and be good partners in.

The second area that we are concerned about and prioritize is democratic institutions. You know, we always talk about good governance -- and we need to talk about good governance -- but behind good governance is an institution that will be there day in and day out. Those institutions that contribute to good governance are things like independent judicial systems, like a free media and free press, all of the building blocks of civil society. We're interested in how we can support African governments and African civil societies in building and sustaining those institutions and building blocks.

The third area that we are focused on is HIV/AIDS. It is the pandemic that we all know about and certainly this country is fully aware of it, as is this entire Southern African region. We spend a lot of resources -- cash -- and we spend a lot of human resources on it, too. Ambassador Hume has quite a few people in his Embassy here in South Africa working on nothing but HIV/AIDS. It is a critical focus that we are going to have with us, unfortunately, for some years to come.

The fourth area is the environment. Africa is blessed with some unique ecosystems. These are the ecosystems that we all have to protect. You remember, in one of the early drafts of NEPAD [New Partnership for Africa's Development], President Mbeki very articulately wrote about how Africa is the lung of the world. And it is. The open spaces of Africa, the rain forests of Africa, that's what the rest of the world is breathing That's the oxygen we have. And we have to recognize and hold up that unique ecosystem and we need to help African governments protect those

ecosystems.

The last area is conflict resolution, and that's a kind of Washington, D.C., academic way of saying, "Stop the wars." Africa's got too many wars. And you know, we can't protect the environment and we can't really do HIV/AIDS assistance and we can't build independent judicial systems and we certainly can't draw American investment if there's a war going on. So, we spend a lot of time looking at conflict resolution and how to stop those wars and how to prevent new ones from happening.

So those are the five priorities and what we are constantly looking for are, what are the bridges, what are the partnerships that we can build with Africans to make those five priorities a reality.

And what you're going to be doing here in August is an excellent way to start building that bridge. We are looking for the deliverables, as we say, what are the concrete things we can do together. Yes, it's doing things like bringing private equity fund managers here to invest. And listening to the deal flow that African entrepreneurs have. Yes, it's the Millennium Challenge, which President Bush announced in Monterrey just a couple weeks ago. It's an exciting challenge and we, quite frankly, haven't worked out all the details of it, but I think it's very good news for Africa. It's based very much on the NEPAD good governance and good economic policy kind of criteria. We're going to be working with NEPAD and figure out how those criteria are developed and then we're going to start looking for vehicles to deliver that. We've announced that it's going to be a five billion-dollar per annum Millennium Challenge, and that's terrific. So, we look forward to working with WSSD and all the participants in how we put that money to good use.

Thank you all very much.

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U.S. DEPARTMENT OF STATE
INTERNATIONAL INFORMATION PROGRAMS
U.S.-Africa Issues Friday 6 July 2001

Kansteiner Emphasizes Bush Administration Engagement with Africa

Says focus will be on private sector

By Jim Fisher-Thompson
Washington File Staff Writer

Washington -- People concerned with how committed the U.S. government is to maintaining and strengthening relations with Africa can rest assured that U.S.-Africa relations are on course, says Assistant Secretary of State for African Affairs Walter Kansteiner III.

Kansteiner told a July 3 briefing for foreign journalists that "this has been an active six months ... as far as the Bush administration is concerned. We've jumped right in [on U.S.-African issues] and are quite engaged."

The State Department official made his comments at a Foreign Press Center (FPC) briefing entitled "Bush Administration Africa Policy: The First Six Months and Looking Ahead." He was joined at the event by Jendayi Frazer, senior director for African affairs at the National Security Council (NSC).

Kansteiner, a former businessman and farmer, added that while the United States is "fully committed" to helping Africa, U.S. involvement would increasingly focus on the private sector and "helping African countries become more attractive environments for investment."

Kansteiner said a prime goal would be "to get technical assistance for Africans" to help them compete in the era of globalization. The aim is to achieve "long-term capital flow" that will act as fuel to power trade and economic growth in otherwise stagnant African economies.

This does not mean traditional development assistance is no longer necessary, Kansteiner said in response to a question. "We in the Bush administration will fight for as much budget as we can get," he said, but he added that aid alone is not going to help Africa. "We need private-sector involvement," he emphasized.

Kansteiner cited the following key issues as central to administration policy:

-- the African Growth and Opportunity Act (AGOA), which has already led to 8,000 textile-related jobs in Lesotho and 10,000 in Kenya. The aim now is "to build on ... and make [AGOA] run as smoothly as possible," he said.

-- Increasing "democratic capabilities" in countries like Zimbabwe, where U.S. policymakers are concerned about the way President Robert Mugabe's regime has undermined the rule of law.

-- Helping Africans fight the HIV/AIDS pandemic. In addition to its social costs, the disease affects productivity in Africa and is having a detrimental effect on returns on investment (ROIs). The recent special United Nations General Assembly Session on HIV/AIDS was "a good start," he added, "but we've got a lot more to do."

-- Working with Africans on the environmental front to protect "an eco-system that is unique."

-- Exploring how the U.S. government "can help build peace processes" that will lead to ending wars that are debilitating the continent.

The NSC's Jendayi Frazer also affirmed U.S. engagement with Africa, pointing out that "over the last six months President Bush's commitment has been demonstrated with his meeting with at least five African heads of state in his first six months" in office and "with Secretary [of State] Powell's going to Africa so soon after the administration began governing."

She added that "President Bush also wants to be very strategic in our approach, and that strategy is clearly to build on the democracies, to build on the African governments that are strong economically ... and countries that have a major impact on their subregions like South Africa and Nigeria."

Asked if U.S.-funded peacekeeping training programs like the African Crisis Response Initiative (ACRI) would be continued, both Frazer and Kansteiner said that ACRI as well as another program called Operation Focus Relief are "under review." Frazer also said a Washington Post newspaper article of the same day, questioning the programs' survival, was incorrect when it referred to an NSC working paper on the subject. Instead, the study came from the Center for Strategic and International Studies (CSIS), she said.

On the subject of naming a special envoy to Sudan, Kansteiner said the administration is looking at a number of potential" candidates. "We believe that it would be effective to have a special envoy who could totally focus on that [Sudan] and nothing else," he said.

Asked about the Sudan Peace Act, which has been introduced in Congress, Kansteiner said "the [humanitarian] spirit of that legislation finds real resonance with the administration" but "the part of the bill we have a particular problem with is ... the section that ... prohibits companies [doing business in Sudan] from using our capital markets for debt and equity," which is "a capital markets liquidity issue."

Kansteiner emphasized that engines of growth in the United States such as stock exchanges and "debt markets" -- used to raise financing for investment -- "wouldn't be where they are today if we constantly had a political filter that allowed some investments in but not other investments in."

On another economic topic -- the Chad/Cameroon pipeline -- Kansteiner said he thought the World Bank's involvement in helping bring the project to fruition was "very innovative, well thought out."

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MEMORANDUM

TO: **The Bureau for Africa**

CC: **J. Edward Fox**
David Liner
Joel Starr

FROM: **Reb Brownell**

RE: **The President's National Security Strategy and how it relates to Africa and Development**

DATE: **October 4, 2002**

Last month, the White House released *The National Security Strategy of the United States of America*. While many in the Bureau for Africa may already be familiar with the document and how it relates to African development, I thought that others might not be as familiar with the document. Since it lays out the public blueprint of the nation's foreign policy it is a document of no small importance to USAID. This memorandum will begin by briefly summarizing the strategy and how it affects the Bureau for Africa. The complete document is included in the attached e-mail.

General Overview of the Strategy

The document begins by stating that the U.S. Government's (USG's) national security strategy will be premised on "a distinctly American internationalism that reflects the union of our values and national interests." The aim of this strategy is to strive for political and economic freedom, peaceful relations with other states, and respect for human dignity. In furtherance of these goals, the United States will strive to do the following: 1) encourage human dignity; 2) strengthen alliances to defeat global terrorism and work to prevent future attacks against the United States and its allies; 3) use diplomacy to defuse regional conflicts; 4) prevent enemy nations from threatening the United States and its allies with weapons of mass destruction; 5) inaugurate a new era of global economic growth through free markets and free trade; 6) expand development by opening societies and building democracy abroad; 7) construct agendas for cooperative action with other major global power centers; and 8) transform American national security institutions to address the challenges and opportunities. Item 6 (beginning on page 21) is the segment that addresses development most extensively.

National Security and Development in General

With respect to development, a premium was placed on the policy aims underscoring the new Millennium Challenge Account (MCA). Under MCA, nations that govern justly, invest in the human capital and encourage economic

freedom will be rewarded with greater development assistance. The document states: "Nations that seek international aid must govern themselves wisely, so that aid is well spent. For freedom to thrive, accountability must be expected and required." (opening statement).

The document stresses that in the past large amounts of development assistance have failed to spur economic growth in poor countries. It criticizes past assistance policies that: 1) supported failed policies and bad regimes; and 2) measured success by the amount of funds spent rather than in rates of growth or quantifiable poverty reduction. These past policies have led to a reevaluation of foreign aid and prompted the President's establishment of MCA. The new initiative will be guided by the following strategies (pp. 21-23):

1. Providing resources to aid countries that have met the challenge of national reform;
2. Improving the effectiveness of the World Bank and other development banks in raising living standards;
3. Insisting upon measurable results to ensure that development assistance is actually making a difference in the lives of the poor;
4. Increasing the amount of development assistance that is provided in the form of grants instead of loans;
5. Opening societies to commerce and investment;
6. Securing public health;
7. Emphasizing education; and
8. Continuing agricultural development.

The document also emphasized several other development-related issues. First, it stated that the United States would continue to lead the world in efforts to combat HIV/AIDS and other infectious diseases. Second, it also noted that weak states, such as Afghanistan could pose as grave a danger to the United States as strong states can. Although poverty does not transform people into terrorists, poverty, weak institutions and corruption can make weak states vulnerable to terrorist networks and drug cartels. While not explicitly referring to Africa, that statement may have ramifications for African nations such as those in the Horn.

National Security and Africa

The discussion of Africa merits full quotation:

> In Africa, promise and opportunity sit side by side with disease, war, and desperate poverty. This threatens both a core value of the United States—preserving human dignity—and our strategic priority—combating global terror. American interests and American principles, therefore, lead in the same direction: we will work with others for an African continent that lives in liberty, peace, and growing prosperity. Together with our European allies, we must

> help strengthen Africa's fragile states, help build indigenous capability to secure porous borders, and help build up the law enforcement and intelligence infrastructure to deny havens for terrorists. An ever more lethal environment exists in Africa as local civil wars spread beyond borders to create regional war zones. Forming coalitions of the willing and cooperative security arrangements are key to confronting these emerging transnational threats. Africa's great size and diversity requires a security strategy that focuses on bilateral engagement and builds coalitions of the willing. This Administration will focus on three interlocking strategies for the region:
>
> • countries with major impact on their neighborhood such as South Africa, Nigeria, Kenya, and Ethiopia are anchors for regional engagement and require focused attention;
>
> • coordination with European allies and international institutions is essential for constructive conflict mediation and successful peace operations; and
>
> • Africa's capable reforming states and sub-regional organizations must be strengthened as the primary means to address transnational threats on a sustained basis.
>
> Ultimately the path of political and economic freedom presents the surest route to progress in sub-Saharan Africa, where most wars are conflicts over material resources and political access often tragically waged on the basis of ethnic and religious difference. The transition to the African Union with its stated commitment to good governance and a common responsibility for democratic political systems offers opportunities to strengthen democracy on the continent (pp. 10-11).

The document stresses that economic engagement is a key to American foreign policy in general and its discussion of Africa follows suit. With respect to trade, the document indicates that the USG will begin to fully use the preferences outlined in the Africa Growth and Opportunity Act (AGOA). It also indicated that the USG will work to achieve free trade agreements with a number of countries, including South Africa (pp. 17-18). While on one hand the document indicates it will be more aggressively implementing AGOA, at the same time the USG plans to ensure that the WTO intellectual property rules are sufficiently flexible to permit developing nations to gain access to medicines for HIV/AIDS, tuberculosis and malaria (pp. 19).

THE NATIONAL SECURITY STRATEGY OF THE UNITED STATES OF AMERICA

SEPTEMBER 2002

THE WHITE HOUSE
WASHINGTON

The great struggles of the twentieth century between liberty and totalitarianism ended with a decisive victory for the forces of freedom—and a single sustainable model for national success: freedom, democracy, and free enterprise. In the twenty-first century, only nations that share a commitment to protecting basic human rights and guaranteeing political and economic freedom will be able to unleash the potential of their people and assure their future prosperity. People everywhere want to be able to speak freely; choose who will govern them; worship as they please; educate their children—male and female; own property; and enjoy the benefits of their labor. These values of freedom are right and true for every person, in every society—and the duty of protecting these values against their enemies is the common calling of freedom-loving people across the globe and across the ages.

Today, the United States enjoys a position of unparalleled military strength and great economic and political influence. In keeping with our heritage and principles, we do not use our strength to press for unilateral advantage. We seek instead to create a balance of power that favors human freedom: conditions in which all nations and all societies can choose for themselves the rewards and challenges of political and economic liberty. In a world that is safe, people will be able to make their own lives better. We will defend the peace by fighting terrorists and tyrants. We will preserve the peace by building good relations among the great powers. We will extend the peace by encouraging free and open societies on every continent.

Defending our Nation against its enemies is the first and fundamental commitment of the Federal Government. Today, that task has changed dramatically. Enemies in the past needed great armies and great industrial capabilities to endanger America. Now, shadowy networks of individuals can bring great chaos and suffering to our shores for less than it costs to purchase a single tank. Terrorists are organized to penetrate open societies and to turn the power of modern technologies against us.

To defeat this threat we must make use of every tool in our arsenal—military power, better homeland defenses, law enforcement, intelligence, and vigorous efforts to cut off terrorist financing. The war against terrorists of global reach is a global enterprise of uncertain duration. America will help nations that need our assistance in combating terror. And America will hold

to account nations that are compromised by terror, including those who harbor terrorists—because the allies of terror are the enemies of civilization. The United States and countries cooperating with us must not allow the terrorists to develop new home bases. Together, we will seek to deny them sanctuary at every turn.

The gravest danger our Nation faces lies at the crossroads of radicalism and technology. Our enemies have openly declared that they are seeking weapons of mass destruction, and evidence indicates that they are doing so with determination. The United States will not allow these efforts to succeed. We will build defenses against ballistic missiles and other means of delivery. We will cooperate with other nations to deny, contain, and curtail our enemies' efforts to acquire dangerous technologies. And, as a matter of common sense and self-defense, America will act against such emerging threats before they are fully formed. We cannot defend America and our friends by hoping for the best. So we must be prepared to defeat our enemies' plans, using the best intelligence and proceeding with deliberation. History will judge harshly those who saw this coming danger but failed to act. In the new world we have entered, the only path to peace and security is the path of action.

As we defend the peace, we will also take advantage of an historic opportunity to preserve the peace. Today, the international community has the best chance since the rise of the nation-state in the seventeenth century to build a world where great powers compete in peace instead of continually prepare for war. Today, the world's great powers find ourselves on the same side—united by common dangers of terrorist violence and chaos. The United States will build on these common interests to promote global security. We are also increasingly united by common values. Russia is in the midst of a hopeful transition, reaching for its democratic future and a partner in the war on terror. Chinese leaders are discovering that economic freedom is the only source of national wealth. In time, they will find that social and political freedom is the only source of national greatness. America will encourage the advancement of democracy and economic openness in both nations, because these are the best foundations for domestic stability and international order. We will strongly resist aggression from other great powers—even as we welcome their peaceful pursuit of prosperity, trade, and cultural advancement.

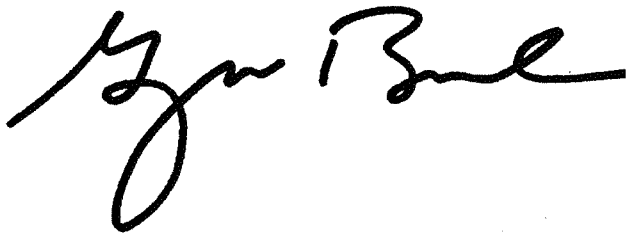
Finally, the United States will use this moment of opportunity to extend the benefits of freedom across the globe. We will actively work to bring the hope of democracy, development, free markets, and free trade to every corner of the world. The events of September 11, 2001, taught us that weak states, like Afghanistan, can pose as great a danger to our national interests as strong states. Poverty does not make poor people into terrorists and murderers. Yet poverty, weak institutions, and corruption can make weak states vulnerable to terrorist networks and drug cartels within their borders.

The United States will stand beside any nation determined to build a better future by seeking the rewards of liberty for its people. Free trade and free markets have proven their ability to lift whole societies out of poverty—so the United States will work with individual nations, entire regions, and the entire global trading community to build a world that trades in freedom and therefore grows in prosperity. The United States will deliver greater development assistance through the New Millennium Challenge Account to nations that govern justly, invest in their people, and encourage economic freedom. We will also continue to lead the world in efforts to reduce the terrible toll of HIV/AIDS and other infectious diseases.

In building a balance of power that favors freedom, the United States is guided by the conviction that all nations have important responsibilities. Nations that enjoy freedom must actively fight terror. Nations that depend on international stability must help prevent the spread of weapons of mass destruction. Nations that seek international aid must govern themselves wisely, so that aid is well spent. For freedom to thrive, accountability must be expected and required.

We are also guided by the conviction that no nation can build a safer, better world alone. Alliances and multilateral institutions can multiply the strength of freedom-loving nations. The United States is committed to lasting institutions like the United Nations, the World Trade Organization, the Organization of American States, and NATO as well as other long-standing alliances. Coalitions of the willing can augment these permanent institutions. In all cases, international obligations are to be taken seriously. They are not to be undertaken symbolically to rally support for an ideal without furthering its attainment.

Freedom is the non-negotiable demand of human dignity; the birthright of every person—in every civilization. Throughout history, freedom has been threatened by war and terror; it has been challenged by the clashing wills of powerful states and the evil designs of tyrants; and it has been tested by widespread poverty and disease. Today, humanity holds in its hands the opportunity to further freedom's triumph over all these foes. The United States welcomes our responsibility to lead in this great mission.



THE WHITE HOUSE,
September 17, 2002

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I. Overview of America's International Strategy

"Our Nation's cause has always been larger than our Nation's defense.
We fight, as we always fight, for a just peace—a peace that favors liberty.
We will defend the peace against the threats from terrorists and tyrants.
We will preserve the peace by building good relations among the great powers.
And we will extend the peace by encouraging free and open societies on every continent."

President Bush
West Point, New York
June 1, 2002

The United States possesses unprecedented—and unequaled—strength and influence in the world. Sustained by faith in the principles of liberty, and the value of a free society, this position comes with unparalleled responsibilities, obligations, and opportunity. The great strength of this nation must be used to promote a balance of power that favors freedom.

For most of the twentieth century, the world was divided by a great struggle over ideas: destructive totalitarian visions versus freedom and equality.

That great struggle is over. The militant visions of class, nation, and race which promised utopia and delivered misery have been defeated and discredited. America is now threatened less by conquering states than we are by failing ones. We are menaced less by fleets and armies than by catastrophic technologies in the hands of the embittered few. We must defeat these threats to our Nation, allies, and friends.

This is also a time of opportunity for America. We will work to translate this moment of influence into decades of peace, prosperity, and liberty. The U.S. national security strategy will be based on a distinctly American internationalism that reflects the union of our values and our national interests. The aim of this strategy is to help make the world not just safer but better. Our goals on the path to progress are clear: political and economic freedom, peaceful relations with other states, and respect for human dignity.

And this path is not America's alone. It is open to all.

To achieve these goals, the United States will:

- champion aspirations for human dignity;
- strengthen alliances to defeat global terrorism and work to prevent attacks against us and our friends;
- work with others to defuse regional conflicts;
- prevent our enemies from threatening us, our allies, and our friends, with weapons of mass destruction;
- ignite a new era of global economic growth through free markets and free trade;

- expand the circle of development by opening societies and building the infrastructure of democracy;
- develop agendas for cooperative action with other main centers of global power; and
- transform America's national security institutions to meet the challenges and opportunities of the twenty-first century.

VI. Ignite a New Era of Global Economic Growth through Free Markets and Free Trade

"When nations close their markets and opportunity is hoarded by a privileged few, no amount—no amount—of development aid is ever enough. When nations respect their people, open markets, invest in better health and education, every dollar of aid, every dollar of trade revenue and domestic capital is used more effectively."

President Bush
Monterrey, Mexico
March 22, 2002

A strong world economy enhances our national security by advancing prosperity and freedom in the rest of the world. Economic growth supported by free trade and free markets creates new jobs and higher incomes. It allows people to lift their lives out of poverty, spurs economic and legal reform, and the fight against corruption, and it reinforces the habits of liberty.

We will promote economic growth and economic freedom beyond America's shores. All governments are responsible for creating their own economic policies and responding to their own economic challenges. We will use our economic engagement with other countries to underscore the benefits of policies that generate higher productivity and sustained economic growth, including:

- pro-growth legal and regulatory policies to encourage business investment, innovation, and entrepreneurial activity;
- tax policies—particularly lower marginal tax rates—that improve incentives for work and investment;
- rule of law and intolerance of corruption so that people are confident that they will be able to enjoy the fruits of their economic endeavors;
- strong financial systems that allow capital to be put to its most efficient use;
- sound fiscal policies to support business activity;
- investments in health and education that improve the well-being and skills of the labor force and population as a whole; and
- free trade that provides new avenues for growth and fosters the diffusion of technologies and ideas that increase productivity and opportunity.

The lessons of history are clear: market economies, not command-and-control economies with the heavy hand of government, are the best way to promote prosperity and reduce poverty. Policies that further strengthen market incentives and market institutions are relevant for all economies—industrialized countries, emerging markets, and the developing world.

A return to strong economic growth in Europe and Japan is vital to U.S. national security interests. We want our allies to have strong economies for their own sake, for the sake of the global economy, and for the sake of global security. European efforts to remove structural barriers in their economies are particularly important in this regard, as are Japan's efforts to end deflation and address the problems of non-performing loans in the Japanese banking system. We will continue to use our regular consultations with Japan and our European partners—including through the Group of Seven (G-7)—to discuss policies they are adopting to promote growth in their economies and support higher global economic growth.

Improving stability in emerging markets is also key to global economic growth. International flows of investment capital are needed to expand the productive potential of these economies. These flows allow emerging markets and developing countries to make the investments that raise living standards and reduce poverty. Our long-term objective should be a world in which all countries have investment-grade credit ratings that allow them access to international capital markets and to invest in their future.

We are committed to policies that will help emerging markets achieve access to larger capital flows at lower cost. To this end, we will continue to pursue reforms aimed at reducing uncertainty in financial markets. We will work actively with other countries, the International Monetary Fund (IMF), and the private sector to implement the G-7 Action Plan negotiated earlier this year for preventing financial crises and more effectively resolving them when they occur.

The best way to deal with financial crises is to prevent them from occurring, and we have encouraged the IMF to improve its efforts doing so. We will continue to work with the IMF to streamline the policy conditions for its lending and to focus its lending strategy on achieving economic growth through sound fiscal and monetary policy, exchange rate policy, and financial sector policy.

The concept of "free trade" arose as a moral principle even before it became a pillar of economics. If you can make something that others value, you should be able to sell it to them. If others make something that you value, you should be able to buy it. This is real freedom, the freedom for a person—or a nation—to make a living. To promote free trade, the Unites States has developed a comprehensive strategy:

- *Seize the global initiative.* The new global trade negotiations we helped launch at Doha in November 2001 will have an ambitious agenda, especially in agriculture, manufacturing, and services, targeted for completion in 2005. The United States has led the way in completing the accession of China and a democratic Taiwan to the World Trade Organization. We will assist Russia's preparations to join the WTO.
- *Press regional initiatives.* The United States and other democracies in the Western Hemisphere have agreed to create the Free Trade Area of the Americas, targeted for completion in 2005. This year the United States will advocate market-access negotiations with its partners, targeted on agriculture, industrial goods, services, investment, and government procurement. We will also offer more opportunity to the poorest continent, Africa, starting with full use of the preferences allowed in the African Growth and Opportunity Act, and leading to free trade.
- *Move ahead with bilateral free trade agreements.* Building on the free trade agreement with Jordan enacted in 2001, the Administration will work this year to complete free trade agreements with Chile and Singapore. Our aim is to achieve free trade agreements with a mix of developed

and developing countries in all regions of the world. Initially, Central America, Southern Africa, Morocco, and Australia will be our principal focal points.

- *Renew the executive-congressional partnership.* Every administration's trade strategy depends on a productive partnership with Congress. After a gap of 8 years, the Administration reestablished majority support in the Congress for trade liberalization by passing Trade Promotion Authority and the other market opening measures for developing countries in the Trade Act of 2002. This Administration will work with Congress to enact new bilateral, regional, and global trade agreements that will be concluded under the recently passed Trade Promotion Authority.

- *Promote the connection between trade and development.* Trade policies can help developing countries strengthen property rights, competition, the rule of law, investment, the spread of knowledge, open societies, the efficient allocation of resources, and regional integration—all leading to growth, opportunity, and confidence in developing countries. The United States is implementing The Africa Growth and Opportunity Act to provide market-access for nearly all goods produced in the 35 countries of sub-Saharan Africa. We will make more use of this act and its equivalent for the Caribbean Basin and continue to work with multilateral and regional institutions to help poorer countries take advantage of these opportunities. Beyond market access, the most important area where trade intersects with poverty is in public health. We will ensure that the WTO intellectual property rules are flexible enough to allow developing nations to gain access to critical medicines for extraordinary dangers like HIV/AIDS, tuberculosis, and malaria.

- *Enforce trade agreements and laws against unfair practices.* Commerce depends on the rule of law; international trade depends on enforceable agreements. Our top priorities are to resolve ongoing disputes with the European Union, Canada, and Mexico and to make a global effort to address new technology, science, and health regulations that needlessly impede farm exports and improved agriculture. Laws against unfair trade practices are often abused, but the international community must be able to address genuine concerns about government subsidies and dumping. International industrial espionage which undermines fair competition must be detected and deterred.

- *Help domestic industries and workers adjust.* There is a sound statutory framework for these transitional safeguards which we have used in the agricultural sector and which we are using this year to help the American steel industry. The benefits of free trade depend upon the enforcement of fair trading practices. These safeguards help ensure that the benefits of free trade do not come at the expense of American workers. Trade adjustment assistance will help workers adapt to the change and dynamism of open markets.

- *Protect the environment and workers.* The United States must foster economic growth in ways that will provide a better life along with widening prosperity. We will incorporate labor and environmental concerns into U.S. trade negotiations, creating a healthy "network" between multilateral environmental agreements with the WTO, and use the International Labor Organization, trade preference programs, and trade talks to improve working conditions in conjunction with freer trade.

- *Enhance energy security.* We will strengthen our own energy security and the shared prosperity of the global economy by working with our allies, trading partners,

and energy producers to expand the sources and types of global energy supplied, especially in the Western Hemisphere, Africa, Central Asia, and the Caspian region. We will also continue to work with our partners to develop cleaner and more energy efficient technologies.

Economic growth should be accompanied by global efforts to stabilize greenhouse gas concentrations associated with this growth, containing them at a level that prevents dangerous human interference with the global climate. Our overall objective is to reduce America's greenhouse gas emissions relative to the size of our economy, cutting such emissions per unit of economic activity by 18 percent over the next 10 years, by the year 2012. Our strategies for attaining this goal will be to:

- remain committed to the basic U.N. Framework Convention for international cooperation;
- obtain agreements with key industries to cut emissions of some of the most potent greenhouse gases and give transferable credits to companies that can show real cuts;
- develop improved standards for measuring and registering emission reductions;
- promote renewable energy production and clean coal technology, as well as nuclear power—which produces no greenhouse gas emissions, while also improving fuel economy for U.S. cars and trucks;
- increase spending on research and new conservation technologies, to a total of $4.5 billion—the largest sum being spent on climate change by any country in the world and a $700 million increase over last year's budget; and
- assist developing countries, especially the major greenhouse gas emitters such as China and India, so that they will have the tools and resources to join this effort and be able to grow along a cleaner and better path.

VII. Expand the Circle of Development by Opening Societies and Building the Infrastructure of Democracy

"In World War II we fought to make the world safer, then worked to rebuild it. As we wage war today to keep the world safe from terror, we must also work to make the world a better place for all its citizens."

President Bush
Washington, D.C. (Inter-American Development Bank)
March 14, 2002

A world where some live in comfort and plenty, while half of the human race lives on less than $2 a day, is neither just nor stable. Including all of the world's poor in an expanding circle of development—and opportunity—is a moral imperative and one of the top priorities of U.S. international policy.

Decades of massive development assistance have failed to spur economic growth in the poorest countries. Worse, development aid has often served to prop up failed policies, relieving the pressure for reform and perpetuating misery. Results of aid are typically measured in dollars spent by donors, not in the rates of growth and poverty reduction achieved by recipients. These are the indicators of a failed strategy.

Working with other nations, the United States is confronting this failure. We forged a new consensus at the U.N. Conference on Financing for Development in Monterrey that the objectives of assistance—and the strategies to achieve those objectives—must change.

This Administration's goal is to help unleash the productive potential of individuals in all nations. Sustained growth and poverty reduction is impossible without the right national policies. Where governments have implemented real policy changes, we will provide significant new levels of assistance. The United States and other developed countries should set an ambitious and specific target: to double the size of the world's poorest economies within a decade.

The United States Government will pursue these major strategies to achieve this goal:

- *Provide resources to aid countries that have met the challenge of national reform.* We propose a 50 percent increase in the core development assistance given by the United States. While continuing our present programs, including humanitarian assistance based on need alone, these billions of new dollars will form a new Millennium Challenge Account for projects in countries whose governments rule justly, invest in

their people, and encourage economic freedom. Governments must fight corruption, respect basic human rights, embrace the rule of law, invest in health care and education, follow responsible economic policies, and enable entrepreneurship. The Millennium Challenge Account will reward countries that have demonstrated real policy change and challenge those that have not to implement reforms.

- *Improve the effectiveness of the World Bank and other development banks in raising living standards.* The United States is committed to a comprehensive reform agenda for making the World Bank and the other multilateral development banks more effective in improving the lives of the world's poor. We have reversed the downward trend in U.S. contributions and proposed an 18 percent increase in the U.S. contributions to the International Development Association (IDA)—the World Bank's fund for the poorest countries—and the African Development Fund. The key to raising living standards and reducing poverty around the world is increasing productivity growth, especially in the poorest countries. We will continue to press the multilateral development banks to focus on activities that increase economic productivity, such as improvements in education, health, rule of law, and private sector development. Every project, every loan, every grant must be judged by how much it will increase productivity growth in developing countries.

- *Insist upon measurable results to ensure that development assistance is actually making a difference in the lives of the world's poor.* When it comes to economic development, what really matters is that more children are getting a better education, more people have access to health care and clean water, or more workers can find jobs to make a better future for their families. We have a moral obligation to measure the success of our development assistance by whether it is delivering results. For this reason, we will continue to demand that our own development assistance as well as assistance from the multilateral development banks has measurable goals and concrete benchmarks for achieving those goals. Thanks to U.S. leadership, the recent IDA replenishment agreement will establish a monitoring and evaluation system that measures recipient countries' progress. For the first time, donors can link a portion of their contributions to IDA to the achievement of actual development results, and part of the U.S. contribution is linked in this way. We will strive to make sure that the World Bank and other multilateral development banks build on this progress so that a focus on results is an integral part of everything that these institutions do.

- *Increase the amount of development assistance that is provided in the form of grants instead of loans.* Greater use of results-based grants is the best way to help poor countries make productive investments, particularly in the social sectors, without saddling them with ever-larger debt burdens. As a result of U.S. leadership, the recent IDA agreement provided for significant increases in grant funding for the poorest countries for education, HIV/AIDS, health, nutrition, water, sanitation, and other human needs. Our goal is to build on that progress by increasing the use of grants at the other multilateral development banks. We will also challenge universities, nonprofits, and the private sector to match government efforts by using grants to support development projects that show results.

- *Open societies to commerce and investment.* Trade and investment are the real engines of economic growth. Even if government aid increases, most money for development

must come from trade, domestic capital, and foreign investment. An effective strategy must try to expand these flows as well. Free markets and free trade are key priorities of our national security strategy.

- *Secure public health.* The scale of the public health crisis in poor countries is enormous. In countries afflicted by epidemics and pandemics like HIV/AIDS, malaria, and tuberculosis, growth and development will be threatened until these scourges can be contained. Resources from the developed world are necessary but will be effective only with honest governance, which supports prevention programs and provides effective local infrastructure. The United States has strongly backed the new global fund for HIV/AIDS organized by U.N. Secretary General Kofi Annan and its focus on combining prevention with a broad strategy for treatment and care. The United States already contributes more than twice as much money to such efforts as the next largest donor. If the global fund demonstrates its promise, we will be ready to give even more.

- *Emphasize education.* Literacy and learning are the foundation of democracy and development. Only about 7 percent of World Bank resources are devoted to education. This proportion should grow. The United States will increase its own funding for education assistance by at least 20 percent with an emphasis on improving basic education and teacher training in Africa. The United States can also bring information technology to these societies, many of whose education systems have been devastated by HIV/AIDS.

- *Continue to aid agricultural development.* New technologies, including biotechnology, have enormous potential to improve crop yields in developing countries while using fewer pesticides and less water. Using sound science, the United States should help bring these benefits to the 800 million people, including 300 million children, who still suffer from hunger and malnutrition.

Session Overview DRAFT VERSION 10/23/02
AFR Mission Directors' Conference
November 3-6, 2002
Annapolis, MD

Session 3

- **Title:** USAID's Reorganization and Redirection

- **Time:** Monday, November 4 @ 1:15-3:30

- **Speakers:** AA/PPC, Patrick Cronin
  AA/EGAT, Emmy Simmons
  DCHA, Bill Garvelink
  GH, Duff Gillespie
  GDA, Holly Wise

- **Moderator:** Connie Newman

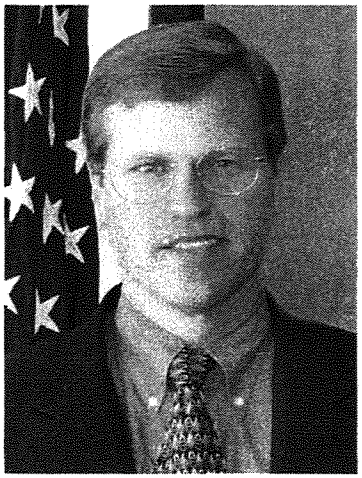
- **Objective:** To gain a more complete understanding of the mission, objectives, and priorities of each of the pillar bureaus and PPC, and how they will support the regional bureaus' and field missions' objectives and strategies.

- **Topics to be discussed/questions to be answered:**
  - The objectives, future directions, and priorities of each of the pillars (EGAT, GH, DCHA) and PPC.
  - Views on interrelationship among Africa Bureau missions, the regional bureau, PPC, the pillars and their respective initiatives.
  - How will the pillar bureaus organize to support regional bureaus and missions?
  - GDA - What works, what doesn't? How can we make GDA less time intensive?
  - What is performance based budgeting. What is its relationship to the annual report (AR), performance monitoring plans and managing for results?
  - What are the roles and responsibilities of PPC, the Bureau and the mission in these processes?
  - What do MDs want from the review of their AR and the tri-annual program review?

- **Associated Documents:**
  - Biography of Patrick Cronin, AA/PPC
  - About PPC
  - PPC Directory
  - Biography of Emmy Simmons, AA/EGAT
  - EGAT Organization Chart

- EGAT Functional Statement
- EGAT Directory
- Biography of Roger Winter
- How OTI fits into USAID
- Office of Democracy and Governance User's Guide
- Office of PVC Overview
- PVC Directory
- Biography of E. Anne Peterson
- User's Guide to USAID/Washington Population, Health and Nutrition Programs
- GDA at a Glance
- GDA Alliance Guidance for USAID Staff
- GDA Conceptual Framework
- GDA Directory

❖ **Rapporteur:** Carol Grigsby



Patrick M. Cronin

Assistant Administrator

Bureau for Policy and Program Coordination

U.S. Agency for International Development

Dr. Patrick M. Cronin was nominated by the president and confirmed by the Senate in August 2001 as assistant administrator for policy and program coordination of the U.S. Agency for International Development (USAID). For more than 40 years, USAID has been the lead U.S. government agency providing economic and humanitarian assistance to transitioning and developing countries. At USAID, Dr. Cronin is responsible for the agency's policy, budget, and international and interagency coordination.

A specialist in global U.S. foreign and security policy and Asian affairs, Dr. Cronin was most recently director of research and studies at the U.S. Institute of Peace, an independent federal agency created by Congress to develop knowledge for managing international conflict.

Before joining the Institute of Peace, he was director of research at the National Defense University's Institute for National Strategic Studies. There Dr. Cronin directed advanced research efforts in support of the secretary of defense, the chairman of the Joint Chiefs of Staff, and other senior officials of the Department of Defense. He also oversaw long-range strategic studies, as well as the institute's Asian-Pacific research program.

Dr. Cronin was the founding executive editor of then-Joint Chiefs Chairman General Colin Powell's professional journal, Joint Force Quarterly. Prior to his current appointment, he served on the editorial advisory board of the professional academic journals International Studies Perspectives and the Journal of Korean Studies. He also has served on the Governing Board of Directors of the U.S. Council on Security and Cooperation in the Asia Pacific and the Board of Advisers of the Global Beat Syndicate of the Center for War, Peace and the News Media. He is a former associate editor of the journal Strategic Review. Dr. Cronin also served as executive secretary to the U.S. chairman of the Trilateral Forum on North Pacific Security. He is a longstanding member of the Institute for International Strategic Studies, London.

Dr. Cronin has lectured and published widely. A few of his published works include Passing the Baton: Lessons of Statecraft for the New Administration (2001); Adapting to the New National Security Environment (2000); and The U.S.-Japan Alliance: Past, Present and Future (1999).

For seven years, Dr. Cronin was an adjunct professor at the Paul H. Nitze School of Advanced International Studies, Johns Hopkins University. He also was a visiting professor at the University of Virginia's Woodrow Wilson School of Government and Foreign Affairs.
Dr. Cronin received the U.S. Army's Civilian Meritorious Service Award. He was a commissioned officer in the U.S. Naval Reserve (Intelligence) from 1987 to 2000.

He has M.Phil. and D.Phil. degrees in international relations from the University of Oxford, England.

Dr. Cronin is married to Dr. Audrey Kurth Cronin; they live with their two children, Christopher and Natalie, in Washington, D.C.

About PPC

With new leadership, a revised strategic plan and increased clarification of the legislative requirements, including the Government Performance and Results Act (GPRA), PPC plays an important leadership role to help USAID remain a premier bilateral development agency. PPC's task is to ensure that USAID's policies, plans, and approaches reflect the best development knowledge and practice. The following Strategic Support Objectives outline PPC's functions:

SSO 1. USAID's policies, strategies, and approaches reflect the best development knowledge, innovations, and practice.

SSO 2. USAID's development policies, strategies, and approaches are consistently, coherently, and effectively implemented.

SSO 3. USAID's partnerships improve the Agency's ability to deliver results.

PPC serves USAID by meeting Agency-wide strategic planning and management requirements. In addition, bureau staff assist USAID senior managers directly by assessing development and foreign policy priorities, analyzing development experiences, identifying issues and developing policy and guidance, monitoring the implementation of strategic policy decisions and facilitating effective development partnering. PPC enhances USAID's development results by providing clear and coherent guidance and technical support for the Agency's front line staff. In fulfilling these duties, PPC is primarily a "wholesaler" of products and services, providing direct support to individual operating units and staff that advance Agency-wide learning and meeting specific corporate requirements.

Office of Program Coordination PPC/PC

PPC/PC is the Mission/Bureau's link to the Agency's Policy Bureau. The office is responsible for:

- assisting Bureaus in implementing Agency policy objectives and assisting PPC in developing or modifying policies that better support field programs, including both development of programmatic policies as well as operations policies that govern how we manage for results.
- serving as the principal working level contact point with the Department of State on all matters related to the International Affairs Strategic Plan at both Agency levels and at the field level through the annual State managed Mission Program Plan (MPP) process.
- working with IG to resolve audit issues that relate to GPRA requirements.
- ensuring that operations policies contained in ADS 200 are functional, complete and clearly understood by staff. Through our participation as trainers in various training programs and as members of the PPC & M Operations Governance Team, we seek to identify areas of operations policy that need clarification or improvements so that we can take appropriate action.

Products include:

Agency's **Annual Performance Plan** and **Agency's Strategic Plan**.

Services available:

PPC/PC coordinators are available to work directly with Missions/Bureaus, to assist in strategic planning and performance management efforts, and to help orchestrate other PPC assistance and resolve policy, programmatic or operations related issues, including:

- helping Missions and Bureaus ensure that country strategic plans support Administration's priorities and meets GPRA related standards for defining objectives and measuring performance. This includes the important role of managing country presence decision processes such as closing out programs and non-presence programming.
- facilitating useful two way communication between PPC and Mission/Bureaus on functional areas mentioned above.

PPC/PC Program Coordinators are:

AFR: Jon O'Rourke
E&E: Parrie Henderson-O'Keefe
G: Thomas Rishoi
LAC: Thomas Rishoi
ANE: Bob Wren
BHR: Jon O'Rourke

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Office of Development Partners

DP RESOURCES

What's New

Who's Who

USAID and Donor Partners

Donor Calendar

Early Project Notification System (EPN)

Donor Contacts in Washington

Donor Contacts - International

Donor Policy Documents

International Donors Guide

PPC / DP

The Office of Development Partners (PPC/DP) plays a key role in influencing the policies and programs of the United States' development partners in a manner that promotes the efficient use of scarce development resources and advances USAID's strategic objectives in achieving sustainable development. PPC/DP guides USG development partners to manage for results and promote cross-sectoral integration in program and policy formulation. It coordinates with international donor organizations, multilateral and bilateral donors, and civil society organizations on issues such as post-conflict transitioning, democratic and economic growth, and humanitarian assistance.

PPC/DP is led by Norm Nicholson, office director. PPC/DP's presence is extended abroad through USAID's overseas representatives: Connie Carrino (Tokyo), Nance Kyloh (Geneva), and Kurt Fuller (Brussels).

PDC RESOURCES

Conflict Prevention

Participation

Policy Development Coordination PPC/PDC

The Office is responsible for providing policy leadership, development, articulation and coordination for the Agency in each of the Goal areas in the Agency Strategic Plan. The Senior Policy Advisors are the key points of contact for policy issues for each of the Agency Goal areas and serve as liaisons with other federal agencies, Congress, and development partners. Policy leadership and guidance for essential development approaches (research, information technology, training, partnerships, and participation) and cross-cutting goals (food security) that ensure that USAID remains a premier bilateral development Agency are also within this Office's mandate. The Office serves also as the Agency's ombudsman on technical issues as they relate to policy decisions.

Additionally the Office oversees Agency compliance with legal mandates including development and revisions of the Agency Strategic Plan and development and annual revisions to the Annual Performance Plan based on balancing innovation and lessons learned from development experience. Further, PDC contributes to the Annual Performance Report, Congressional Presentation, annual Human Rights Report, and OSTP/OMB reports among others. PDC is informed by feedback from our customers in supporting Agency performance under GPRA; improving information for Agency decisions; and better integrating of Agency programs with those of our partners, domestic and International. In addition, the Office serves as a home base for staff who assist the Agency in compliance with additional legal mandates, such as 22 CFR 216, parts IV and V of the FAA, and Multilateral Development Bank environmental soundness.

One of PDC's management tools is its **Policy Agenda**. This is an evolving list of current policy issues that present Agency-wide challenges. Among the most significant of current issues are:

- review and revise as necessary the Agency Strategic Framework to address policy gaps; refine approaches and reappraise performance goals, indicators, and objectives in keeping with resources and priorities;
- revise Agency Strategic Plan and Framework to accommodate leadership and accountability in systems supporting development progress including research, training, information technology, and partnerships
- finalize a food security policy statement; indicating the close links between food security and USAID development goals, and emphasizing the range of USAID activities and approaches that contribute to food security;
- develop a policy statement on trade to more formally and firmly establish USAID's "demand-side" role (developing an "enabling" environment for trade and investment); to promote policy coherence and reflect OECD's Development Partnership Strategy;
- develop guidance on the relationship of sustainable development priorities and trade and investment agreements and untying aid to provide clear guidance to operating units on USAID's position and priorities as well as the process to establish where and how USAID addresses environment, democracy and social positions;
- review and determine what we know about what works in DG, what are the contextual factors related to program effectiveness, what are the relationships with other goal

activities, particularly the overlap with HA as well as PHN leading to a revised conceptual framework;

- develop policy/implementation guidelines in basic education to reflect recent evaluations;
- develop and disseminate best practice analytical frameworks for crisis prevention that provide operating units with "tools" and management frameworks to incorporate crisis prevention in the development of strategic plans;
- review and analyze PHN strategies in "graduation" countries to determine the applicability of different frameworks for achieving performance; (the Agency Strategic Plan currently captures only a long-term development focus);
- monitor and assess the impact of the Agency's evolving business practices on development effectiveness; define needed changes and identify how to effect these changes, and through policy, guidance, training or other forms of leadership ensure Agency's learning from practice;
- review Agency-wide activities in the context of the Universal Declaration of Human Rights and develop Agency response commemorating the 50th anniversary of the Declaration, reflecting the high priority that USAID accords human rights in its development and humanitarian assistance;
- seek to establish a policy framework governing graduation, non-presence, and limited presence programming.

The entire Policy Agenda is summarized in the Goal Summary Issues Memorandum from PPC on October 20, 1998.

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Center for Development Information and Evaluation

CDIE assists the Agency in learning from development experience, in applying lessons learned in development programs and policies, and in sharing Agency knowledge with the broader development community.

Program and Operations Assessment Division (CDIE/POA)

CDIE/POA is the central evaluation unit of the Agency. It is responsible for carrying out evaluations which extract cross-cutting lessons from field and AID/W operating unit experience, sharing that experience, determining the need for modifications to the Agency's strategic framework, and providing guidance to senior managers and operating units in strategic planning and operating approaches. CDIE/POA seeks to involve Agency technical staff and managers in the design, implementation and development of lessons learned from studies. The office widely disseminates evaluations and findings through conferences, workshops, programming guides, and close linkages with the Global and geographic bureaus. The annual evaluation agenda is developed through an interactive process which addresses issues of highest priority to the Agency, both programmatic and operational, and relate to:

- the effectiveness of Agency programs in contributing to overall Agency goals;
- the effectiveness of strategies used by operating units to achieve strategic objectives within particular sectors; unexpected, positive or negative consequences, or impacts from various programs or activities, and;
- high priority or "state of the art" issues which may be of concern to the Administrator or key Agency customers.

Evaluations are currently being undertaken in the following areas:

AID's Role in Capital Market Development
Impact of USAID's Emergency Assistance
Girls Education
Post Conflict Societies-Women's Organizations
Democracy and Governance: Cross-cutting linkages
Durable Partnerships
Urban and Industrial Pollution

Contact: Jean Durette at 202.712.5509

Performance Measurement and Evaluation Division (CDIE/PME)

CDIE/PME works to strengthen and institutionalize strategic planning, performance measurement,

and evaluation systems in the Agency through **direct-hire and contract services and resources.** The staff possess strong technical expertise in performance measurement, as well as in-depth understanding of performance measurement and results measurement issues in each Agency goal area.

Services include:

- Technical assistance - direct-hire and contract staff can assist Missions develop indicators, refine results frameworks, plan strategically, and resolve other managing for results issues.
- Managing for Results Training - staff periodically offer training to Agency staff in strategic planning, performance monitoring, and evaluation.
- Integrated Managing for Results.

Products include:

USAID Annual Performance Report (APR)

Resources in Performance Measurement(available through CDIE Online or by direct request)

TIPS, best practices, and other "how to" guidance

USAIDResults.org web site with tools and discussion forum on MFR policy and implementation

Contacts:

General matters: Dan Blumhagen

Integrated Managing for Results contract (Price Waterhouse Cooper): Dan Blumhagen

Technical Assistance and Training: Steve Gale

Development Experience Information and Outreach Division (CDIE/DIO)

The division is responsible for providing a wide range of products and services for USAID staff and development partners to obtain the information necessary to successfully plan, implement and evaluate development activities. The division:

- manages the USAID Library;
- acquires, catalogues and makes available, in both hard copy and electronic form, an archive of all USAID development experience reports;
- maintains the CDIE Online home page;
- provides qualitative reference and research services;
- provides quantitative statistical data and research regarding economic and social measures of development in hard copy and electronically;
- provides web-page development support and training on the use of the internet for information gathering.

Products:

- **CDIE Online** - provides desktop access to a broad range of PPC/CDIE information, products, and services through the Agency's corporate web.
- **CDIE_Connection**- e-mail technology for alerting USAID/W and Mission staff to new PPC/CDIE services, information resources, and upcoming workshops.
- **DEXS** - The Development Experience System; USAID's desktop institutional memory database containing nearly 100,000 USAID-funded documents, many of which are available in electronic format.
- **CD-DEXS** - A CD-ROM version of the DEXS with full-text of selected CDIE and Agency publications.
- **Development Information Services - Statistics**: Country level statistical data from international organizations across all development sectors as well as statistical measures of country development indicators of performance.
- **Data on US Trade with Developing Countries**- An annual report containing statistical data on trends in US merchandise trade with developing countries.
- **Internet Resource Guides**- A collection of annotated bookmarks with hot links to selected Internet web sites which have been determined to be relevant to USAID goal areas and staff needs.
- **Requests and Responses** - A monthly newsletter highlighting responses to recent requests for research assistance designed to disseminate information on topics of current Agency interest and to encourage USAID staff and development partners to effectively utilize CDIE researchers and analysts.

Services:

- **Development Information Services (DIS)** - Research analysts specializing in USAID's Strategic Objective areas prepare, on demand, summaries of lessons learned from USAID and other donor experience, analyses of relevant experience and literature, and/or annotated bibliographies.
- **USAID Library** - Provides general library and reference services to USAID staff, development partners, and the public to access USAID and external development information related to the Agency's strategic goals. Services include:

  access, through InterLibrary Loan services, to over 5,000 U.S. libraries;

  access to more than 10,000 commercially produced development journals, books, and data sources;

  access to nearly 100,000 USAID development experience reports;

  current awareness, business and literature search service using hundreds of commercial databases through DIALOG, Nexis/Lexis, Dun and Bradstreet, and MEDLINE;

  access to documents and reports of other donors, including Multilateral Development Banks.

- **Internet Assistance and Training**- Internet searches, preparation of Internet guidelines by sector and training in effective use of the Internet for development practitioners. The training emphasizes how to find and use Internet resources in a particular subject and how use of the Internet by the Agency and its development partners can help USAID achieve its objectives.
- **Development Experience Clearinghouse Services** - Responds to on-demand requests from USAID staff, development partners, and the public for USAID development experience reports.
- **Development Information Services - Statistics** - Provides access to economic

and social data analysts who perform a wide variety of quantitative research support and analytical services, statistical analysis and socio-economic reports, as well as provide country level data from international organizations across all sectors and basic statistical measures of country development performance.

PPC/CDIE/DIO Contacts:

Direct hire staff	Phone
Lee White	202.712.4696
Sharon Sadler	202.712.4973

Contract Services:

Development Information Services:
Nick Wedeman, Research Manager
Phone: 202.661.5846.
E-mail: nwedeman@dis.cdie.org

USAID Library
Phone: 202.712.0579.
E-mail: CDIE_INFO@usaid.gov

Search the USAID Library catalog from anywhere in the world at http://library.info.usaid.gov/uhtbin/webcat/.

Internet Services and Training
David Wolfe, Deputy Project Manager
Phone: 202.661.5857
E-mail: dwolfe@dis.cdie.org

Development Experience Clearinghouse Services
Documents can be ordered:

via phone at 703.351.4006
via fax at 703.351.4039
via e-mail at "CDIE_Document_Ordering"
via Internet at docorder@dec.cdie.org

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10/18/02

BUREAU FOR POLICY AND PROGRAM COORDINATION
TELEPHONE DIRECTORY

NAME	TITLE	PHONE NO.	ROOM NO.
OFFICE OF THE ASSISTANT ADMINISTRATOR (AA/PPC)			
Cronin, Patrick	Assistant Administrator	712-1430	6.08-113
Turner, Barbara	Sr. Deputy Assistant Administrator	712-5820	6.08-110
Simon, John	Deputy Assistant Administrator	712-5820	6.08-119
Breslar, Jon	Deputy Assistant Administrator	712-5820	6.08-072
Clad, James	Senior Counsel for Policy & DC	712-4658	6.08-023
Eberly, Donald	Senior Counselor for Civil Society	712-0365	6.09-071
Rozell, Cynthia	MCA Advisor	712-1179	6.08-073
Grayzel, John A.	Senior Advisor	712-0732	6.09-080
Sheldon, Douglas	Foreign Affairs Officer	712-5387	6.09-051
Melvin Porter	Administrative Officer	712-5141	6.08-093
Hoffman, Jennifer	Acting Special Assistant	712-0085	6.08-112
Moore-Jones, Carstella	Administrative Officer	712-5372	6.08-104
Mason, Lynn	Administrative Officer	712-1286	6.08-095
Harris, Pamela	Secretary	712-1430	6.08-115
Fields, Vera	Secretary (OA)	712-5820	6.08-118
Bowe, Avon	Secretary	712-5820	6.08-086
	FAX	216-3426	6.08-110 C
OFFICE OF POLICY ANALYSIS & DEVELOPMENT (PPC/P)			
Butler, Letitia	Director	712-1706	6.07-003
Hullander, Edwin	Economist	712-0809	6.07-086
Howell, Lee	Special Advisor	712-4598	6.07-005
Siegel, Robert A.	International Economist	712-1226	6.07-006
Hester, James S.	Agency Environmental Coordinator	712-5176	6.07-064
Renison, William H.	Program Manager	712-0986	6.07-082
Sillers, Donald A.	Economist	712-5151	6.07-065
Becker, John	RSSA	712-4197	6.07-063

OFFICE OF POLICY ANALYSIS & DEVELOPMENT (PPC/P) (cont'd)

Tsagronis, S. John	Senior Policy Advisor	712-4511	6.08-082
Johnson, Thomas	Democracy Officer	712-5008	6.07-051
Cornelius, Richard	Health Pop/Dev Officer	712-4615	6.07-076
Crosswell, Michael J.	Deputy Director	712-0923	6.07-054
Atherton, Joan	Social Science Analyst	712-4955	6.07-053
McLean,Matthew	Sr. For. Policy/Sec. Prog. Anal.	712-5822	6.08-081
Duggan, Joseph	Senior Policy Advisor	712-5985	6.07-081
Bassett, Jeannie	Secretary (OA)	712-1437	6.07-050
Austin, Mark	Contractor	712-1001	6.07-085
Berger, Rene	Policy Analyst	712-0485	6.07-075
Phillips, Ann	AAAs Fellow	712-4459	6.07-052
Ralte, Anne	RSSA	712-4454	6.07-072
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OFFICE OF STRATEGIC AND PERFORMANCE PLANNING (PPC/SPP)

Eckerson, David	Director	712-0984	6.07-014

Strategic Planning & Performance Analysis Division (SPP/SPA)

Rishoi, Thomas L.	Acting Division Chief	712-5398	6.07-008
Blumhagen, Dan	Program Analyst	712-5816	6.07-017
Henderson-O'Keefe, Parrie	Program Analyst	712-5672	6.07-016
Cavitt, Roberta	Program Officer	712-0581	6.07-010
Weinberg, Chad	Program Analyst	712-0511	6.07-015

Strategy & Resource Coordination Division (SPP/SRC)

Lombardo, Joe	Acting Division Chief	712-1686	6.07-105
Leddy, Ellen	Program Officer	712-2448	6.07-103
Huggins-Williams, Nedra	Program Officer	712-0672	6.07-012
Jordan, Pat	Program Officer	712-0125	6.07-104
Boyer, Robbin	Program Analyst	712-4489	6.07-021
Apter, Felice	Public Health Specialist	712-5783	6.07-102
Gray, Harold	Program Analyst	712-4492	6.07-020

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McCormick, William	Policy Advisor (DAC Statistics)	712-0341	6.07-032
Brown, Melissa	Program Analyst	712-1107	6.07-031
Olsson, Jonathan	Program Analyst (World Bank)	548-0114	USED Ofc.
Borghese, Ken	International Economist	712-1215	6.07-043
Swift, Sarah	Program Analyst	712-4777	6.07-030
Johnson, Jacqueline D.	Secretary (OA)	712-1625	6.08-100
Frantz, Brian	Program Analyst	712-5219	6.07-042
Penh, Borany	Sr. Information Analyst (Contr.)	661-5854	661-5891 fax
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Roach, Florence	Secretary (OA)	712-4472	6.09-060

Evaluation Studies & Performance Assessment Division (PPC/DEI/ESPA)

Navin, Robert	Chief	712-0094	6.09-048
Lieberson, Joseph	Social Science Analyst	712-4704	6.09-073
Sleeper, Jonathan	Program Officer	712-0564	6.09-072
McClelland, Donald G.	Program Analyst	712-1036	6.09-055
Kumar, Krishna	Program Analyst	712-5072	6.09-075
Pines-Benoliel, Sharon	Social Science Analyst	712-0201	6.09-064

Development Information and Support Division (PPC/DEI/DIS)

Gale, Steven K.	Acting Chief	712-5814	6.09-047
White, K. Lee	Technical Information Specialist	712-4696	6.09-063
Sadler, Sharon D.	Program Analyst	712-4973	6.09-074
Greene, Bradford	Program Analyst	712-4493	6.09-066
Lippman, Harold B.	Program Analyst	712-1339	6.09-065
Baker, Robert C.	RSSA	712-4421	6.09-056
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Levenson, Amanda	Deputy Director	712-4468	6.07-153
Simpson, Karen	Detailed to STATE/RM/FA	647-2942	7828, NS 7-1681 fax
McNeal-Thomas, Jackie	Secretary	712-4478	6.07-155

Program Budget Integration Division (PPC/RA/PBI)

Theil, Peter	Division Chief	712-4484	6.07-151
Richter, John	Budget Analyst	712-4505	6.07-130
Nichols, Sharon	Program Analyst	712-4533	6.07-133
Reeves, Charline	Program Analyst	712-4504	6.07-157
Blackman, Sheila	Budget Analyst	712-5175	6.07-131

Support Budget Integration Division (PPC/RA/SBI)

White, Eileen	Division Chief	712-0924	6.07-150
Kramer, Jeffrey	Budget Analyst	712-0964	6.07-122
Johnson, Sonya	Budget Analyst	712-5732	6.07-123
Hoebel, Michael	Budget Analyst	712-4772	6.07-121
Malinowski, Stephen	Budget Analyst	712-4482	6.07-096
McQueen, Loretta	Budget Analyst	712-4487	6.07-132
White, Eileen	Division Chief	712-0924	6.07-150
	FAX	216-3454	6.09

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Emmy B. Simmons

Assistant Administrator

Bureau for Economic Growth, Agriculture and Trade

U.S. Agency for International Development

Emmy B. Simmons was sworn in on April 2, 2002, as assistant administrator for economic growth, agriculture and trade of the U.S. Agency for International Development (USAID). For more than 40 years, USAID has been the lead U.S. government agency providing economic and humanitarian assistance to transitioning and developing countries.

A member of the Senior Foreign Service, Simmons has more than 30 years experience in international agriculture and economic development. Since 1997 she has served as USAID deputy assistant administrator in the former Bureau for Global Programs, Research and Field Support, where she headed the Center for Economic Growth and Agricultural Development.

From 1994 to 1997, Simmons was senior program officer for USAID's mission in Moscow where she oversaw an aid portfolio of more than $1 billion. From 1991 to 1994, she served in USAID's regional office for east and southern Africa as supervisory program economist. Simmons also has served as supervisory agricultural officer for Mali and as regional agricultural advisor for West Africa, in addition to holding a number of supervisory positions in the Africa Bureau in USAID's Washington headquarters.

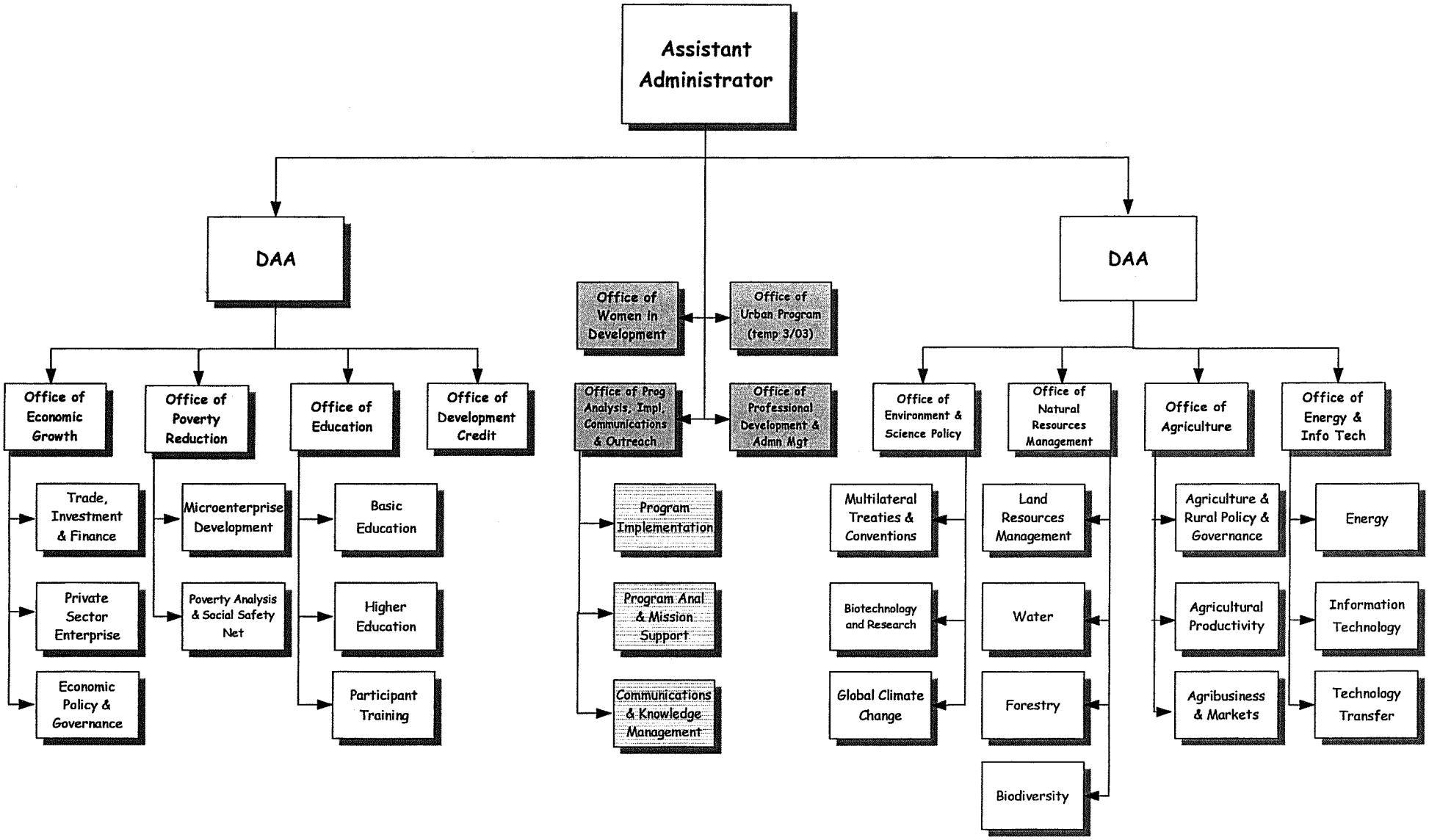
Simmons began her career as a Peace Corps volunteer in the Philippines in the 1960s. She later held a number of agricultural research and nutrition positions in Nigeria and Liberia until 1978, when she joined USAID as an agricultural economist.

She is a graduate of the University of Wisconsin-Milwaukee and has a master's degree in agricultural economics from Cornell University, where she won the prestigious American Association of Agricultural Economics award for best master's thesis.

Simmons is fluent in French and conversant in Russian, the African language of Hausa and the Filipino language of Ilocano.

Born in Suring, Wis., Simmons resides in the District of Columbia with her husband, Roger, a recently retired 20-year veteran of USAID.

Bureau for Economic Growth, Agriculture & Trade



Boxes below the "Office" level represent IR-type teams, with the exception of PAICO.
PAICO teams are not IR-type.

Bureau for Economic Growth, Agriculture, and Trade (EGAT) Functional Statement

Office of the Assistant Administrator

The Office of the Assistant Administrator (AA/EGAT) provides oversight and liaison for: external affairs; legislative relations; overall leadership for Agency programs in the areas of economic growth, poverty reduction, education, economic infrastructure (energy and information technology), agriculture, environment and science policy, natural resources management, women in development, the use of credit in development programming, and urban programs; regional bureau coordination and field support; and the recruitment and assignment of technical personnel in the backstops (10, 11, 21, 40, 60) most related to the mandate of the Bureau.

The Office of the AA/EGAT provides a central Agency focus for the design, implementation, review, coordination and evaluation of worldwide activities in the areas of economic growth, poverty reduction, education, economic infrastructure, agriculture, environment, and women in development and for supporting nationally- or regionally-implemented activities in these same areas.

The Office of the AA ensures the quality and capacity of the Agency's technical workforce by: overseeing the recruitment, selection, and training processes for New Entry Professionals (NEPs) in relevant backstops; designing, implementing, and coordinating technical training opportunities for all USAID staff working in the areas of economic growth, poverty reduction, education, economic infrastructure, agriculture, environment, women in development; and liaising with regional bureaus and mission directors to address staffs' continuous learning needs as appropriate.

The Assistant Administrator (AA/EGAT) serves as principal advisor to the Agency and the Administrator on broad technical and operational matters relating to the mandate of the Bureau. He/she directs and supervises the Bureau, approving projects and programs and allocating resources among offices. The AA/EGAT supervises two Deputy Assistant Administrators (DAAs) and four Office Directors (for Women in Development; Urban Programs; Program Administration, Information, and Communications; and Professional Development and Administrative Services).

The Deputy Assistant Administrator (DAA) for Economic Growth, Poverty Reduction, and Education serves as the Bureau's Senior DAA and assists in the tasks of directing and supervising the Bureau, approving projects and programs, and allocating resources, specifically with regard to three major technical offices: the Office of Economic Growth, the Office of Poverty Reduction, and the Office of Education. In addition, the Senior DAA directly supervises the Office of Development Credit, and provides critical liaison to the National Security Council/National Economic Council at the White House.

The Deputy Assistant Administrator (DAA) for Economic Infrastructure, Agriculture, and the Environment also assists the AA/EGAT in the tasks of directing and supervising the Bureau and approving projects and programs and allocating resources among offices, specifically with regard to three major technical offices: the Office of Energy and Information Technology; the Office of Agriculture; and the Office of Environment. In addition, the DAA provides critical liaison to the Council on Environmental Quality (CEQ) at the White House.

The Office of Women in Development (EGAT/WID)

The Office of Women in Development guides USAID in the integration of gender concerns into its development programs, identifying constraints to the achievement of development objectives and suggesting ways to further USAID's goals through broader participation of women in the development process. The Office is USAID's central point of technical leadership and expertise on gender issues in social, economic, and political development policies and programs.

The Office serves both as an advocacy and demand-driven service office, providing technical leadership, advice, and support in program and policy matters pertaining to women in development and gender issues. This dual role requires the Office members to identify and provide leadership in addressing emerging and cross-sectoral development issues in which there are critical gender dimensions while, at the same time, providing support for the integration of gender issues in established development sectors.

The Office manages, designs, and implements projects that address global and interregional issues or problems pertaining to education, training and the role of women in development that may not yet be reflected or mainstreamed into regional or country strategies. The WID Office either provides or arranges for the provision of technical assistance to USAID Missions and other operating units and initiates or funds new or cutting-edge activities in the context of existing or new field programs.

EGAT/WID assumes major responsibility for technical coordination with bilateral and multilateral donor and lending agencies on gender matters. It provides leadership and technical expertise to the international community in identifying and addressing cutting edge gender and development issues.

The Office formulates USAID's research agenda regarding gender issues in development, regularly providing updated content for training courses held by the Bureau. The Office advises the Office of Professional Development and Administrative Services on professional development, technical upgrading, recruitment and placement of technical gender advisors and, where appropriate, provides training on gender analysis and integration of gender concerns into particular development areas.

The Director of the Office of Women in Development reports directly to the Assistant Administrator, EGAT.

The Office of Urban Programs (EGAT/UP)

The Office of Urban Programs provides technical, analytical, and project assistance support for programs that promote improvements in the way that cities foster economic growth, provide safe and adequate housing and other infrastructure for their citizens, and assure sound governance. The Office manages contracts and grants that enable the Office to implement its research agenda as well as provide regional bureaus and missions access to a range of partners with relevant expertise in the areas of: shelter; urban and municipal financial management; urban pollution prevention; and urban infrastructure and services. The Office formulates the Agency's urban development research agenda and provides updated content for training courses.

The Office provides leadership on emerging issues of urbanization and advises Agency leadership on the importance of these issues for the success of the Agency's programs.

EGAT/UP has responsibility for technical coordination with bilateral and multilateral donor and lending agencies on urban development matters. The Office is responsible for engaging in partnerships and alliances that further USAID's urban development agenda.

The Director of the Office of Urban Programs reports directly to the Assistant Administrator, EGAT. It is proposed that, during FY 02-03, a thorough review of the Agency's involvement in and support for urban development efforts worldwide will be undertaken and will inform the Bureau with regard to any modifications that might be made in either mandate or organization of the Office.

The Office of Development Credit (EGAT/DC)

The Office of Development Credit is responsible for the introduction and use of the Development Credit Authority (DCA) as an effective and prudent financing vehicle to accomplish a wide range of development goals and objectives. The Office of Development Credit conducts necessary credit risk analysis needed to calculate the level of subsidy required for each credit-funded activity and to ensure prudent risk management of the overall Agency DCA Portfolio. The Office is responsible for quality control on the underlying financing and economic analyses conducted by the Agency operating units (generally missions) regarding the use of DCA.

EGAT/DC provides technical assistance in the conduct and scope of these analyses as requested. The Office provides the necessary training and support to USAID staff as well as to potential implementing partners on the development, management and use of credit as a source of project funding.

Supported by an attorney assigned to the Office of the General Counsel, a budget analyst in PPC/Budget, and the credit team in the Management Bureau's Office of Financial Management, the Office of Development Credit assures close coordination with the

Office of Management and Budget to ensure that USG credit guidelines are respected. Although missions initiating projects supported with the Development Credit Authority assume responsibility for oversight and monitoring, the Office will have the final responsibility for oversight and monitoring of the program and will work with and through missions to assure effectiveness in this area.

The Director of the Office of Development Credit reports to the Deputy Assistant Administrator for Economic Growth, Poverty Reduction, and Education.

The Office of Program Analysis, Implementation, Communication, and Outreach (EGAT/PAICO)

The Office of Program Analysis, Implementation, Communication, and Outreach (EGAT/PAICO) is responsible for: supervising and supporting the development of sectoral strategies and action plans in all the technical areas included in the EGAT mandate; developing annual budget requests, performance plans, and performance reports as needed; developing and implementing procurement plans that assure timely completion of contracts and grants and facilitate worldwide use of EGAT-managed contract/grant vehicles; monitoring and evaluation of programs; financial management oversight, audit and FMFIA reporting; providing support for Agency information and communication services in technical areas included in EGAT's mandate; designing and managing EGAT's own information/communications strategy; responding to routine information requests from Congress, other USG agencies, other parts of USAID, and the public; assuring that regional bureau and mission needs for EGAT support are met with high levels of satisfaction; and reaching out to constituent communities in the United States both with written communications and in person.

The Director of PAICO reports directly to the Assistant Administrator, EGAT and supervises three permanent core teams, each of which is headed by a Supervisory Team Leader.

The **Program Analysis and Mission Support Team (EGAT/PAICO/PAMS)** provides oversight on development of Bureau, Office and sector strategies (assuring that the Communication Team participates in writing/editing/publication process); prepares consolidated budgets (OE and Program) for future-year planning for Bureau operations; prepares final drafts of all budget documents for EGAT; liaises with PPC to integrate/coordinate EGAT budgets with those of other Bureaus/Missions in the sectoral areas that are the purview of EGAT (Review OYBs when set to assure/understand EGAT priorities). The Team coordinates with the Communications Team to prepare responses to congressional questions. The Team is responsible for assuring that regional bureaus and missions are fully informed of EGAT actions and plans as well as for bringing the needs of the regional bureaus and missions to the attention of EGAT managers. The Team routinely reviews obligation/expenditure/pipeline information for the Bureau, using an appropriate coding system, and provides oversight on Center-managed databases that track use of Bureau instruments and results. The Team drafts Annual Performance Reports in collaboration with the other Offices and Teams in the Bureau and provides

support to the Program Implementation Team for the annual portfolio review process. The Program Analysis and Mission Support Team liaises with OP to assure timely, efficient planning for efficient and effective contracting and grantmaking; a representative of OP will be co-located in close proximity with the Team Leader. The Team is also responsible for preparation of program-related budget documents for EGAT as a whole.

The PAICO/PAMS Team may host new hires from Backstops 02/94 as appropriate to assure understanding of program issues in EGAT's areas of responsibility.

The **Program Implementation Team (EGAT/PAICO/PI)** assures that OYB allocations are made in ways consistent with budget and adjusted as needed throughout the year to assure maximum opportunity for achieving objectives; rolls down funds through Phoenix as needed for timely implementation of the program budget, staff travel, and training; oversees the development of procurement plans for both program and OE acquisitions; assure timely completion of obligating documents (activity descriptions) with appropriate delegations, approvals; liaises with FM to assure efficient program and budget implementation; liaises with OP to assure timely, efficient contracting and grantmaking; consolidates obligation/expenditure/pipeline information for Bureau programs, using appropriate coding system and supports the Program Analysis Team efforts to use this information to improve management and reporting; provides oversight on Center-managed databases that track use of Bureau instruments, especially with regard to MSIs and SDBs; prepares annual analysis of field support process; and coordinate the annual portfolio review process for the Bureau.

EGAT/PAICO/PI also provides oversight on implementation of OE budgets and takes responsibility for an end-of-year OE account at zero. PI assures that CTOs are competent and that their training needs have been identified and met as appropriate.

The **Communications and Knowledge Management Team (EGAT/PAICO/CKM)** provides Bureauwide services for communications and knowledge management. A common Intranet site will be managed by the Office to provide continuously updated information on the state-of-play with regard to all services and schedules. PAICO/CKM is responsible for: developing communications strategy for EGAT for both administrative and program functions; managing taskers from other parts of the Agency and USG; managing flow of written communication to and from A/AID through ES; managing flow of written communication from all sources; scheduling of A/AID and AA/EGAT; preparation of speeches and presentations; preparation and editing of required reports; oversight of publications in general; liaison with LPA on Congressional and public communications; management of Bureau website, including calendaring function; maintaining files with all incoming/outgoing materials; and providing or arranging training courses as needed to improve quality of staff communications.

The CKM Team designs and develops IT-based systems to complement face-to-face communications so that real-time communications Bureauwide, Agencywide, and worldwide create an effective EGAT community within the Agency. Different themes

may be chosen to focus these communications to ensure that thematic groups or communities of practice are fostered in a coherent and useful way (e.g., youth in development, the multisectoral aspects of the HIV/AIDS pandemic). The Team may expand these systems via extranet or internet mechanisms to include partners; coordinate the Bureaus' development of training plans, publication plans, and conference/workshop sponsorship and participation plans to assure continuous development and sharing of EGAT knowledge base within and outside the Agency; provides oversight on Bureau monitoring and evaluation plans; and design/manage knowledge archiving operations for Bureau (in liaison with CDIE and others). Overall, the Team is responsible for developing and operating knowledge-sharing techniques and approaches to enhance USAID staff and contractor effectiveness in implementing EGAT vision and programs.

The Office of Professional Development and Administrative Management (EGAT/PDAM)

The Office is responsible for the professional development of all USAID staff working in the areas covered by the EGAT mandate, whether in USAID/W or in missions. In large measure, the focus will be on preparing the New Entry Professionals (NEPs), International Development Interns (IDIs), and other new hires to function well in technical positions, but EGAT/PDAM will also be responsible for the placement, mentoring, and support of these new employees as they begin their careers. This requires close working relationships with the Agency's Office of Human Resource Development as well as with regional bureau and mission personnel throughout the world. EGAT/PDAM also provides oversight on the overall FS assignment process for Bureau as well as on FS assignments in missions in Backstops relevant to EGAT. The Office supports the SMG assignment process and coordinates the GS to FS conversion process as needed.

The Office is also responsible for: preparing a consolidated staffing plan for EGAT and coordinating ceiling levels with PPC and regional bureaus as appropriate; assuring that Offices have capacity to implement (providing training as needed); maintaining central files for both current and historical tracking of personnel actions; maintaining the database of approved positions; coordinating with IRM and others regarding appropriate directory modifications; and updating internal telephone and services and directories on website and in hard copy on regular basis. The Office develops personnel policies and regulations for the Bureau, advises managers on job specification process, as well as on all aspects of organizational management (structure, size of units, etc.).

EGAT/PDAM updates and maintains functional statements for the Bureau and all organizational units within the Bureau. The Office supervises the grievance, complaints, and disciplinary processes; provides or arranges for employee counseling as needed; provides guidance and oversight on leave management, donations, and regulations applying to special cases; oversees implementation of family-friendly policies (AWS, telecommuting); coordinates AETA program for Bureau; supervises the AEF process; coordinates and certifies receipt of confidential statements and disclosure forms (SF-278s and SF-450s); liaises with M/HR and SEC to assure timely implementation of personnel

actions (Liaison with other USG Depts. and contractors as necessary); coordinates the preparation of training plans and provide oversight on their implementation; provides oversight on NEP program training and assignments; manages the Bureau awards programs; supervises the Bureau implementation of security regulations and procedures; and liaise with AS and SEC as appropriate. Working with appropriate units in the Management Bureau, the Office supervises the planning for and provision/replacement (as necessary) of IT and communications equipment, furniture, and work spaces; maintains inventories; and coordinates allocation of parking permits (handicapped, executive, carpool) and the Metrochek program.

The Director of the Office of Professional Development and Administrative Management reports directly to the Assistant Administrator, EGAT.

The Office of Economic Growth (EGAT/EG)

The function of this Office is to provide Agencywide technical leadership, research, and field support on the issues of national economic growth, including, but not limited to: economic policy and governance; trade, investment, and finance; and private sector enterprise development.

The Office assists in the development, implementation, and evaluation of Agency policies, strategies, and resource allocation priorities and monitors and advises Agency leadership regarding technical developments that could have an impact on Agency performance.

The Office provides the relevant technical content and teaching staff for training programs designed and implemented by the Bureau. The Office oversees the recruitment, selection, and training processes for Agency new hires (e.g., New Entry Professionals or NEPs) in Backstops 11 and 21.

EGAT/EG manages contract/grant mechanisms that enable Missions and regional Bureaus to access a wide range of technical expertise capable of implementing both short- and long-term programs and activities that they initiate. The Office develops tracking systems and impact indicators that permit analysis of the results of the activities using the mechanisms and contribute to decisions to maintain, redesign, or terminate the mechanisms. The Office uses these mechanisms to carry out its own worldwide projects and activities as well.

The Office conducts research on issues related to the scope of the portfolio and manages specific research capacity-building activities involving networks of researchers and policy analysts in developing and transition countries. The Office coordinates its research and implementation agendas and other activities with other donors, international organizations, and other agencies of the U.S. Government.

The Office of Economic Growth works closely with the Office of Poverty Reduction to assure that questions with regard to the structure of growth processes, issues of equity,

and the joint responsibility for monitoring Agency contributions to the Millennium Development Goals of reducing poverty and hunger are addressed.

The Director of the Office of Economic Growth reports to the Deputy Assistant Administrator for Economic Growth, Poverty Reduction, and Education. He/she directly supervises three Supervisory Team Leaders, each responsible for oversight and management of a permanent core team:

The **Trade, Investment, and Finance Team (EGAT/EG/TIF)** manages both IQC contract and cooperative agreement (grant) mechanisms for global field support, provides technical expertise and guidance to the field and USAID/W bureaus on the wide range of issues involved in enabling geographic sub-regions regions and developing/transition countries to become competitive in global markets: policy, institutional capability to facilitate trade, customs, management of international financial flows, ability to establish, monitor, and comply with global trades and standards, etc. Among the specific projects for which the team is responsible for providing oversight and support is the Agency's Trade Capacity Building Initiative. This Initiative involves assuring coordination with the other USG agencies, other bilateral donors, and the international organizations that support the Integrated Framework. Funding for global and pilot efforts to build trade capacity, especially in the least developed countries, are managed by the Team. Such efforts will deal with other sectors; it is assumed that the Team will draw "extended members" from other Offices of the Bureau and other organizational units within the Agency. The Team is responsible for Agency reporting on the implementation of the Doha Development Agenda's commitment to provide trade capacity building support to countries committed to working within the international WTO-governed trading systems rules.

The **Economic Policy and Governance Team (EGAT/EG/EPG)** manages both IQC contract and cooperative agreement (grant) mechanisms for global field support and provides technical expertise and guidance to the field and USAID/W bureaus. With EGAT Bureau funding, the Team develops research projects and assessment tools that enable the Agency to better support efforts to improve governance, fiscal soundness and the equitable distribution of capital (through privatization as well as policy reform).

The **Private Sector Enterprise Team (EGAT/EG/PSE)** manages both IQC contract and cooperative agreement (grant) mechanisms for global field support and provides technical expertise and guidance to the field and USAID/W bureaus. With EGAT Bureau funding, the Team develops research projects, assessment tools, and other approaches that enable the Agency to promote the growth of innovative, productive, and profitable firms that are competitive in local, national, regional or global markets. To accomplish this objective, the Team also supports the development of business groups and associations to enable them to provide member services as well as to advocate on behalf of members of the elements of sound business policy.

The Office of Poverty Reduction (EGAT/PR)

The Office of Poverty Reduction is tasked with the challenge of assuring that the Agency's programs adequately address the needs, capabilities, and vulnerabilities of the poor and contribute to the achievement of the Millennium Development Goal of reducing poverty by half by 2015. The Office assists in the development, implementation, and evaluation of Agency policies, strategies, and resource allocation priorities regarding poverty reduction and monitors and advises Agency leadership regarding technical developments that could have an impact on Agency performance in reducing the number of poor worldwide.

EGAT/PR conducts analysis and operational research that assesses the relative efficacy of approaches that reach the poor either indirectly (e.g., by developing economic growth policies and strategies in ways that are pro-poor) or directly (that is, through interventions targetted to meet the immediate needs of the poor; programs and approaches that reduce the vulnerability of the poor to external shocks and risks; and/or programs that strengthen the capacity of the poor to accumulate assets.) The Office manages specific research capacity-building activities involving networks of researchers and policy analysts in developing and transition countries with regard to poverty.

EGAT/PR coordinates its research and implementation agendas and other activities with other donors, international organizations, and other agencies of the U.S. Government.

The Office manages contract/grant mechanisms that enable Missions and regional Bureaus to access a wide range of technical expertise capable of implementing both short- and long-term programs and activities that they initiate. The Office develops tracking systems and impact indicators that permit analysis of the results of the activities using the mechanisms and contribute to decisions to maintain, redesign, or terminate the mechanisms. The Office uses these mechanisms to carry out its own worldwide projects and activities as well.

The Office works closely with the Office of Economic Growth to assure that there is coordination between the two programs, especially regarding questions on the structure of growth processes, issues of equity, and the joint responsibility for monitoring Agency contributions to the Millennium Development Goals of reducing poverty and hunger. In addition, the Office of Poverty Reduction collaborates with the Office of Economic Growth in assuring that appropriate information on poverty-related issues is incorporated into Agency and Bureau training programs.

The Director of the Office of Poverty Reduction reports to the Deputy Assistant Administrator for Economic Growth, Poverty Reduction, and Education. He/she directly supervises two Supervisory Team Leaders, each responsible for oversight and management of a permanent core team:

The **Microenterprise Development Team (EGAT/PR/MD)** is responsible for leadership and field support regarding the Agency's implementation of the Microenterprise Initiative. The Team manages programs designed to: foster innovation in the microenterprise and microfinance fields; encourage the growth of a technically-

competent practitioner community; supply short-term technical assistance to missions on the development of microfinance and microenterprise programs; and assess and monitor experiences to determine best practices in microfinance, business development services for microentrepreneurs, and meeting poor clients' needs.

The **Poverty Analysis and Social Safety Net Team (EGAT/PR/PASS)** provides analytical and technical leadership as well as program assistance for regional and country-based efforts aimed at reducing the risks and vulnerabilities of poor populations and other disadvantaged groups to income shortfalls, short-term food deficits, and/or the loss of personal or collective assets. Special efforts will be directed to enabling informal sector participants to compete successfully in the formal economy through, inter alia, the development and implementation of specific legal and regulatory reforms. The Team is responsible for coordinating closely with the Bureau for Democracy, Conflict, and Humanitarian Assistance (DCHA) on Agency approaches and activities that respond to emergencies in which poor people are especially affected.

The Office of Agriculture (EGAT/AG)

The Office of Agriculture is tasked with the challenge of assuring that the Agency's programs adequately address the challenge of growing food production, rising agricultural productivity, and sound management of the natural resource base necessary for agriculture. "Agriculture" includes all activities relating to farming, fishing/aquaculture, livestock production, and forestry as well as the marketing and processing activities that are required before the products reach the consumer.

EGAT/AG assists in the development, implementation, and evaluation of Agency policies, strategies, and resource allocation priorities regarding food and agriculture and monitors and advises Agency leadership regarding technical developments that could have an impact on Agency performance in contributing to the Millennium Development Goals of reducing hunger and poverty.

The Office is responsible for the staffing of the Board for International Food and Agricultural Development (BIFAD) and the preparation of the annual Title XII Report to Congress.

The Office manages contract/grant mechanisms that enable Missions and regional Bureaus to access a wide range of technical expertise capable of implementing both short- and long-term programs and activities that they initiate. The Office develops tracking systems and impact indicators that permit analysis of the results of the activities using the mechanisms and contribute to decisions to maintain, redesign, or terminate the mechanisms.

The Office works closely with the Office of Environment and Science Policy and the Office of Natural Resources Management to assure that there is coordination between the three programs, especially regarding the management of the natural resource base, the

role of agriculture in responding to and mitigating the impact of climate change, and shared interests of science and technology.

The Office of Agriculture is responsible for the training of new hires in Backstop 10, and for coordinating this training with all other EGAT Offices and backstops. In addition, EGAT/AG is responsible for the design and implementation of continuous learning programs for USAID staff involved in agricultural development programs.

The Director of the Office of Agriculture reports to the Deputy Assistant Administrator for Economic Infrastructure, Agriculture, and Environment. He/she directly supervises three Supervisory Team Leaders, each responsible for oversight and management of a permanent core team:

The **Agriculture and Rural Policy/Governance Team (EGAT/AG/ARPG)** provides analytical, technical, and project assistance for programs that serve to support the development of agricultural and environmental policies, regulations, and institutions that foster good governance, promote the adoption of technologies that improve productivity in the agricultural sector, and result in environmentally sustainable rural growth. The Team will coordinate its work with other Offices in the Bureau to assure that issues of food security, poverty reduction, and economic policy incorporate the agricultural and rural perspectives. The Team will manage a portfolio of contract and grant instruments available for worldwide use as well as research projects (funding for IFPRI and ISNAR as well as the BASIS CRSP). The Team will include the members of the Tropical Forest Conservation Act (TFCA) programs.

The **Agricultural Technology Generation and Outreach Team (EGAT/AG/ATGO)** provides analytical, technical, and project assistance focussed on the improvement of yields in crop and livestock systems for purposes of reducing production costs, increasing profits, improving nutritional quality or other consumer benefits, reducing variability in output due to weather effects and pest attacks, etc. The Team will collaborate closely with the Biotech Team regarding the use of biotechnology in plant and animal research and development efforts. The Supervisory Team Leader of the Agricultural Productivity Team will provide overall coordination of the Collaborative Research Support Program (CRSP), convening members of other Offices and Teams to participate in CRSP Council meetings as necessary.

The Office of Natural Resources Management (EGAT/NRM)

The Office of Natural Resources Management (EGAT/NRM) is tasked with the oversight and management of Agency programs that affect the sustainable use of natural resources: forests, biodiversity, and water.

EGAT/NRM assists in the development, implementation, and evaluation of Agency policies, strategies, and resource allocation priorities regarding, biodiversity, water, forestry, and sustainable agriculture/natural resource management. The Office monitors

and advises Agency leadership regarding technical developments that could have an impact on Agency performance in these areas.

The Office provides analytical, technical, and project assistance support for programs in macroenvironmental policy and program analysis, environmental quality management and pollution prevention programs, biodiversity, forestry management, and water and coastal resources management.

EGAT/NRM coordinates its research and implementation agendas and other activities with other donors, international organizations, and other agencies of the U.S. Government.

The Office manages contract/grant mechanisms that enable Missions and regional Bureaus to access a wide range of technical expertise capable of implementing both short- and long-term programs and activities that they initiate. The Office develops tracking systems and impact indicators that permit analysis of the results of the activities using the mechanisms and contribute to decisions to maintain, redesign, or terminate the mechanisms.

The Office works closely with the Office of Agriculture and the Office of Environment and Science Policy to assure that there is coordination between the two programs, especially regarding the management of the natural resource base, the role of agriculture in responding to and mitigating the impact of climate change, and shared interests of science and technology.

The Office is responsible for the training of new hires in Backstop 40, and for coordinating this training with all other EGAT Offices and backstops, especially Backstop 10. In addition, EGAT/NRM is responsible for the design and implementation of continuous learning programs for USAID staff involved in environment programs.

The Director of the Office of Natural Resources Management reports to the Deputy Assistant Administrator for Economic Infrastructure, Agriculture, and Environment. He/she directly supervises four Supervisory Team Leaders, each responsible for oversight and management of a permanent core team:

The **Land Resources Management Team (EGAT/NRM/LRM)** provides technical, analytical, and project assistance to promote the development of land administration and management systems that improve or conserve the quality of these resources while also providing opportunities for increased household and community incomes. The role that land tenure plays in both management of the resource and in increasing its productivity will be critical elements of the Team's work program. Given the inter-linked nature of land and water utilization, these two Teams will be closely coordinated. In the Team's initial portfolio are the RAISE project and the SANREM CRSP, with involvement in the BASIS CRSP's land tenure portfolio.

The **Water Team (EGAT/NRM/W)** assures an integrated approach to water management for all purposes, including aquaculture. The Team provides technical leadership and field support, often in conjunction with members of other Teams in the Bureau as well as in the Bureau of Global Health. The Team is responsible for oversight of the programs implemented by two CGIAR centers (IWMI and ICLARM) as well as the Pond Dynamics/Aquaculture CRSP.

The **Biodiversity Team (EGAT/ENR/B)** addresses the conservation of plant and animal biodiversity through the provision of technical, analytic, and project assistance worldwide. The Team manages activities that focus on preservation of endangered species, especially in Africa.

The **Forestry Team (EGAT/ENR/F)** provides technical, analytic, and project assistance to support the conservation and sustainable use of the world's forests. The Team manages grant and contract mechanisms that provide access to expertise in various forestry-related areas. The Team assures oversight of the programs implemented by two CGIAR centers (CIFOR and ICLARM).

The Office of Environment and Science Policy (EGAT/ESP)

The Office of Environment and Science Policy assures USAID participation in USG presence in international forums, treaties and conventions that deal with the environment, agriculture, and science issues (e.g., the Convention on Desertification, the Intergovernmental Framework for Climate Change). The Office engages in the extensive inter-agency discussions that go into determining the US position in upcoming international events, assuring that the Agency's capacity for implementation is appropriate to the level of the US commitments. The Office serves as a focal point for Agency involvement in science and technology and, in collaboration with the Office of Agriculture and the Office of Natural Resources Management, manages a portfolio of global agricultural policy and research activities that involve U.S.-based as well as international scientists. The Office monitors and advises Agency leadership regarding scientific and policy developments that could have an impact on Agency performance in these areas.

EGAT/ESP coordinates its research and implementation agendas and other activities with other donors, international organizations, and other agencies of the U.S. Government as well as with the Offices of Agriculture and Natural Resource Management. Of particular importance in interagency coordination are the Council on Environmental Quality (CEG), the Office of the Science and Technology Advisor at the Dept. of State, and the National Academy of Sciences.

EGAT/ESP provides oversight and financial management services for Agency involvement in the international agricultural research system, participating in the Consultative Group on International Agricultural Research (CGIAR) governance and oversight structures and, as appropriate, taking similar roles in other such donor coordinating bodies.

The Director of the Office of Environment and Science Policy reports to the Deputy Assistant Administrator for Economic Infrastructure, Agriculture, and the Environment. Specifically, he/she supervises two cross-cutting programs, each implemented by a Team.

The **Multilateral Policy and Conventions Team (EGAT/ESP/MPC)**

The **Biotech/Research Team (EGAT/ESP/BR)** assures oversight and coordination of the overall agriculture, environment, and natural research management research portfolio and, specifically, the Agency's Collaborative Agricultural Biotechnology (CABIO) Initiative. A relatively large and complex portfolio of research, policy, and regulatory activities comprise this Initiative, several of which have been or will be designed, implemented, and monitored by the Team itself. The Team also manages various contract/grant mechanisms that enable missions to tap into expertise as needed to support national efforts to apply biotech in research and production. The Team assures adequate monitoring of and reporting on USAID support for plant and animal biotechnology.

The **Global Climate Change Team (EGAT/ESP/GCC)** is responsible for USAID's participation in USG forums that deal with the multisectoral issue of climate change, coordinating with the international organizations that have taken the lead on climate change mitigation (as well as with the Energy Team and its efforts to promote clean technologies), and for analytical work that deepens our understanding of climate change and its impact on agriculture and the environment in developing and transition countries. The Team assures oversight of and reporting on USAID's activities in support of the U.S.Global Climate Change Initiative.

The Office of Energy and Information Technology (EGAT/EIT)

The Office of Energy and Information Technology provides technical leadership and field support for the construction, installation, and effective use of critical economic infrastructure, specifically, that of energy (fossil fuel as well as renewables) and information/communication technologies. Policy, financing, regulatory, and management issues are included in the Office's agenda.

EGAT/EIT assists in the development, implementation, and evaluation of Agency policies, strategies, and resource allocation priorities and monitors and advises Agency leadership regarding technical developments that could have an impact on Agency performance, for example, in designing and delivering energy programs that moderate or mitigate climate change and on conquering the digital divide that separates so many people in developing and transition countries from participating in the global information economy.

The Office provides the relevant technical content and teaching staff for training programs designed and implemented by the Bureau. The Office collaborates in the recruitment, selection, and training processes for new hires in the Agency in Backstops 10 and 40 and contributes to the training of new hires in BS-11, 21, and 60 as well.

EGAT/EIT manages contract/grant mechanisms that enable Missions and regional Bureaus to access a wide range of technical expertise capable of implementing both short- and long-term programs and activities that they initiate. The Office develops tracking systems and impact indicators that permit analysis of the results of the activities using the mechanisms and contribute to decisions to maintain, redesign, or terminate the mechanisms. The Office uses these mechanisms to carry out its own worldwide projects and activities as well.

The Office conducts research on issues related to the scope of the portfolio and manages specific research capacity-building activities involving networks of researchers and policy analysts in developing and transition countries, often working in partnership with nongovernmental organizations and institutions of higher education. The Office coordinates its research and implementation agendas and other activities with other donors, international organizations, and other agencies of the U.S. Government.

The Director of the Office of Energy and Information Technology reports to the Deputy Assistant Administrator for Economic Infrastructure, Agriculture, and Environment. He/she directly supervises three Supervisory Team Leaders, each of whom is responsible for oversight and management of a permanent core team:

The **Energy Team (EGAT/EIT/E)** provides analytical, technical and project assistance for programs in industrial environmental policy and management, energy policy, energy efficiency, renewable energy, nuclear safety, environmentally sound energy development, and energy technology. The Energy Team is responsible for USAID participation in the Clean Energy Technology Exports Working Group, developing approaches in collaboration with mission personnel that will expand international knowledge of and demand for clean energy technologies.

The **Information Technology Team (EGAT/EIT/IT)** provides analytical, technical and project assistance for programs that serve to: expand the access of nations and populations to affordable information and communication technologies, including radios, telephones, internet, and computers as well as more specialized applications such as smartcards and credit cards to support e-commerce; improve the availability and relevance of content delivered via various information and communication technologies to the challenges of development; and demonstrate that use of information and communication technologies can increase productivity, social cohesion and stability, and the spread of democratic values. The Information Technology Team is responsible for USAID participation in the U.S. response to the Digital Opportunity Task Force of the G-8 and other interagency initiatives to promote digital opportunity in the developing world.

The **Technology Transfer Team (EGAT/EIT/TT)** supports the other teams in the Office through the design and operation of the Global Technology Network (GTN), an internet-based platform for facilitating U.S. exports of effective and relevant technologies to developing and transitional countries. The Team also manages programs to facilitate the transfer of clean energy technologies from the United States to developing and transition countries.

The Office of Education (EGAT/ED)

The mandate of the Office of Education spans the entire range of policies and programs that are involved in providing educational services: at the basic, secondary, and tertiary levels; on both short- and long-term bases; degree-oriented as well as oriented toward workforce competence and performance; involvement of communities and families; and so forth. The Office is responsible for monitoring USG support for and the global achievement of the Millennium Development Goals for education.

EGAT/ED assists in the development, implementation, and evaluation of Agency policies, strategies, and resource allocation priorities and monitors and advises Agency leadership regarding technical developments that could have an impact on Agency performance in designing and delivering cost-effective education programs. The Office provides the relevant technical content and teaching staff for training programs designed and implemented by the Bureau. The Office oversees the recruitment, selection, and training processes for New Entry Professionals (NEPs) in Backstop 60.

The Office manages contract/grant mechanisms that enable Missions and regional Bureaus to access a wide range of technical expertise capable of implementing both short- and long-term programs and activities that they initiate. The Office develops tracking systems and impact indicators that permit analysis of the results of the activities using the mechanisms and contribute to decisions to maintain, redesign, or terminate the mechanisms. The Office uses these mechanisms to carry out its own worldwide projects and activities as well.

The Office conducts research on issues related to the scope of the portfolio and manages specific research capacity-building activities involving networks of researchers and policy analysts in developing and transition countries. The Office coordinates its research and implementation agendas and other activities with other donors, international organizations, and other agencies of the U.S. Government.

The Director of the Office of Education reports to the Deputy Assistant Administrator for Economic Growth, Poverty Reduction, and Education. He/she directly supervises three Supervisory Team Leaders, each of whom is responsible for oversight and management of a permanent core team:

The **Basic Education Team (EGAT/ED/BE)** manages both IQC contract and cooperative agreement (grant) mechanisms for global field support and provides technical

expertise and guidance to the field and USAID/W bureaus on the design, implementation, monitoring, and evaluation of basic education programs around the world.

The **Higher Education Team (EGAT/ED/HE)** manages both IQC contract and cooperative agreement (grant) mechanisms for global field support and provides technical expertise and guidance to the field and USAID/W bureaus on both secondary and tertiary education. University partnerships (between U.S. schools of higher education and partner-institutions in developing and transition countries) are an important program managed by the Team and funded as part of the EGAT Bureau budget. The Supervisory Team Leader for the Higher Education Team also serves as the USAID Higher Education Liaison with the U.S. university community.

The **Participant Training Team (EGAT/ED/PT)** manages both IQC contract and cooperative agreement (grant) mechanisms for global field support and provides technical expertise and guidance to the field and USAID/W bureaus on the organization, management, and use of short-term training opportunities. The Team is responsible for the design and maintenance of TrainNet, a system designed to track and monitor participant trainees from around the world.

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Bureau for Economic Growth, Agriculture and Trade

EGAT/AA **Office of the Assistant Administrator**

NAME	TITLE	STATUS	EXT	LOCATION
Conly, Jonathan	Deputy Assistant Administrator	DH-FS	2-0670	3.09.036
Moore, Lagretta	Secretary	DH-GS	2-0670	3.09.001
Schafer, Jacqueline	Deputy Assistant Administrator	DH-FS	2-1709	3.08.095
Simmons, Emmy	**Assistant Administrator**	**DH-AD**	**2-0670**	**3.09.009**
Washington, Gloria	Secretary	DH-GS	2-0374	3.09.022
(TBD)	Program Assistant	CASU	N/A	N/A

EGAT/PDAM **Office of Professional Development and Administrative Management**

NAME	TITLE	STATUS	EXT	LOCATION
Bishop, Myra	Management Analyst	DH-GS	2-1268	3.09.052
Colwell, Brenda	Acting Director/Budget/Management Analyst	DH-GS	2-1485	3.09.042
Hickey, Deborah	Administrative Operations Specialist	DH-GS	2-0061	3.08.061
Jordan, Lennie	Administrative Officer	DH-GS	2-5099	3.09.043
Keith, Charles	Project Coordinator	DH-GS	2-1473	2.11.100
Naranjo, Carmen	Administrative Officer	DH-GS	2-4213	3.09.041

EGAT/WID **Office of Women in Development**

NAME	TITLE	STATUS	EXT	LOCATION
Bastien, Yamilee	Economic Growth Advisor	FELLOW	2-0733	3.08.011
Blakeslee, Katherine	**Supervisory Program Analyst (Director)**	**DH-GS**	**2-0570**	**3.08.051**
Bryant-Moten, Sylvia	Secretary	DH-GS	2-5677	3.08.001
Dykstra, Anne	Girls Education Tech Advisor	TAACS	2-5155	3.08.012
Escalona, Julie	Program Analyst	DH-GS	2-4981	3.08.013
Knox, Mary	Program Analyst	DH-GS	2-0978	3.08.003
Lijewski, Edward	Program Analyst	DH-GS	2-1088	3.08.007
Phillipps, Sharon	Social Science Analyst	RSSA	2-4074	3.08.022
Swanson, Julie Hanson	Education Program Specialist	DH-GS	2-1687	3.08.005
Stewart, Macol	Information Tech & Envir. Advisor	FELLOW	2-1724	3.08.021
Toth, Shirley	Program Analyst	DH-GS	2-4722	3.08.005

EGAT/UP **Office of Urban Programs**

NAME	TITLE	STATUS	EXT	LOCATION
Baier, Kraig	Housing/Urban Development Officer	DH-FS	2-4092	3.08.122
Bollar, Ellen	Administrative Assistant	CONT	2-0224	3.08.112
Boyer, Jeffrey	Housing/Urban Development Officer	DH-FS	2-0642	3.03.131
Glenn, Marcia	Environment & Urban Programs	RSSA	2-1549	3.08.073
Gredler, Dale	Housing/Urban Financial Mgt. Specialist	DH-FS	2-4187	3.08.141
Nakatsuma, Alfred	Housing/Urban Development	DH-FS	2-4182	3.08.140
Paijit, Alison	Community Planner	DH-GS	2-5323	3.08.085
Painter, David	**Director/ Sup Housing/Urban Dev/Officer**	**DH-FS**	**2-5113**	**3.08.100**
Wilcock, Stephanie	Reg. Environment Planning Specialist	RSSA	2-5145	3.08.121B
(TBD)	Urban Program Specialist	CASU	N/A	N/A
(TBD)	Housing/Urban Dev. Officer	DH-GS	N/A	N/a

EGAT/PAICO **Office of Program Analysis, Implementation, Communications and Outreach**

NAME	TITLE	STATUS	EXT	LOCATION
(TBD)	**Supervisory Program Officer (Director)**	**DH-FS**	**N/A**	**N/A**
(TBD)	Program Assistant	CASU	N/A	N/A

EGAT/PAICO/CKM **Communications and Knowledge Management Team**

NAME	TITLE	STATUS	EXT	LOCATION
(TBD)	**Sup Communications Specialist (TL)**	**DH-FS**	**N/A**	**N/A**
Mayberry , Wendy	Technical Coordinator	CASU	2-5207	3.09.072
Patalive, Chuck	Webmaster	CONT	2-5087	3.09.090
Sterne, Marx	Communications Specialist	DH-GS	2-5932	3.09.014
(TBD)	Knowledge Management Specialist	DH-FS	N/A	N/A
(TBD)	Communications Specialist	RSSA	N/A	N/A
(TBD)	Program Assistant	CASU	N/A	N/A

EGAT/PAICO/PAMS **Program Analysis & Mission Support Teams**

NAME	TITLE	STATUS	EXT	LOCATION
Alejandro, Frank	Program Analyst/LAC Coordinator	DH-GD	2-0352	2.10.080
Backus, Russell	Program Analyst/ANE Reg Coordinator	DH-GS	2-1543	3.08.062
Gray, Latonya	Program Assistant	CASU	2-4170	3.09.061
Kreslin, Dagnija	Program Analyst/AFR Reg Coordinator	DH-GS	2-0762	3.09.033
Landau, Edward	**Supervisory Program Officer (TL)**	**DH-FS**	**2-1538**	**3.09.035**
Larson, Denton	Financial Management Specialist	DH-GS	N/A	N/A
Meyers, Gregory	Program Analyst/E&E Coordinator	PSC	N/A	N/A
(TBD)	Controller	DH-FS/G	N/A	NA

EGAT/PAICO/PI **Program Implementation Team**

NAME	TITLE	STATUS	EXT	LOCATION
Allen, Patricia	Program Analyst	DH-GS	2-4205	3.10.045
Blakeney, Mildred	Senior Program Analyst	DH-GS	2-5068	2.10.110
Burgess, Kimberly	Program Analyst (AFS/NMS/FS)	DH-GS	2-1965	2.11.051
Burks, Cecelia	Program Analyst	DH-GS	2-4228	3.09.065
Cottingham, Terri	Program Analyst (BD/EM/Databases)	DH-GS	2-5097	2.11.112
Cox, Sherrie	Research Assistant	Inst Cont	2-5531	3.09.051
Crawford, Mary	Program Analyst	DG-GS	2-5425	5.07.001
Fesko, Dan	Program Analyst	DH-GS	2-0467	5.06.078
Frederick, Cheryl	**Supervisory Program Analyst (TL)**	**DH-GS**	**2-0563**	**3.09.032**
Outterbridge, Gwendolyn	Program Analyst	DH-GS	2-0208	3.09.067
Prestwood, Sabrina	Technical Database Specialist	CASU	2-4093	3.09.065
Sydnor, Inga	Program Analyst	DH-GS	2-4828	2.10.101
(TBD)	Financial Specialist	PSC	N/A	N/A

EGAT/EG **Office of Economic Growth**

NAME	TITLE	STATUS	EXT	LOCATION
Cowles, David	**Director**	**DH-FS**	**2-1140**	**2.10.082**
Robinson, Chanel	Program Assistant	CASU	2-0703	2.11.126

EGAT/EG **Trade, Investment and Finance Team**

NAME	TITLE	STATUS	EXT	LOCATION
Chase, Jennifer	RSSA	RSSA	N/A	N/A
Ellis, John	Privatization Officer	DH-GS	2-5711	2.11.113
Gauthier, Madeleine	AGOA Advisor	RSSA	2.4947	4.06.105
Hadley, Steve	**Supervisory Private Enterprise Officer (TL)**	**DH-FS**	**2-5547**	**2.11.123**
Haworth, Hugh	Senior Financial Advisor	PSC	N/A	N/A
Jessee, David	International Trade Specialist	DH-FS	2-5833	5.08.109
Klissas, Nicholas	Legal Advisor	CASU	2-0115	2.11.114
Moh, Kermit	International Trade Specialist	DH-FS	2-5164	5.09.121
Sambunaris, Georgia	International Trade Specialist	DH-GS	2-0212	5.08.131
Simmons-Benton, Anne	International Trade Specialist	CASU	2-5626	2.11.101
Wilson, Carol	RSSA	RSSA	2-0506	5.09.111
(TBD)	Program Assistant	CASU	N/A	N/A

EGAT/EG/EPG **Economic Policy and Governance Team**

NAME	TITLE	STATUS	EXT	LOCATION
(TBD)	**Supervisory Program Economist (TL)**	**DH-FS**	**N/A**	**N/A**
(TBD)	Program Assistant	CASU	N/A	N/A
Aggarwal, Rita	SAGA Manager	RSSA	2-1314	4.06.049
Crihfield, John	General Business Specialist	DH-GS	2-1288	2.11.110
Elliott, James	Program Econ. Officer	DH-FS	2-0403	2.11.111
Gellerson, Mark	Sup. Program Econ Officer	DH-FS	2-4212	2.11.122
Lee, Yoon	Economist	DH-GS	2-4281	4.06.115
Witthans, Fred	Program Economist Officer	DH-FS	2--1073	2.11.105

EGAT/EG continued.....

EGAT/EG/PSE **Private Sector Enterprise Team**

NAME	TITLE	STATUS	EXT	LOCATION
Camp, Lawrence	Senior Privatization Advisor	PSC	2-5652	5.07.024
Clark, Vickie	Program Assistant	CASU	2-4875	M.1.042
Gunning, John *	General Business Specialist	DH-GS	2-0361	2.11.131
Kissinger, Earelle	Private Enterprise Officer	DH-FS	2.0439	2.11.125
Likar, Mary	General Business Specialist	DH-GS	2.5542	2.11.140
Morrill, Grant	Private Enterprise Officer	DH-FS	2-5557	2.11.120
Randall, Kristin	Private Enterprise Officer	PMI	2-0469	M.1.043
Rathbun, Dan	Private Enterprise Officer	DH-FS	2-5181	2.11.102
Wallach, Bradley	**Supervisory Private Enterprise Officer (TL)**	**DH-FS**	**2-0128**	**5.08.106**
Warman, Art	Privatization Officer	CASU	2-5515	2.11.115
(TBD)	Private Enterprise Officer	DH-FS	N/A	N/A

EGAT/PR **Office of Poverty Reduction**

NAME	TITLE	STATUS	EXT	LOCATION
(TBD)	**Sup Private Enterprise Officer (Director)**	**DH-FS**	**N/A**	**N/A**
Duncan, Joe	**Acting Director/General Business Specialist**	**DH-FS**	**2-0474**	**M.1.052**
(TBD)	Program Assistant	CASU	N/A	NA

EGAT/PR/MD **MicroEnterprise Development Team**

NAME	TITLE	STATUS	EXT	LOCATION
Berry, John	Microfinance Advisor	RSSA	2-4823	2.11.044
Chalmers, Geoffrey	Microenterprise Development Specialist	RSSA	2-5275	2.11.042
Downing, Jeanne	Senior Business Development Advisor	RSSA	2-5544	2.11.013
Field, Michael	Business Development Advisor	CASU	2-1882	2.11.020
Kleinberg, Scott	Private Enterprise Officer	DH-FS	2-5351	5.07.042
Lennon, Barry	Senior Financial Advisor	RSSA	2-1598	2.11.041
Mahoney, Tim	Program Affairs Officer	DH-FS	2-4096	2.11.034

EGAT/PR continued.....

EGAT/PR/MD **MicroEnterprise Development Team**

NAME	TITLE	STATUS	EXT	LOCATION
McKee, Katharine	**Sup. Program Analyst (TL)**	**DH-AD**	**2-5578**	**2.11.011**
Mobley, Janell	Program Assistant	CASU	2-4903	2.10.087
Valenzuela, Mary (Liza)	Private Enterprise Officer	DH-FS	2-5538	2.10.087
Villeda, Lillan	Microenterprise Development Specialist	RSSA	2-5967	2.11.043
(TBD)	General Business Specialist (vice Hunt)	DH-GS	N/A	N/A
(TBD)	Private Enterprise Officer (vice Schweitzer)	DH-FS	N/A	N/A
(TBD)	Knowledge Management Advisor/Clients Team	N/A	N/A	N/A
(TBD)	Microenterprise Advisor	N/A	N/A	N/A

EGAT/PR/PASSN **Proverty Analysis & Social Safety Net Team**

NAME	TITLE	STATUS	EXT	LOCATION
(TBD)	**Supervisory Senior Economist (TL)**	**DH-FS**	**N/A**	**N/A**
Hanratty, Marty	Private Enterprise Officer	DH-FS	2-1412	2.11.030
Lamaute, Denise	Senior Pension Advisor	PSC	N/A	N/A
(TBD)	MicroEnterprise Development Spc	RSSA	N/A	N/A
(TBD)	Economic Growth Advisor	RSSA	N/A	N/A
(TBD)	Program Assistant	CASU	N/A	N/A

EGAT/ED **Office of Education**

NAME	TITLE	STATUS	EXT	LOCATION
Mackenzie, Donald	**Supervisory Education Dev Officer (Director)**	**DH-FS**	**N/A**	**N/A**
Landron, Georgia	Secretary	DH-GS	2-4273	3.09.091
(TBD)	Information Specialist	CASU	N/A	NA

EGAT/ED/BE **Basic Education Team**

NAME	TITLE	STATUS	EXT	LOCATION
Alvarez, Ben	Child Labor Advisor	TAACS	2-5356	3.09.083
(TBD)	N/A	FELLOW	N/A	N/A
Collins, Patrick	Basic Education Specialist	DH-GS	2-4151	3.09.075
Hatch, John	Basic Education Advisor	DH-GS	2-0147	3.09.084
Hoxeng, James	Int'l Education Specialist	DH-GS	2-5191	3.09.074
Kirby, Mitch	Education Policy Analyst	DH-GS	N/A	N/A
Loos, Gregory	**Sup. Education Program Specialist (TL)**	**DH-GS**	**2.4175**	**3.09.076**
Thomas, Megan	HIV Education	PASA	N/A	N/A
(TBD)	Education Development Officer	DH-FS	N/A	N/A
(TBD)	Basic Labor Advisor	TAACS	N/A	N/A
(TBD)	Education Specialist	RSSA	N/A	N/A

EGAT/ED/HEW **Higher Education and Workforce Team**

NAME	TITLE	STATUS	EXT	LOCATION
Bittner, Gary	**Sup. Education Program Specialist (TL)**	**DH-GS**	**2-1556**	**3.09.092**
El Sawi, Gwenneth	Workforce & Youth Development	RSSA	2-1849	3.09.082
McClusky, Robert	Education Dev Workforce	DH-GS	2-5414	3.09.081
(TBD)	Education Dev Officer	DH-FS	N/A	N/A
(TBD)	IPA	IPA	N/A	N/A
(TBD)	IPA	IPA	N/A	N/A
(TBD)	RSSA	RSSA	N/A	N/A

EGAT/ED continued.....

EGAT/ED/PT **Participant Training Team**

NAME	TITLE	STATUS	EXT	LOCATION
Brooks, Ethel	Field Training Advisor	RSSA	2-0496	3.09.103
Fajfer, Lubov	Participant Training Specialist	PSC	2-5396	5.07.018
Nindel, Jim	Program Analyst	DH-GS	2-5317	3.09.094
Raphael, Ronald	Field Training Advisor	RSSA	2-5244	3.09.104
Songer, David	**Supervisor Education Officer (TL)**	**DH-FS**	**2-4154**	**3.09.101**
(TBD)	Program Analyst	DH-GS	N/A	N/A
(TBD)	RSSA	RSSA	N/A	N/A

EGAT/DC **Office of Development Credit**

NAME	TITLE	STATUS	EXT	LOCATION
Calvo, Juan	General Business Specialist	PMI	2-5702	2.10.024
Dykes, George	Senior Advisor	DH-AD	2-0211	2.10.093
Evans, Tryfan	General Business Specialist	PMI	2-4749	2.11.032
Goshgarian, Sandra	General Business Specialist	DH-AD	2-0382	2.10.113
Grau, Gabriel	General Business Specialist	PMI	2-0459	2.11.104
Grossman, David	Program Analyst	DH-GS	2-.0145	2.10.091
Hagger, Jeremy	Senior Credit Investment Officer	DH-GS	2-4923	2.10.092
Lippitt-Porter, Angela	Program Assistant	CASU	2-5307	2.10.102
Pak, Karen	Financial Mgt. Specialist	DH-GS	2-0389	2.10.103
Pirnie, Peter	Financial Mgt. Specialist	DH-GS	2-1712	2.10.112
Walsh, Sean	Consultant	EF	2-5363	2.10.102
Wasielewski, John	**Sup General Business Specialist**	**DH-GS**	**2-5058**	**2.10.115**
Wu, Kathleen	Financial Mgt. Analyst	DH-GS	2-1704	2.10.111
(TBD)	Financial Mgt Specialist	DH-GS	N/A	N/A
(TBD)	General Business Specialist	DH-GS	N/A	N/A
(TBD)	Financial Mgt Specialist	DH-GS	N/A	N/A
(TBD)	Financial Mgt Specialist	DH-GS	N/A	N/A
(TBD)	Technical Advisor	CASU	N/A	N/A

EGAT/ESP **Office of Environment and Science Policy**

NAME	TITLE	STATUS	EXT	LOCATION
Moore, Franklin	**Director**	**DH-FS**	**2-1863**	**3.08.054**
Des Rosiers, Paul	Environmental Protection Specialist	DH-GS	2-1873	3.08.031
Hicks, Belindia	Administrative Assistant	Inst Cont	2-4055	3.08.060

EGAT/ESP/MPC **Multilateral Policy & Conventions Team**

NAME	TITLE	STATUS	EXT	LOCATION
(TBD)	**Natural Resource Mgt. Officer (TL)**	**DH-FS**	**N/A**	**N/A**
Griffin, Sylvia	Administrative Assistant	CONT	2-5879	3.08.070
Hester, James	Environment Protection Specialist	DH-GS	2-5176	6.07.064
Johnson, Leslie	Environment Advisor	RSSA	N/A	N/A
Sais, Kim	Env Program Financial Analyst	RSSA	2-1745	3.08.063
Witte, Eric	Agr. Research Specialist	RSSA	2-1906	2.11.084
(TBD)	Program Analyst	RSSA	N/A	N/A

EGAT/ESP/IRB **International Research and Biotechnology Team**

NAME	TITLE	STATUS	EXT	LOCATION
Bertram, Robert	**Sup. Agriculture Research Specialist (TL)**	**DH-GS**	**2-5064**	**2.11.004**
Bode, Scott	Natural Resources Management Advisor	RSSA	2-5079	2.11.074
Dalrymple, Dana	Research Advisor	RSSA	2-5596	2.11.075
Lewis, Josette	Senior Bio-technology Advisor	RSSA	2-5592	2.11.052
Pathak, Bhavani	Biotech Specialist	AAAS	2-4939	2.11.053
Martin, Kahindo	Administrative Assistant	Inst Cont	2-0271	3.08.093
Soule, Meredith	Agr. and Nat. Res. Economist	RSSA	2-1058	2.11.085
Hall, Michael	Biotech Advisor	RSSA	2-5997	2.11.073
(TBD)	Nutrition Advisor (vice Comeau)	RSSA	N/A	N/A

EGAT/ESP continued.....

EGAT/ESP/GCC **Global Climate Change Team**

NAME	TITLE	STATUS	EXT	LOCATION
(TBD)	**Sup.Environment Protection Spc (TL)**	**DH-GS**	**N/A**	**N/A**
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Goresvski, Virginia	Global Climate Change Program Specialist	RSSA	2-1463	3.08.092
Muller, Duane	Global Climate Change Program Specialist	RSSA	2-5304	3.08.096
Stokes, Carrie	Global Climate Change Program Specialist	RSSA	2-0457	3.08.086
(TBD)	Administrative Assistant	RSSA	N/A	N/A
(TBD)	GCC Advisor	RSSA	N/A	N/A

EGAT/NRM **Office of Natural Resources Management**

NAME	TITLE	STATUS	EXT	LOCATION
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Solano, Cynthia	Administrative Assistant	Inst Cont	2-1145	3.08.114

EGAT/NRM/LRM **Land Resources Management Team**

NAME	TITLE	STATUS	EXT	LOCATION
(TBD)	**Supervisory Environment Officer (TL)**	**DH-GS**	**N/A**	**N/A**
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Ford, Robert	Agriculture Business Environment Specialist	RSSA	2-5073	2.11.054
Hedlund. Robert	Crop Protection Specialist	RSSA	2-4188	2.11.091
Hilbruner, Roberta	Environment Education & Communication Spc	RSSA	2-5688	3.08.135
Kosnik, Chris	RSSA	RSSA	2-1364	3.08.126
McGahucy, Mike	Environmental Advisor	RSSA	2-0449	G - Street
Sloger, Charles	Soil Scientist	RSSA	2-1902	2.11.081

EGAT/NRM continued……

EGAT/NRM/W **Water Team**

NAME	TITLE	STATUS	EXT	LOCATION
Best, Barbara	Water Resources Advisor	RSSA	2-0553	3.08.048A
Deely, Daniel	Environment/Natural Res Specialist	DH-GS	2-5255	3.08.034
Hurdus, Alan	**Sup. Agricultural Development Officer (TL)**	**DH-FS**	**2-0218**	**3.07.033**
McCornick, Peter	N/A	N/A	N/A	N/A
Murray, Sharon	Water Team Specialist	RSSA	2-0515	3.07.030a
Prempeh, Miranda	Administrative Assistant	CONT	2-4048	3.08.152a
Rea, Harry	Aquatic Resources Specialist	RSSA	2-0359	2.11.095
Volk, Richard	Ecologist-Costal & Acquatics Specialist	RSSA	2-5373	3.08.142
(TBD)	Marine and Costal Ecosystems Advisor	RSSA	N/A	N/A

EGAT/NRM/B **Biodiversity Team**

NAME	TITLE	STATUS	EXT	LOCATION
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Gill, Cynthia	Biodiversity/Natural Resource Specialist	RSSA	2-4177	3.07.031
Martino, Robin	Biodiversity Program Specialist	RSSA	2-4178	3.08.151
Rowen, Mary	Wildlife Biologist	RSSA	2-4466	3.07.022
(TBD)	Biodiversity Program Manager/Advisor	RSSA	N/A	N/A
(TBD)	Program Assistant	CASU	N/A	N/A

EGAT/NRM/F **Forestry Team**

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Blundell, Arthur	AAAS	Fellow	2-4471	3.08.036a
Brennan, Jean	Forestry & Biodiversity GCC	RSSA	2-5416	3.08.030
Duvall, Leroy	Forest Program Specialist	RSSA	2-4865	3.07.043
Grimes, Alicia	Environment Specialist	RSSA	2-1642	5.07.012
Rushin-Bell, Carol Jo	**Supervisory Agricultural Dev Officer (TL)**	**DH-FS**	**2-1381**	**3.08.033**

EGAT/AG **Office of Agriculture**

NAME	TITLE	STATUS	EXT	LOCATION
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Holt, Sabrina	Program Assistant	CASU	2-1659	2.11.152
Leitner, Melanie	AAAS	Fellow	2-5365	2.11.150
Metz, Matthew	AAAS	Fellow	2-1581	2.11.151
O'Brien, David	ME Grants Sp. / Tech Advisor	RSSA	2-0465	2.11.C
Wise, Marquita	Secretary	DH-GS	2-5939	2.11.040

EGAT/AG/ARPG **Agriculture/Rural Policy and Governance Team**

NAME	TITLE	STATUS	EXT	LOCATION
Baum,	Economist	DH-GS	2-0532	3.08.034
Bloom, Roger	**Sup Agricultural Development Officer (TL)**	**DH-FS**	**2-0484**	**2.11.001**
Cummings, Ralph	Senior Economist	DH-GS	2-5567	2.11.071
Heron, Lena	Agr. Business/Land Markets Specialist	RSSA	2-0391	2.11.064
Lampman, Scott	Program Analyst	DH-GS	2-1954	3.09.038
Mitchell, Ernestine	Prog. Ops. Assistant	RSSA	2-5197	2.11.060
Paulson, Larry	Agriculture Development Officer	DH-FS	2-1436	2.11.072
Thompson, Susan	Social Scientist	RSSA	2-1716	2.11.094
Winter, Marcus	Agriculture Private Specialist	PSC	2-5991	5.08.111
(TBD)	Program Analyst (Gore)	DH-GS	N/A	N/A

EGAT/AG/ATGO **Agriculture Technology Generation and Outreach Team**

NAME	TITLE	STATUS	EXT	LOCATION
Duguma, Bahiru	Technical Advisor	RSSA	2-0491	G - Street
Hardt, Terry	Agr. Development Officer	DH-FS	2-.0434	2.11.092
Jackson, Cheryl	Technical Advisor	RSSA	2-0504	G - Street
Jones, Phil	Agriculture Research Specialist	DH-FS	N/A	N/A
Mullenax, John	Technical Advisor	PSC	2-5302	7.06.071

EGAT/AG continued.....

EGAT/AG/ATGO **Agriculture Technology Generation and Outreach Team**

NAME	TITLE	STATUS	EXT	LOCATION
Newell, Elizabeth	AAAS	Fellow	2-0462	2.11.070
Oweis, Jiryis	Agr. Economist	DH-GS	2-1367	2.11.080
Ritter, Christopher	Outreach Extenion	Fellow	2-0239	2.11.061
Swanson, John	**Sup. Agriculture Development Officer (TL)**	**DH-FS**	**2-5602**	**2.11.006**
Turk, Joyce	Dairy and Livestock Advisor	DH-GS	2-1424	2.11.082
Vaughn, Shelia	Program Assistant	CASU	2-4262	2.11.090
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EGAT/AG/AM **Agribusiness and Markets Team**

NAME	TITLE	STATUS	EXT	LOCATION
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Gardner, George	Agriculture Policy Advisor	RSSA	2-0492	G - Street
Knight, Ivor	Food Safety Advisor	RSSA	2-1156	2.11.063
Lee, Jeffrey	Agriculture Development Officer	DH-FS	2-1235	5.08.119
Morton, Raymond	Agriculture Development Officer	DH-FS	2-5118	2.11.073
Soroko, David	Agr. Development Officer	DH-FS	2-0897	2.11.065
(TBD)	Program Assistant	CASU	N/A	N/A

EGAT/EIT **Office of Energy and Information Technology**

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Adams, Barbara	Secretary	DH-GS	2-1451	3.08.094

EGAT/EIT/E **Energy Team**

NAME	TITLE	STATUS	EXT	LOCATION
Claggett, Vanessa	Administrate Assistant	Inst Cont	2-5624	3.08.025B
Dragotto, Ellen	Program Specialist	RSSA	2-1453	3.07.006
Flanagan, Patricia	Program Analyst-Renewable	RSSA	2-4026	3.08.124
Hall, Walker	Energy Restructuring Specialist	PSC	2-1274	5.08.133
Harding, Todd	Energy Environment Resource Specialist	RSSA	2-1727	3.08.015
Hopkins, Omar	Energy and Technology Specialist	AAAS FELLOW	2-0546	3.08.036B
Jones, Jheri	Administrative Assistant	CONT	2-1864	3.08.150
Lawaetz, Simone	Program Analyst	RSSA	N/A	N/A
MacLeod, Bob	Energy & Environment Policy Specialist	RSSA	2-4473	3.08.133
Murray, Mark	Team Leader/Energy Sector Governance	RSSA	2-1656	3.08.134
Ostergaard, K.R.	Environmental Policy Specialist	RSSA	2-4185	3.08.025a
Rastogi, Rajiv	Physical Scientist	RSSA	2-4944	5.10.065
Schlagenhaug, Mark	Senior Oil & Gas Advisor	PSC	N/A	N/A
Streed, Erik	Program Analyst	RSSA	2-1186	3.08.008
Thompson, Griffin	**Supervisory Physical Scientist (TL)**	**DH-AD**	**2-1772**	**3.07.003**
Warr, Kevin	Program Analyst	RSSA	2-4779	3.08.009
Weynand, Gordon	Physical Science	DH-GS	2-4169	3.08.072
Wood, Davida	N/A	FELLOW	2-0594	3.08.074
(TBD)	Energy Analyst	DH-GS	N/A	N/A
(TBD)	Energy Officer	DH-GS	N/A	N/A

EGAT/EIT continued.....

EGAT/EIT/TT **Technology Transfer Team**

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Gold, Gerald	Environment Specialist	PSC	2-0263	5.07.076
Jackson, Gilbert	Environment Protection Specialist	DH-GS	2-1219	5.09.092
Lampesis, Peter	General Business Specialist	DH-AD	2-5511	M.01.051
Orrey, Jeff	AAAS	Fellow	2-1608	5.07.082

EGAT/EIT/IT **Information Technology Team**

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(TBD)	Program Assistant	CASU	N/A	N/A
(TBD)	Education Technical Advisor	RSSA	N/A	N/A

Roger P. Winter
Assistant Administrator
Democracy, Conflict and Humanitarian Assistance
U.S. Agency for International Development

Roger P. Winter was sworn in on Jan. 31, 2002, as assistant administrator for democracy, conflict and humanitarian assistance of the U.S. Agency for International Development (USAID). For more than 40 years, USAID has been the lead U.S. government agency providing economic and humanitarian assistance to transitioning and developing countries.

Winter was director of USAID's Office of Foreign Disaster Assistance from May 2001 until assuming his present position.

Before joining USAID, Winter served as executive director of the U.S. Committee for Refugees (USCR) from 1981 to 2001. USCR is a non-profit, humanitarian organization that works to protect and assist refugees, asylum-seekers and displaced people around the world. As executive director, Winter was responsible for USCR's programs serving refugees, displaced people and conflict victims in the United States and overseas.

Winter has far-reaching field experience in Africa, Southeast Asia, the former Soviet Union, and Central America. He has researched and written extensively and conducted media outreach to raise the profile

He also served as director of the U.S. Office of Refugee Resettlement in the former Department of Health, Education and Welfare during portions of both the Carter and Reagan administrations. Prior to that, he worked 10 years as an official with the state of Maryland. His early career was devoted to anti-poverty and civil rights programs in Boston, Chicago and central Connecticut.

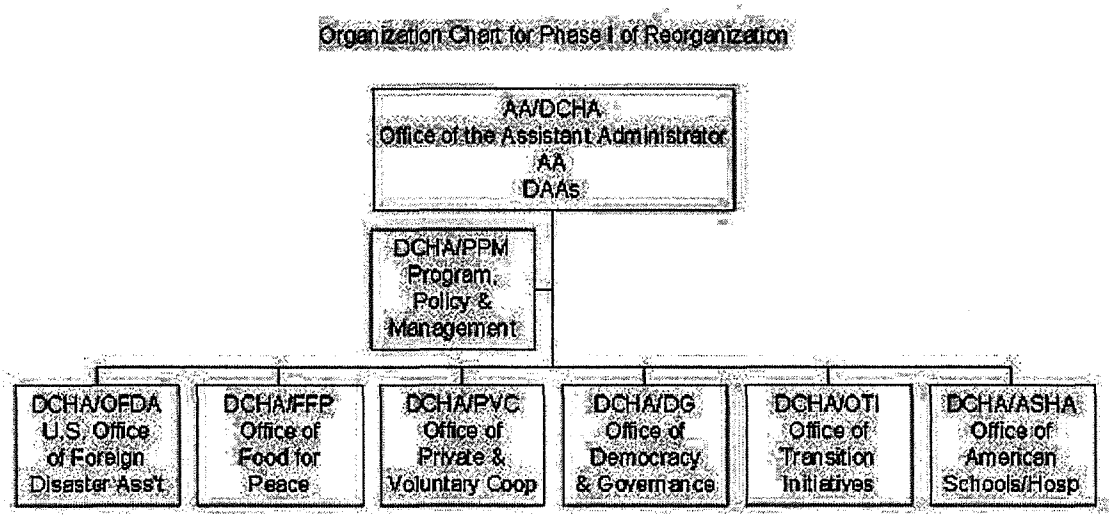
Winter has a bachelor's degree from Wheaton College in Illinois and is the recipient of an honorary doctor of laws degree from Holy Family College in Pennsylvania.

He and his wife, Delorise Allen Winter, live in Woodbine, Md. They have three children and two grandchildren.

HOW OTI FITS INTO USAID

>> USAID home >> OTI

Bureau for Democracy, Conflict, and Humanitarian Assistance



Office of the Assistant Administrator (AA/DCHA)
Program, Policy & Management (DCHA/PPM)
Office of Foreign Disaster Assistance (DCHA/OFDA)
Office of Food For Peace (DCHA/FFP)
Office of Private and Voluntary Cooperation (DCHA/PVC)
Office of Democracy & Governance (DCHA/DG)
Office of Transition Initiatives (DCHA/OTI)
Office of American Schools and Hospitals Abroad (DCHA/ASHA)

- OTI Washington staff listing
- OTI office listing

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For media inquiries, please contact the Bureau of Legislative and Public Affairs at 202-712-4320.

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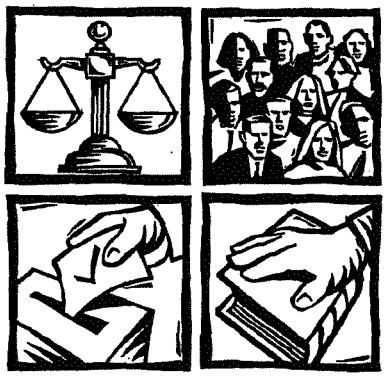
- OTI organizational chart
- OTI office listing

OFFICE OF DEMOCRACY AND GOVERNANCE

"...promoting the transition to and consolidation of democratic regimes throughout the world."

USER'S GUIDE



June 15, 2002

The complete **User's Guide to the Office of the Democracy and Governance** is available at: **http://inside.usaid.gov/G/DG/pubs/pdfs/ug.pdf**

Office of Democracy and Governance
Bureau for Democracy, Conflict, and Humanitarian Assistance
U.S. Agency for International Development
Washington, DC 20523-3100

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As of June 15, 2002

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***See page 47 for biographical information on DG Office technical staff.**

Key:
AD - Administratively Directed
DF - Democracy Fellow
DIS -Development Information Services/CDIE
PaL-Tech - Planning and Learning Technologies
PMI - Presidential Management Intern
PSC - Personal Services Contract
RSSA - Resources Support Services Agreement
USDH - U.S. Direct Hire

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SECTORAL AND SUB-SECTORAL DESIGNATIONS

The following section is presented as a quick reference to the broad array of program areas supported by the DG Office and covered by its implementing mechanisms. For a further elaboration of these program categories, please refer to the DG Office *Strategic Plan, 1997-2002* or contact the DG Office directly. The DG Office *Democracy and Governance: A Conceptual Framework* also presents the strategic thinking underlying USAID's and the DG Office's worldwide involvement in these areas; ordering information is found on p. 46.

RULE OF LAW

The phrase "rule of law" embodies the basic principles of due process and equal protection under the law. In many states where fundamental laws have yet to be enacted or where democratic traditions are weak, existing laws may not be equitable or equitably applied and judicial independence is compromised. Civil and political rights, especially for women and minorities, are not truly guaranteed. Institutions have not yet developed the capacity to administer existing laws. The DG Office has distilled USAID experience in these areas and has developed mechanisms designed to improve

- Legal reform
- Administration of justice
- Citizens' access to justice
- Respect for human rights
- Constitutions and fundamental law

ELECTIONS AND POLITICAL PROCESSES

Free and fair elections reflecting the will of the people are essential to a functioning democracy. Elections offer political parties and civic groups an opportunity to mobilize and organize supporters and share alternative platforms with the public. They also serve to encourage political debate. Many countries, however, lack the institutional capacity to plan and implement such elections. The DG Office concentrates on seven elements essential to free and fair political processes:

- Impartial electoral frameworks
- Credible electoral administration
- Effective oversight of electoral processes
- Informed and active citizenries
- Representative and competitive multi-party systems
- Inclusion of women and other disadvantaged groups
- Effective transfers of political power

CIVIL SOCIETY

The hallmark of a democratic society is the ability of individuals to associate with like-minded individuals, express their views publicly, openly debate public policy, and petition their government. "Civil society" is the term which best describes the non-governmental, not-for-profit, independent nature of this segment of society. USAID is working to strengthen commitment to an independent and politically active civil society in developing countries. The DG Office works to enable civil society organizations and independent trade unions to advocate policy reforms by

- Encouraging the development of enabling environments
- Assisting groups to become financially viable and self-sufficient

GOVERNANCE

A key determinant of successful democratic consolidation is the ability of democratically elected governments to provide "good governance." While many citizens of developing countries value characteristics associated with democracy (e.g., elections, human rights, and representation), they are equally interested in qualities such as public accountability, responsiveness, transparency, and efficiency. The DG Office focuses its governance support on

- Anti-corruption initiatives
- Decentralization/local capacity-building
- Civil-military relations
- Public policy development and implementation
- Legislative strengthening

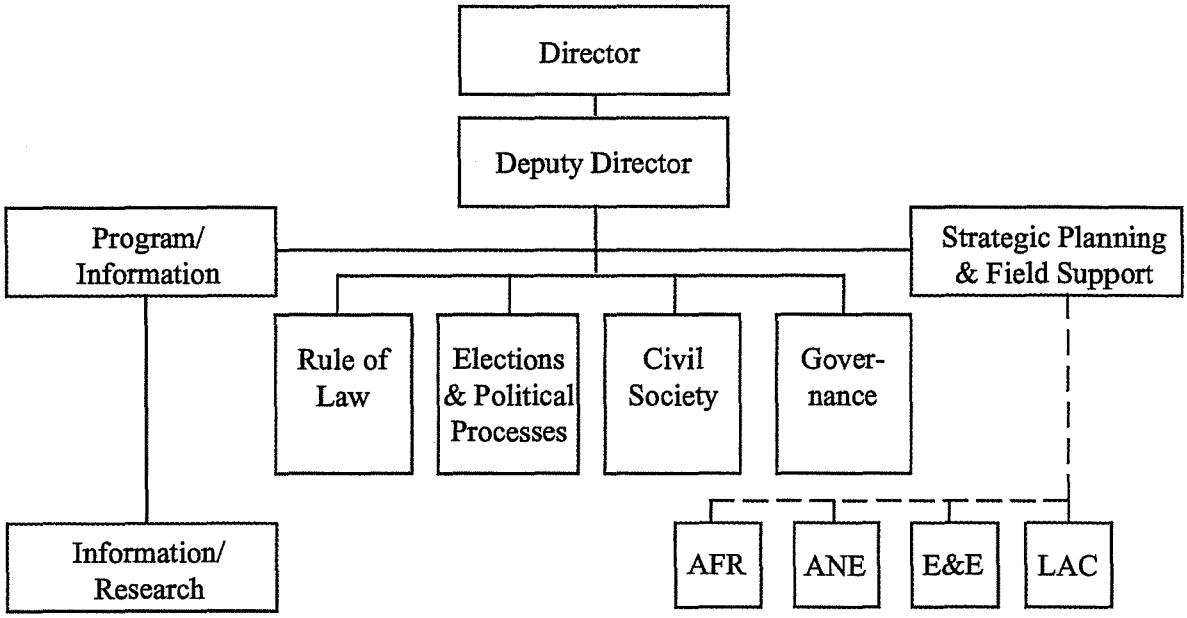
USAID COUNTRY AND REGIONAL PROGRAMS WITH DEMOCRACY AND GOVERNANCE OBJECTIVES FY 2002*

	AFR	ANE	E&E	LAC	TOTAL
Total USAID Missions/other operating units	**32**	**15**	**19**	**19**	**85**
Number with DG Objectives	**24 (75%)**	**13 (87%)**	**17(79%)**	**18 (95%)**	**70 (82%)**

Objective 2.1: **Rule of Law**	AFR/SD, Angola, DROC, Ethiopia, Ghana, Guinea, Kenya, Madagascar, Mozambique, Nigeria, Rwanda, Senegal, South Africa, Tanzania (14)	Bangladesh, Cambodia, Egypt, India, Indonesia, Lebanon, Mongolia, Morocco, Nepal, Philippines, Sri Lanka, West Bank-Gaza (12)	Armenia, Azerbaijan, Belarus, Bulgaria, Croatia, Georgia, Kazakhstan, Kyrgyzstan, Romania, Russia, Tajikistan, Ukraine, Uzbekistan (13)	Bolivia, Brazil, Caribbean Regional Program, Colombia, Dominican Republic, Ecuador, El Salvador, Guatemala, Guyana, Haiti, Honduras, Mexico, Nicaragua, Panama, Paraguay, Peru, LAC Regional (17)	**56**
Objective 2.2: **Elections and Political Processes**	AFR/SD, Angola, DROC, Ethiopia, Ghana, Guinea, Malawi, Mozambique, Nigeria, Rwanda, Senegal, Uganda, Zambia, Zimbabwe (14)	Bangladesh, Cambodia, Indonesia, Mongolia, Nepal, West Bank-Gaza (6)	Armenia, Azerbaijan, Belarus, Bulgaria, Croatia, Georgia, Kazakhstan, Kyrgyzstan, Moldova, Romania, Russia, Ukraine, (12)	Bolivia, Dominican Republic, Guyana, Haiti, Mexico, Nicaragua, Paraguay, Peru, LAC Regional (9)	**41**
Objective 2.3: **Civil Society**	AFR/SD, Angola, DROC, Eritrea, Ethiopia, Ghana, Guinea, Kenya, Malawi, Madagascar, Mozambique, Namibia, Nigeria, Rwanda, Senegal, Somalia, South Africa, Sudan, Tanzania, Zambia, REDSO/ESA, WARP (22)	Bangladesh, Cambodia, Egypt, India, Indonesia, Lebanon, Mongolia, Morocco, Nepal, Philippines, West Bank-Gaza (11)	Armenia, Azerbaijan, Belarus, Bulgaria, Croatia, Georgia, Kazakhstan, Kyrgyzstan, Moldova, Romania, Russia, Tajikistan, Turkmenistan, Ukraine, Uzbekistan (15)	Bolivia, Brazil, Caribbean Regional, Colombia, Dominican Republic, Ecuador, El Salvador, Guatemala, Guyana, Haiti, Nicaragua, Panama, Paraguay, Peru, LAC Regional (15)	**63**
Objective 2.4: **Governance**	AFR/SD, Angola, Eritrea, Ethiopia, Ghana, Guinea, Kenya, Malawi, Mozambique, Namibia, Nigeria, Rwanda, Senegal, Somalia, South Africa, Sudan, Tanzania, Uganda, Zambia (19)	Bangladesh, Egypt, Indonesia, Jordan, Lebanon, Morocco, Nepal, Philippines, West Bank-Gaza (9)	Armenia, Belarus, Bulgaria, Croatia, Georgia, Kazakhstan, Kyrgyzstan, Moldova, Romania, Russia, Tajikistan, Ukraine (12)	Bolivia, Colombia, Dominican Republic, Ecuador, El Salvador, Guatemala, Guyana, Haiti, Honduras, Jamaica, Mexico, Nicaragua, Panama, Paraguay, Peru, LAC Regional (16)	**56**

* Table source: CDIE Online Crosstab Report generated November 15, 2001 with 96 percent of operating units reporting

HOW THE DG OFFICE IS ORGANIZED



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NOTES: Regional teams are coordinated by the strategic planning and field support division and are staffed by country backstops drawn from other parts of the DG Office. The DCHA/DG Information Unit (funded through CDIE/DIS) is attached to the program/information function. The information on this page was updated as of 06/15/2002. Because the assignments shift between printings of the *User's Guide*, USAID staff should refer to the DG Office Intranet site, <http://inside.usaid.gov/G/DG/>, for an up-to-date listing.

HOW TO ACCESS A DG OFFICE IMPLEMENTING MECHANISM

Copies of current acquisition and assistance awards have been sent to all missions and contracting officers. Sample statements of work are available from DCHA/DG staff or from the web at http://inside.usaid.gov/G/DG/.

Accessing an indefinite quantity contract (IQC):
NOTE: There is no dollar value or time limit on delivery orders other than the IQC's ceiling/period of performance.

1) To access the IQCs, missions prepare a statement of work (SOW) for a task order that briefly describes the purpose, background, objectives, desired activities, deliverables, and/or performance measures as appropriate, as well as a notional budget and timeframe.
2) The SOW is shared with the DCHA/DG cognizant technical officer (CTO) to ensure that the proposed activities are consistent with the IQC purpose and that the budget is within the existing award ceiling level. DCHA/DG may also offer substantive comments on the SOW for mission consideration.
3) Fair consideration as to which of the IQC firms will undertake the proposed activity is required. Section F of the contract specifies a three-tiered fair consideration process. The first tier is a review of past performance. Past performance information is available from DCHA/DG and on the Intranet at http://inside.usaid.gov/G/DG. The second tier is a review of proposed personnel and their availability. The third tier is a review of technical and cost proposals. Tier 2 and 3 documentation may be requested of the contractors if Tier 1 consideration is not decisive. If the mission determines that information at a tier, moving from 1-3, is sufficient to justify a fair consideration determination, there is no need to go to the next level, unless the proposed activities are $2 million or more. With requirements of $2 million or more, a Tier 3 review, managed by the mission's contracting officer, is required. If an awardee is selected based on a Tier 1 or Tier 2 review, a brief written justification is submitted to the mission contracting officer with the request to make the award.
4) After review of the SOW by DCHA/DG and determination of fair consideration, the mission sends a formal request to its contracting officer to negotiate a task order under the IQC.

Accessing a grant or a cooperative agreement (CA):
NOTE: Proposed programs must fit within the scope of the activities funded by the central award. However, grantees and CAs may agree to extend their program in a given country or to initiate a program in a new country. Because grants and CAs are assistance instruments, USAID may not impose a particular activity, nor may it dictate which member of the CA shall implement a given program. Preferences, however, should be stated and will be forwarded to the CA by the CTO along with the draft SOW.

1. The mission sends a draft statement of work (SOW) to the DCHA/DG program contact who serves as the cognizant technical officer (CTO). A notional budget should be attached.
2. If the existing grant or cooperative agreement program scope accommodates the proposed activity, the CTO reviews the mission SOW with the grantee. With grantee agreement the CTO responds to the mission, a funds transfer is arranged, and an incremental funding action is scheduled. If the mission SOW cannot be accommodated in the program description of the existing grant or cooperative agreement, the CTO assesses partner organization interest in the mission SOW and then, as necessary, requests negotiation of modification of the grant/cooperative agreement by the grants officer. This requires significantly more time.

Accessing a participating agency service agreement (PASA):
NOTE: Proposed programs will be discussed with PASA agency staff to determine that agency's interest and ability to respond.

1. The mission sends a draft statement of work (SOW) to the DCHA/DG program contact who serves as the cognizant technical officer (CTO).
2. After the DCHA/DG and PASA review, mission is notified of approval and sends a formal request to the appropriate contracting officer to negotiate a buy-in or incremental funding action, as appropriate.

Office of PVC - Overview

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What's New
Publications
Registration
ACVFA
Programs
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-Cooperative Development
-Denton
-Development Education
-Farmer-To-Farmer
-Matching Grant
-Ocean Freight Reimbursement

Last Updated 09/12/02

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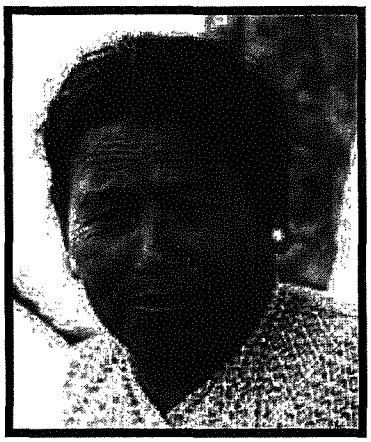
PVC'S ROLE IN THE AGENCY



Additional References:

PVC Organizational Chart

PVC's Strategic Plan (PDF 2.5MB)

Links

PVO Registry Search ~ **Online Country Report** ~ **Results Oriented Assistance** ~ **DOSA Page**
PVC Org Chart ~ **RFAs**

** Overview **

The Office of Private and Voluntary Cooperation (PVC) plays a dual role in USAID. Through the programs it administers, PVC provides direct support to efforts made by the U.S. PVO community (**PVOs**) and by its local partners (**NGOs**) to address critical needs in developing countries and emerging democracies.

Through support for US PVOs, PVC also aims to strengthen the capacity of local NGOs and community groups to deliver sustainable services, particularly to underserved communities. The primary way PVC supports its mission is through the competitive grant programs it administers. These include **Matching Grant**, **Child Survival Grants**, **Cooperative Development Grants** the **John Ogonowski Farmer-to-Farmer Program**, and **Ocean Freight Reimbursement**. PVC also coordinates the **Denton Program** which is jointly administered by USAID, the Department of State, and the Department of Defense. In addition, PVC administers USAID's **Development Education Program** which provides grants to US organizations to educate the American public about developing country needs and about the ways in which US foreign assistance, and the efforts of the PVO community, help to address those needs.

PVOs and their local partners also benefit from PVC's information and program support function including the **registration of US PVOs**. PVC also registers **local private voluntary organizations** (LPVOs) Non-US PVO Section that wish to work with USAID Missions overseas. In addition, PVC monitors the degree to which US PVOs are maintaining their private funding base.

PVC fulfills its liaison and information functions for other offices within USAID on both the policy and operational levels. PVC provides information on PVO capabilities and programs to the public and to other USAID operating units. PVC also helps to promote better integration of PVO programs with USAID mission strategies. The office does so primarily through the grant program guidelines it issues, which require mission comment and clearance on all proposals to ensure that the PVO programs funded by PVC are consistent with missions' strategic objectives. On the policy level, PVC plays a key role in the development of Agency policies that focus on the USAID-PVO partnership. PVC's involvement in policy formulation ranges from the broadest levels, such as on USAID's New Partnerships Initiative (NPI), to operational guidance for program managers, such as on cost-sharing requirements, to addressing issues that affect PVOs in the area of procurement policy. PVC also contributes to the policy dialogue in its role as the secretariat for **Agency's Advisory Committee on Voluntary Foreign Aid (ACVFA)**

** Competitive Review Process**

All eligible proposals responding to the Request for Applications (RFAs) are reviewed by a formal review committee comprised of participants from USAID/BHR/PVC and from regional and central bureaus. External technical consultants are also used by the review committees. From the date of submission, the review process alone takes from three to five months. Recommended proposals then undergo budget negotiation with USAID's agreement officer, who issues the final awards.

** PVC Strategic Plan **

The strategic plan developed by PVC reflects the values and practices promoted by the reengineering initiative at USAID. Teamwork and the involvement of PVC's partners in the US PVO community were integral to its development. The office's results framework, on which this plan is based, reflects their shared objectives. PVC's grant programs support the overall Agency goal of sustainable development.

Results Framework

GOAL	Sustainable Development Impacts in Priority Sectors
Sub-Goal	NGOs and Other Local Partners Strengthened
Strategic Objective	**Increased Capability** of PVCs PVO Partners to Achieve Sustainability Service Delivery

Intermediate Results

1. Operational & TechnicalCapacity of PVC's Grantees Improved	2. Strengthened Partnership Between USAID and U.S. PVOs	3. Strengthened Partnership Between U.S. PVOs and Local NGOs	4. Improved Mobilization of Resources by PVC's PVO Partners	5. U.S. Public Awareness Raised

For more information, review **PVC's Strategic Plan** (PDF 2.5MB)

PVC's strategic plan builds on the historical strengths and comparative advantages of the office. For 20 years, PVC's support to the PVO community has focused on the institutional capacity these organizations need to develop to achieve the objectives of programs they undertake in developing countries and emerging democracies. PVC's relationship with the PVO community differs from the type of relationship a USAID mission develops with a PVO. Mission funding of PVOs is normally oriented to the implementation of development programs. To compete for this type of funding, PVOs must already have, or be engaged in ongoing efforts to build, the capacity that is needed for development work. PVC is uniquely positioned within USAID to provide this type of capacity-building assistance to the PVO community.

Over the years, PVC's grants have helped many within the PVO community to develop their institutional capacities to the point where they are capable of running the kinds of programs USAID missions fund and are working effectively on the cutting edge of development in priority sectors. In selecting its strategic objective for the period covered by this plan, PVC's aim was to focus on capacity building not as an end in itself, but rather as the means, or foundation, for ensuring that its grant programs result in the provision of needed goods and services to people in the countries USAID assists. At the level of its strategic objective, PVC's interest goes beyond the institutional capacity of individual PVOs. What is important from a development perspective is the continuous improvement in the capability of the PVO community as a whole to respond effectively to the full range of challenges facing developing countries.

Reflecting this focus, PVC has selected a single strategic objective (SO) that draws together a number of critical and interconnected concerns. This objective calls for the: Increased capability of PVC's PVO partners to achieve sustainable service delivery. This objective has three interrelated aspects. The first important aspect of this objective is its focus on improving the **capacity or collective capability of the US PVO community**. Improvements in the capability of US PVOs are viewed by PVC as being inextricably linked to service delivery improvements, irrespective of whether these services are being provided by PVOs directly or by their local NGO partners. Service delivery is the second important aspect of PVC's SO. Its inclusion in the objective statement forces PVC and its PVO partners to focus on and measure performance in these terms. The provision of goods and services does not guarantee that the kinds of development impacts USAID seeks will occur, but it is an essential prerequisite for such impact. The final aspect of PVC's SO is the expectation that services will be delivered on a sustainable basis. The delivery of needed goods and services must be organized in ways that do not depend upon perpetual support from USAID or other donors. PVC's SO is realistically limited to PVC's PVO partners. PVC directly affects only those members of the PVO community with which it is in contact. Indirectly, however, improvements that result from PVC's work with a limited set of PVOs should have a ripple effect in the PVO community as a whole.

By incorporating all of these important and interrelated aspects of PVO capability to provide sustainable service delivery into its SO, PVC is establishing a clear and direct link between the office's work, and that of its PVO partners, and the kinds of impact that BHR and USAID are broadly seeking. For this reason, PVC has selected sustainable development impacts in priority sectors as its goal. This goal is consistent with, and essential for, the achievement of USAID's overall aim of sustainable development. In the process of developing this plan in consultation with its PVO partners, it became apparent to PVC that a number of PVOs have stepped away from direct service delivery and are working increasingly with NGOs and other local partners to address development priorities. Although PVC wanted to incorporate these efforts to strengthen NGOs and other local partners into its results framework, it viewed the achievement of this type of objective as being one step beyond its manageable interest at the time. To accommodate this situation, PVC decided to establish a separate subgoal that reflects the diversity of approaches employed by PVC grantees. This subgoal, which is pertinent for most but not all PVC grantee programs, aims at seeing NGOs and other local partners strengthened. In placing this subgoal along the results path that leads from the SO to the office's goal, PVC is saying that programs can either go through this subgoal, and contribute to its achievement along the way, or they can go around it, as is the case when a PVO or CDO directly delivers services that support broad USAID objectives.

Increasing the capability of PVC's PVO partners to achieve sustainable service delivery encompasses a systematic move away from direct service delivery by US PVOs and progressively

toward the enhanced service-delivery capacity and increased autonomy of their local partners. Inherent in this objective is the transfer of skills and technologies to NGOs. PVC will continue to support efforts toward the "localization" of US PVO country programs while placing increased emphasis on strengthening nonaffiliated NGOs and local government partners. By concentrating on helping its partners "achieve" sustainable development rather than "deliver" services, PVC is "enabling" support for local transfer to happen. PVC has taken care to emphasize "achieve" because its partners work in a variety of ways to ensure the delivery of services. Both the concentration on PVO capacity and transfer to local counterparts are linked to achieving better service delivery. Through matching grant guidelines for 1996, PVC began to encourage PVOs to form partnerships with local counterpart organizations using structured agreements that detail the roles and responsibilities of both parties. PVC is building on that foundation by calling on PVOs whose programs PVC supports to strengthen the participation of local partner organizations in their programs. PVC has learned that many of its partner PVOs are already engaged in the transfer of skills and resources to NGOs. PVC's role in facilitating local capacity building is to assist PVOs along this path. It is at the subgoal level that PVC is focusing on the important area of NGO strengthening, facilitating the inclusion of local capacity development in PVO programs and encouraging the transfer of PVO resources to local counterparts.

Supporting the achievement of its SO, and the subgoal and goal that reach beyond the level of PVC's manageable interest, are five intermediate results (IRs), each of which contributes to the achievement of PVC's SO. These IRS build on the traditional strengths of the office while cutting across the grant programs PVC manages in a way that PVC anticipates will be both catalytic and synergistic. The five IRS on which PVC will concentrate its efforts include the following:

- **Operational and Technical Capacity of US PVOs Improved.** This IR focuses on the capacity of the individual PVOs and CDOs with which PVC works. Improvements in the professional skills of PVO staff as well as in organizational systems and the application of "best practices" are envisioned.
- **Strengthened Partnership between USAID and US PVOs.** This IR recognizes the importance of dialogue and collaboration in the relationship between USAID and US PVOs. It builds upon the catalytic role that PVC has played in promoting policy and programmatic improvements that are already being forged between the Agency and the PVO community.
- **Strengthened US PVO and NGO Partnership.** This IR reaffirms the importance of strengthening NGO capacity and building upon the efforts that many PVOs are already making to structure partnerships that help shift the capability and the responsibility for sustainable service delivery to their NGO partners.
- **Improved Mobilization of Resources by PVC's PVO Partners.** This IR acknowledges the need for greater efforts on the part of the PVO community to diversify its income sources. The IR envisions steps PVC can take to assist PVOs in mobilizing the resources that will be needed to expand upon current programs and promote sustainability.
- **US Public Awareness Raised.** This IR focuses on the responsibility that PVC and the PVO community share with respect to ensuring that the American people understand the intentions and impact of development programs, particularly those that US PVOs and their local NGO partners carry out in collaboration with USAID.

PVC's strategic objective and the results framework of which it is a part reflect the office's primary mission: to strengthen the development capabilities of US PVOs. PVC's results framework also includes a focus on the results that actually reach people. At the SO level, the phrase "achieve sustainable service delivery" is intended to suggest the importance PVC places on seeing both PVOs and their NGO partners produce measurable service delivery outcomes. Microenterprise credit programs supported by Matching Grants, for example, should result in loans to entrepreneurs who might not otherwise have access to credit. Service delivery is a clear objective of the PVC plan, and a primary responsibility of PVC grantees, at the SO level.

** PVC Results Report**

PVC's competitive grants programs are the main mechanism for PVC to implement its strategy,

and therefore it is critical for PVC to be able to demonstrate solid and convincing results from its grants programs. The office judges its success in achieving the objectives of its strategic plan by reporting annually on key performance indicators, which are related to its strategic objective and intermediate results. The impact and results achieved by the PVOs in the various grants programs in relation to these key indicators are consolidated by PVC and reported to USAID senior managers in an annual **Results Report**. This information is the foundation for the PVC's budget request and is incorporated into USAID's annual Results Report to Congress.

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January 17, 2002

E. Anne Peterson
Assistant Administrator
Bureau for Global Health

U.S. Agency for International Development

Dr. E. Anne Peterson was sworn in on Nov. 6, 2001, as assistant administrator of the Bureau for Global Health for the U.S. Agency for International Development (USAID). For more than 40 years, USAID has been the lead U.S. government agency providing economic and humanitarian assistance to transitioning and developing countries.

Dr. Peterson provides health leadership to the Bureau for Global Health, which is tasked with technical and program support to field interventions as part of USAID's foreign aid in HIV/AIDS, infectious disease control, reproductive health, child and maternal health, environmental health, and nutrition.

Before coming to USAID, Dr. Peterson served for three years as Commissioner of Health for the State of Virginia. Following the Sept. 11, 2001, terrorist attacks, then-Virginia Gov. James Gilmore called upon her to address the crisis caused by the attack on the Pentagon and subsequent anthrax bioterrorism.

Dr. Peterson has an extensive background in both U.S. and international public health and medical practice. She has served as a consultant to the Centers for Disease Control and Prevention and the World Health Organization in Haiti and Brazil, designing elephantiasis treatment training materials and evaluations of educational interventions. She has spent almost six years in sub-Saharan Africa (Kenya and Zimbabwe) doing community development, public health training and AIDS prevention, as well as performing U.S.-based research in chronic disease prevention, outbreak investigations and food safety. The author of numerous scientific publications, Dr. Peterson has spoken extensively on the national and local levels to community groups, scientific meetings and legislative committees on a range of health issues.

Dr. Peterson obtained her M.D. from the Mayo Medical School in Rochester, Minn., and her M.P.H. and Preventative Medicine residency from Emory University in Atlanta, Ga. She is board certified in General Preventive Medicine and Public Health with medical licenses in Virginia, Georgia, Minnesota, and Zimbabwe. She has a bachelor's degree from the University of Washington in Seattle.

Dr. Peterson and her husband, also a public health physician, have three teenage children and live in Northern Virginia.

The complete **User's Guide to USAID/Washington Population, Health, and Nutrition Programs** is available on the USAID intratnet at: **http://inside.usaid.gov/G/PHN/other/ug2002.pdf**

Users' Guide to USAID/Washington Population, Health and Nutrition Programs

Center for Population, Health and Nutrition
Bureau for Global Programs, Field Support and Research
U.S. Agency for International Development

August 2002 - Interim Update
Electronic v2.0

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The Population, Health and Nutrition Center's (PHNC) program focuses on improving the quality, availability, and use of key services in family planning, reproductive health, child survival, HIV/AIDS, infectious diseases and other health areas, with special cross-cutting emphases on sustainability, gender and integration of interventions.

Funding

USAID strongly supports PHN activities through a variety of programs in many countries. From 1985-1998, USAID provided approximately $11.6 billion in PHN assistance to developing countries, making it the largest international donor in this sector in the world. In FY 1999, appropriations for the sector totaled $836 million.

Programming and Resource Allocation

In addition to organizing priorities around its five strategic objectives, the PHNC has focused on selected priority countries. These countries, as shown in the **Joint Programming and Planning Country (JPPC) Strategy**, are selected on the basis of program efficiency and potential impact, as well as any special considerations.

Joint Programming countries are those with the highest potential for worldwide (as well as local or regional) impact in the PHN arena. A significant level of PHNC resources, both in terms of technical staffing and field support, are committed to achieving results in these countries. **Joint Planning** countries are other sustainable development countries with lesser global impact, but which have important PHN sector activities and can access PHNC technical support through field support funding. Certain countries are termed **Special Circumstance** countries because of investments made to date, policy considerations, or crisis conditions.

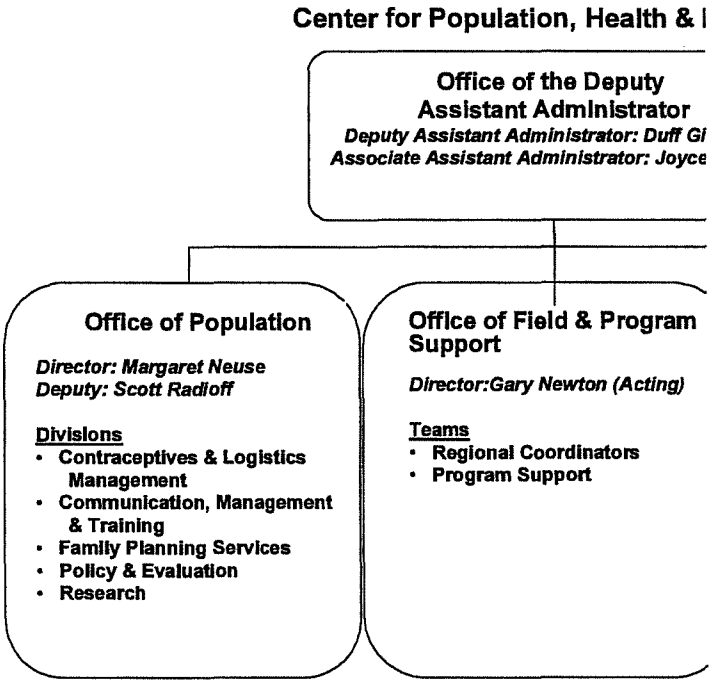
Agency Structure

Along with four Regional Bureaus (Africa; Asia & Near East; Latin America & Caribbean; and Europe & Eurasia) and the Bureau for Humanitarian Response (BHR), USAID's **Global Bureau** provides technical and programmatic expertise to USAID's field offices ("missions") overseas. Formally called the "Bureau for Global Programs, Field Support and Research," the Global Bureau is divided into five "Centers of Excellence." The PHNC is one such Center, and corresponds to one of the Agency's five focus areas.

The Global Bureau focuses on **global leadership, technical support to the field, and research and evaluation**. The PHNC performs these functions by forging strong relationships with its partners, which include USAID field missions and regional bureaus, the NGO community, host governments, multilateral organizations, foundations and other bilateral agencies.

Structure of the PHNC

The PHNC is composed of **the Office of Population, the Office of Health and Nutrition, and the Office of Field and Program Support,** with complementary objectives and activities.. Each office contributes to the Agency goal of stabilizing world population and protecting human health. The divisions and their functions are described below.



The Office of Population (POP):

Contraceptives and Logistics Management Division (CLM): Provides a centralized system for contraceptive procurement, maintains a database on commodity assistance, and supports a program for contraceptive logistics management.

Communication, Management, and Training Division (CMT): Increases the awareness, acceptability, and use of family planning methods and expands and strengthens the managerial and technical skills of family planning and health personnel.

Family Planning Services Division (FPSD): Increases availability and quality of family planning and related reproductive health services through strengthening government programs, local private voluntary organizations, for-profit organizations, and commercial channels.

Policy & Evaluation Division (P&E): Collects and analyzes family planning and other reproductive health information; improves the policy environment for family planning and reproductive health services; and strengthens methodologies for evaluation of family planning and reproductive health programs.

Research Division (R): Supports biomedical research to increase understanding of contraceptive methods and to develop new fertility regulation technologies and conducts operations research to improve the delivery of family planning and reproductive health services.

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GDA at a Glance

>> Global Development Alliance Homepage >> GDA at a Glance

- **Increased emphasis on public-private alliances as an important business model for USAID to effectively deliver foreign assistance.**
- **Actively seeks to leverage new partners; new resources; new technologies; new ideas.**
- **Builds on past successes in alliance building.**
- **Includes a small incentive fund to leverage new partners and new results.**
- **Is guided by a small secretariat reporting to the Deputy Administrator.**
- **Implementation remains with agency operating units.**
- **Not a replacement for everything USAID does (alliances are not appropriate or available in all situations.)**

Global Development Alliance

Alliance Guidelines for USAID Staff

The following guidelines are intended to assist USAID staff who are currently engaged in, or are considering engaging in, forming alliances. They reflect the deliberations of a cross section of Agency staff, some of whom have direct experience in forming alliances with Agency partners, including private businesses.

I. GENERAL PRECEPTS FOR FORMING ALLIANCES

- A. GDA alliances are expected to bring significant new resources, new ideas, new technologies and/or new partners or using existing partners in new ways, to address development problems in countries where USAID works. For example, simply giving a grant to an NGO or other partner does not constitute an "alliance" as it is defined for GDA purposes.

- B. There is no pre-defined minimum or maximum number of partners; each alliance will be different. There are many categories of potential alliance partners (see list in Annex A).

- C. Alliances must clearly establish up front how the interests and objectives of each party converge. This expression of interests and objectives should then lead to an operational plan that, if successfully implemented, will produce clearly defined development results.

- D. Fairness and transparency are overarching principles in forming alliances. Exploration of possible alliances should take place in a transparent manner and should involve wide consultation with possible partners. Particularly in instances in which USAID initiates a proposed alliance, we must be certain that our planning identifies and reaches out to the full range of possible partners, taking into consideration the expected purpose and scope of the alliance. At the same time, we should remember that complexity increases with the number of partners, and make every effort to agree on an alliance whose size and governance structure are manageable. Alliances that are expected to include commercial firms should offer the opportunity for participation to other interested commercial firms.

- E. During discussions with alliance partners, USAID staff must be aware of the point at which planning for an alliance or alliance-supported activities is likely to lead to the award of a contract or grant and ensure that applicable procurement rules are followed. If there is the possibility that an alliance partner also might seek the award of a USAID contract or grant in connection with the program supported by the alliance, potential organizational conflict of interest issues will need to be addressed. A GC/OP group will provide ongoing assistance to those involved in forming alliances.

- F. GDA alliances should not simply be grants to organizations that have expressed an intention to seek third party partnerships that are not yet formed. USAID funding should not be provided [suggest using obligate or committed) until the key parties are already at the table and willing to clearly state what they will be contributing. GDA alliances are not grants for fundraising.

- G. Trusts and endowments that have a clearly defined development objective are legitimate GDA alliance activities. However, it should be noted that the approval process

for these mechanisms has usually proven to be complex and time consuming.

- H. USAID need not always be the initiator of alliances. In some cases, USAID may be asked to join an alliance that is already formed or being formed.

- I. Agency staff who may be thinking of contacting major foundations or corporations are encouraged to first contact the GDA Secretariat or their appropriate backstop office in Washington before doing so, in order to avoid a lack of coordination within USAID in interacting with such groups.

- J. Like all investments in development, alliance activities at the country level that actively involve local leadership and local beneficiaries in design and implementation are the ones most likely to be successful and sustainable. Simply bringing new partners into the equation does not ensure that the development activity is more likely to succeed; local ownership, leadership and beneficiary participation are still keys to success.

II. LEVERAGING RESOURCES

- A. GDA alliances are usually looking for significant leveraging; at least a one- to- one match. In addition to direct financial resource contributions, in-kind resources, intellectual property, implementation know-how, and technical assistance are also valuable contributions to leverage. As a general rule those proposals that involve the greatest leveraging of outside resources, and which address an important development problem, will be given preference for USAID funding.

- B. Alliance proposals must clearly specify what each party is contributing. Non-monetary contributions may be hard to quantify (just as USAID contributions will not always be easily quantifiable in dollar terms). Nonetheless, a serious attempt should be made to attach a dollar value whenever possible. When that is not possible, the non-dollar contribution, and why it is significant, needs to be clearly spelled out.

- C. While alliance proposals must specify what each party is contributing at the outset, it is also recognized that lasting alliances are living, changing entities. Some alliances will start small and expand over time as the alliance matures and succeeds, trust is built, and the benefits to the partners become clearer. Therefore, monetary and other contributions may not necessarily all come up front. If there is an expectation that additional resources will be forthcoming over the life of the alliance, the proposal should state what the expectations are, and why it is realistic to believe the additional resources will materialize.

III. DUE DILIGENCE BEFORE ENTERING INTO ALLIANCES AND CONSIDERATIONS FOR FOREIGN POLICY AND DEVELOPMENT OBJECTIVES

- A. It is essential to exercise due diligence before entering into alliance arrangements, particularly with regard to alliances with individual private businesses. In order to ensure that the interests of all alliance partners are protected, the track record, objectives and reputation of all alliance partners need to be examined. The GDA Secretariat is available to provide assistance in this due diligence function.

- B. The GDA Secretariat recommends that USAID staff consult Tools for Alliance Builders, which offers in-depth information on due diligence processes. In addition, in July 2002, USAID gained access to the Inter-Agency Corporate Information Tool (ICIT) software package to assist staff in conducting due diligence.

- C. The foreign policy/development objectives being addressed by the proposed alliance need to be clear at the outset. As the alliance activity proceeds, USAID staff should periodically review progress and report on results from the prospective of the stated objectives, to ensure that foreign policy and development objectives remain in the forefront.

IV. ALLIANCES AND USAID STRATEGIC OBJECTIVES

- A. In most cases, there should be congruence between an alliance and the approved strategic objectives of the operating units that create or manage the alliance. Thus, alliances generated by Missions or those in which Missions are key partners should generally be aligned with Mission SOs. Those emanating from regional or Washington units should, at a minimum, be reflective of the SOs at those levels. Exceptions should be justified on a case-by-case basis.

- B. There may be some alliances that originate from regional or Washington units for which congruence with individual Mission SOs, and full Mission involvement, is not always possible. For example, some major alliances already exist that focus on regional or worldwide problems, and have the potential to leverage major funds from others. Missions may not have been fully involved in forming these overall alliances. In the context of these types of alliances, cases may arise where other alliance partners wish to undertake activities in a particular country where the activity is not an easy fit with the USAID Mission SOs. Flexibility will be required in situations of this nature, and close coordination with the field mission is desirable where possible.

- C. It will be critical to bear in mind country-level management burden issues in cases of regional or Washington-initiated alliances. Management at the field level, and issues of reporting, monitoring and coordination with other USAID mission activities need to be explicitly addressed.

V. ALLIANCES AND NON-PRESENCE COUNTRIES

Broad, multi-country alliances that address priority development issues may be undertaken in non-presence countries, and it is very likely that some will do so. However in a number of categories of non-presence countries, such as those specifically excluded by law or policy, those that have "graduated" from USAID assistance, or those with severe conflict and security considerations, to name a few, it may not be possible to form or manage alliances. Missions and operating units working on forming alliances will need to examine plans for activities in non-presence countries with these factors in mind, and take account of the possibility that work in a particular country may not be approved or possible.

VI. ALLIANCE RESULTS REPORTING

Operating units report on alliances through their Annual Reports. Data on alliances are part of the GDA pillar portion of the Selected Performance Measures Table. Operating units will also be including alliance and public-private partnership reporting in the SO and IR level narratives and in success stories as appropriate. Agency baselines for alliances and public/private partnerships use FY 2002 Annual Reports as their source.

VI. GLOBAL DEVELOPMENT ALLIANCE
ANNEX A

Categories of Potential Alliance Partners:

- Foundations
- U.S., International and Host Country NGOs and PVOs
- Individual U.S. and Multinational Private Businesses, including banks and other financial institutions
- Host Country Private Businesses
- Business and Trade Associations
- International Organizations, including International Financial Institutions
- U.S. Colleges and Universities
- U.S. Cities and States
- Other USG Agencies

- Civic Groups
- Other Donor Governments/Aid Agencies
- Host Country Governments
- Regional Organizations
- Host Country Parastatals
- Philanthropic Leaders including Venture Capitalists
- Public Figures
- Advocacy Groups
- Pension Funds and Employee Welfare Plans

Global Development Alliance Conceptual Framework

>> Global Development Alliance Homepage >> GDA Conceptual Framework

I. Mission Statement

The Global Development Alliance (GDA) is USAID's business model for the 21ST Century - our commitment to change the way we implement our assistance mandate. The GDA will serve as a catalyst to mobilize the ideas, efforts, and resources of the public sector, corporate America and non-governmental organizations[1] in support of shared objectives.

Footnote: 1. Non-governmental organizations include private voluntary organizations, universities, cooperative development organizations, foundations and policy research institutions.

II. Background

In the post-Cold War era, international development remains central to the fulfillment of US strategic interests. Countries and regions where human potential is fulfilled are less prone to violent conflict and instability. Growing economies managed by democratic political systems provide open markets for U.S. goods and services. Globalization removes barriers to the exchange of information, technology, finance, goods and services and if properly managed, can lead to productivity increases and economic prosperity.

The post- Cold War era is also marked by intensified regional and intra-state conflicts, and a marked increase in global health challenges, including HIV/AIDS, tuberculosis and malaria, among others. Both of these phenomena threaten to reverse development gains in many parts of the world.

A. Globalization & Development

1. Developing or transition countries often do not have the resources, knowledge, institutional capacity or commitment to engage in and benefit from the global economy. Globalization does not benefit all equally.
2. Globalization can also exacerbate the gaps between rich and poor, thereby undermining economies and political institutions.
3. The global challenges to development - unbridled population growth, disease, illiteracy, stagnant economies, degraded environments, and undemocratic regimes - are transnational in nature and pose greater threats than ever before.
4. Globalization poses complex challenges and opportunities that call for new institutional structures and processes that span traditional public-private and national-international boundaries.

B. The New Reality

1. The new reality of development assistance is the multiplicity of actors now involved in US international development activities: the federal government; the private for-profit sector; and the non-governmental, or so-called third, sector (private voluntary organizations, universities, cooperative development organizations, foundations and policy research institutions). Official development assistance by the U.S. Government is an important, but not the only, or the greatest, component of international development assistance.
2. Corporate philanthropic giving, including that for international programs, is at an all-time high. Private voluntary organizations (PVOs) have grown in number, reach and capability. (In 1970 there were 18 PVOs receiving USAID funding; in 2000 there were 195). US government official development assistance as a percentage of GNP has dropped from .21 percent to .10 percent over the last 12 years. By this measure, the US government is now

last of all OECD countries, although we continue to be, in the aggregate, the second-largest donor.

3. In developing and transition countries, corporate philanthropy and activism among community, voluntary and non-governmental groups is growing.
4. There is considerable untapped potential for U.S. private industry, faith-based and community organizations, universities, and other groups both in the U.S. and overseas to support the development process in a focused and synergistic manner.
5. Numerous federal agencies, state governments, and even municipalities are involved in development assistance activities overseas. These activities are generally narrow in scope but increasingly involve substantial resources. Public-sector efforts can be better coordinated in order to achieve maximum support of US strategic aims.
6. The capabilities and resources of the public, private, and NGO sectors can also be better harmonized to create a "bigger pie" for international development assistance and to allocate resources strategically.
7. As the lead public-sector agency in development assistance, USAID has the critical role, based on its long experience and continuing presence overseas, of analyzing priorities, supporting host governments in policy reform, implementing development assistance activities, and leveraging private resources to meet US foreign policy goals.

III. Goals & Objectives

The Global Development Alliance (GDA)-USAID's new way of doing business - is based on the recognition of significant changes in the environment of economic development assistance. No longer are governments, international organizations and multilateral development banks the only assistance donors; nor is Official Development Assistance the only source of funding for international economic development. Rather, over the past 20 years, there has been a growing number of new actors on the scene: foundations, corporations and even individuals are now providing development assistance financing, while PVOs and NGOs bring other assets to bear on development challenges. As a result, the U.S. Government is not the only, or perhaps even the largest, source of U.S. funding and human resources being applied to the development challenge.

USAID, however, has a unique international development mandate within the U.S. Government, a critical role within the foreign affairs community headed by the Secretary of State, and unparalleled long-term experience with, and access to, host-country governments. USAID's extensive field presence and technical expertise provide its comparative advantage to catalyze, integrate, coordinate, and facilitate public-private alliances among U.S. development assistance actors. USAID's development objectives will remain unchanged: 1) stimulating economic growth, trade, and agricultural development to reduce poverty and hunger, 2) reducing global health threats, 3) promoting democracy, conflict prevention and humanitarian assistance.

The GDA is a reorientation in how USAID sees itself in the context of international development assistance, in how we relate to our traditional partners, and in how we seek out and develop alliances with new partners. To stimulate movement toward this business model, USAID is using dedicated resources and expertise to forge alliances with the range of public and private actors in the development assistance arena. USAID will continue to deploy resources where private funding is not available and for activities where the governmental role is clear and pre-eminent.

A. Coordinate for Impact.

USAID has formed a Global Development Alliance (GDA) to coordinate and increase the impact of the efforts, resources and interests of the public sector, corporate America, and non-governmental organizations in support of international development assistance and, through it, of US foreign policy goals.

B. Redefine USAID's Role.

Under GDA, USAID's role as the principal funder and implementers of development assistance will evolve to include also being a leader, facilitator and integrator for such activities. USAID is focusing its resources for development assistance, to a greater extent than in the past, on development sectors and activities where private funding is not available or where, for strategic

reasons, direct U.S. government involvement is required. At the same time, USAID is strengthening its ability to mobilize parallel financing from a variety of private institutional partners.

C. Improve the Quality and Extent of Partnerships with Non-Governmental Organizations.

The strength of non-governmental organizations is their ability to deliver services and technical assistance to some of the most disadvantaged populations in many of the countries that USAID operates. In addition, they are especially well positioned to act as mentors and builders of their host-country counterpart organizations. Under the GDA, USAID is simplifying and streamlining procurement practices and providing greater flexibility in implementation of programs. Core support and organizational strengthening grants will be provided to PVOs and NGOs not well established in the overseas development field, linking these organizations with experienced USAID NGO partners. Incentive mechanisms are being developed to encourage innovation and increase non-governmental financing.

D. Leverage Private Financing of Development Assistance.

Over the past decade, it has become clear that U.S. corporations investing or doing business overseas must be good corporate citizens. As a result, many firms find themselves devoting considerable resources to education, health, family planning, environment and other similar programs that are not part of their core business expertise. At the same time, USAID and/or its NGO partners are implementing these types of programs. Therefore, it makes sense to facilitate linkages between the corporate social responsibility programs of U.S. corporations and the social services programs being carried out by USAID and/or its NGO partners. USAID might also assist these partners in strategic social responsibility investments. Special efforts will be made to leverage corporate resources for development by addressing their varied motivations of corporate good citizenship; localized community development to enhance commercial investments; and, social investments or process improvements to comply with local requirements and needs. In addition, USAID seeks to work with the growing number of U.S. foundations and universities with significant resources and interests in addressing overseas development issues.

E. Enhance Policy Reform through Advocacy.

Under the GDA, USAID will actively engage the expertise and resources of U.S. corporations in technology transfer, trade and investment, and policy and regulatory reform. In that way, we have the opportunity and the ability to link the interests of corporations with those of the host country in a manner that will be beneficial to both. Developing country governments often hesitate to carry through with policy reform because the benefits are not immediately evident; on the other hand, corporations are often reluctant to make investments because the policy environment is not favorable, or sufficiently stable, to justify such investments. In this situation, USAID can play a highly constructive role in bringing the all stakeholders together to provide the policy environment conducive to long term economic growth and development.

IV. Operational Plan

A. Structure and Function.

A small unit in USAID/Washington, the Global Development Alliance Secretariat, is responsible for providing guidance and assistance to the missions and bureaus in seeking, negotiating and designing GDA activities. The GDA Secretariat reports to the USAID Deputy Administrator.

While the GDA Secretariat manages the resource allocation process for the GDA Incentive Fund, its principal function is outreach, technical assistance, advocacy, and assessment. The GDA Secretariat itself does not directly manage GDA programs - each activity will be managed by the Agency operating unit most closely identified with the development and objectives of the particular activity.

The Secretariat serves as a "technical office," coordinating outreach to partners, providing

technical assistance on strategic alliance proposals at all levels of USAID, and developing and maintaining intranet and extranet websites.

USAID will seek to augment the GDA Secretariat with people detailed from foundations and industry on a short term rotating basis. This will bring in a constant infusion of advice and experience; will enhance relationships between USAID, foundations and the corporate sector; and, will help in identifying, defining and negotiating specific alliances or GDA activities.

Ultimately, how quickly and well USAID implements the Global Development Alliance will determine whether it makes a lasting and meaningful impact on USAID and its expanded community of strategic allies. In this regard, the work of the GDA Secretariat is significant, and its role extends far beyond evaluating, advising missions and bureaus on, and helping develop alliance proposals.

The GDA Secretariat must also perform three critical functions: (1) outreach to prospective and current strategic partners; (2) in-house outreach and education, and (3) helping identify the need for Agency policies and standards to avoid ill-conceived alliances and partnerships, and to assure fairness and transparency in forming alliances.

B. External Consultation.

The USAID Administrator would establish an executive-level consultative group that would meet periodically to discuss activity of the Agency in its Global Development Alliance approach, and to provide input on corporate, philanthropic, academic, and private voluntary organization developments and priorities. In addition, this group would support USAID's outreach to domestic constituencies and help deepen non-governmental understanding and commitment to international development assistance.

Composition of such an executive-level consultative group would, preferably, include persons not currently working for an entity with a potential direct interest in the implementation, and impact, of the GDA. Members, for example, might include a university president emeritus, a retired senior NGO executive, and/or a retired industry expert. In addition to reviewing, and advising the Administrator and his senior staff on, GDA implementation, this group could be involved in broader sector or country-based strategic priority-setting exercises, ensuring an adequate strategic focus to the GDA activities.

C. Management and Streamlining.

The GDA is an instrument for innovation and management flexibility with the intent of ultimately improving strategic and operational management across the entire Agency. Thus, in implementing GDA, it will be vital for USAID to use to the fullest extent the flexibility and variety of funding and management tools at its disposal.

Missions and bureaus will be encouraged to actively seek new ways of delivering development assistance through alliances. At the same time, it is incumbent upon USAID to streamline the way it does business - its contracts and grants - with its partners. Therefore, in implementing GDA, the Agency will promote use of simplified methods for acquisition and assistance awards. GC, M/OP, and PPC are exploring far-reaching ways to simplify requirements for acquisition and assistance in order to meet the needs of activities under the GDA.

This effort to simplify and make more transparent, however, does not preclude the GDA Secretariat from requesting ad hoc or exceptional authorities, when merited, to expedite the GDA and to pioneer improved modes of doing business at USAID.

D. Programming Areas and Alliance Activity.

Global Development Alliance activities will build on the experience USAID has had in public-private alliances. Alliances will be concentrated on the three pillars of: economic growth, trade

and agriculture; global health; and, democracy, conflict and humanitarian assistance. Alliances will result from active collaboration with partners on common interests, priorities and programming modalities. The GDA Incentive Fund will support a set of large strategic alliances that will have high visibility and widespread impact. A portion of the GDA funding will be reserved specifically for smaller alliances, and for seed resources for alliance formation. Field missions, regional bureaus and central bureaus will be heavily involved in proposal generation, vetting, resource allocation, alliance building and implementation.

The GDA is designed to operate at both the "macro" and the "micro" levels. Strategic alliances can be worldwide and involve dozens of strategic partners. They can also be highly focused and involve only a single country, activity or pair of parties to the alliance. Given USAID's decentralized structure, the GDA Secretariat will be expected to entertain in-house and outside proposals addressing all three levels of Agency operation: country field missions, regional bureaus, and technical centers in Washington.

USAID already has some relevant experience in developing several strategic partnerships in critical program areas. Under the GDA, some of these early successes and best practices will be showcased and new alliances formed. Several alliance examples follow, with additional examples in Annex A.

The Global Alliance for Vaccines and Immunization. The Global Alliance for Vaccines and Immunization (GAVI), is a partnership between the Gates Foundation, which provided a $750 million financial commitment, USAID, international institutions including the World Bank, UNICEF and the World Health Organization, the pharmaceutical industry, and governments from North and South. GAVI is designed to address three problems: 1) every year 30 million children are still not receiving vaccinations, 2) only children in developing countries are receiving new life-saving vaccines, and 3) the current market forces don't encourage the development of vaccines against diseases most prevalent in poorer countries, such as malaria and diarrhea. The GAVI partners have initially focused their efforts on three major areas: moving resources to developing countries to increase immunization; augmenting the generous Gates Foundation commitment; and working with the vaccine industry to modernize the way vaccines are purchased for children in the world's poorest countries.

Chocolate/Coffee Production and Distribution Alliances. USAID has developed, since 1997, a genuinely global strategic alliance with the Chocolate Manufacturers' Association and several key member companies, notably Mars Corporation. A similar global strategic alliance has also developed over the last two years with the Specialty Coffee Association of America (SCAA) and thousands of participating members that spans the gamut from the giant Starbucks to numerous "mom & pop" retailers, roasters and producers. Both industry groups share donors' strategic concern for small-scale tropical farmers and forest conservation. They need a sustainable, environmentally sound, and profitable, community of suppliers of the higher quality commodity on which their industry depends. In turn, USAID has benefited from in-kind contributions of technical assistance, research findings, and preferential purchasing terms to USAID-assisted farmer groups. The chocolate manufacturers, for instance, are contributing over $1 million per year in-kind and in cacao purchasing premia to these collaborative efforts; and similar leveraging of technical assistance and resources is also coming for instance from Seattle's Best Coffee to coffee producers in Peru. USAID activities in at least ten African countries (under the regional African Tree Crop Initiative) and a similar number in Latin America and Asia, are involved in these alliances. More recently, the high-tech information industry has also taken an interest, as a basis for "bridging the digital divide" through e-commerce and remote sensing and geographic information systems (GIS) technologies to assure product source and quality, especially in coffee.

United States Energy Association (USEA) Partnership Program. The Energy Partnership Program promotes efficient, sustainable, and environmentally sound supply and use of energy through the peer-to-peer transfer of market-based approaches and "best practices" for energy system operation and regulations. It is grounded on the voluntary, pro-bono participation of U.S. energy companies and organizations. Under the Energy Partnership Program, USEA has established over 80 utility and regulatory partnerships in 32 USAID-assisted countries. Over 8,000 utility and regulatory executives have participated pro-bono in USEA partnership activities (1/3 from U.S. and 2/3 from overseas). Since inception, 50 U.S. electric and gas utilities and 21

U.S. regulatory commissions have volunteered the time of their senior executives to the program. U.S. partners include Georgia Power, Texas Utilities, Sacramento Municipal Utility District, Pennsylvania Power & Light, PSE&G of New Jersey, Kentucky Utilities, and regulatory commissions from Massachusetts, Ohio, Idaho, Kansas, Oklahoma, Illinois, and Minnesota. In developing countries, these partnerships have resulted in:

- Accelerated restructuring and commercialization of previously state-owned utilities
- Improved regulations for tariff-setting, utility performance standards, efficiency programs and consumer involvement
- Increased efficiency and environmental performance of power generation, transmission, distribution; and energy end-use
- Greater regional cooperation on energy issues.

GAIN The Global Alliance to Improve Nutrition (GAIN) is an alliance of public and private sector organizations seeking to improve health through the elimination of vitamin and mineral deficiencies. GAIN policies and operating structures are currently under development. Preliminary partners include: USAID, The Bill & Melinda Gates Foundation, CIDA, The World Bank, UNICEF, WHO, private food companies, and NGOs/PVOs. GAIN will make grants to developing countries in support of food fortification and other sustainable micronutrient interventions in order to save lives and improve health and productivity. GAIN will combine the strengths of public and private sector organizations to mobilize private industry, international donors, and US foundations in support of food fortification, tapping the expertise and resources of the corporate sector in technology transfer, business development, and trade.

V. Implementation

In establishing the Global Development Alliance, there is the need for both internal and external engagement. Internal engagement will be a process of change management, education, sharing of best practices, training in new skills areas, and provision of incentives. External engagement will involve sharing this new business model with a variety of existing and prospective partners and refining it, as appropriate, in light of their inputs and interests.

A. Within USAID

Development of the GDA concept, while drawing on wide-ranging experience within the Agency, has been limited to a relatively small group of senior USAID staff. There is, therefore, a need for a concerted effort to deepen the understanding among all Agency staff of the purposes, goals and anticipated implementation of GDA. Agency senior staff involved in developing the GDA are making a series of presentations on it to Agency staff and soliciting their feedback. Outside advisors with subject matter expertise in public- private alliances will participate in briefings and educational sessions throughout the Agency. Presentations will first be made to senior staff and agency management followed, for example, by an in-depth round of discussions at bureau-level staff meetings and brown-bag seminars. As the principles for successful alliances and the criteria for GDA proposals are fully established, a half-day training module will be developed for dissemination inside and outside the Agency. The training module will be videotaped and sent to all field missions.

B. Outside USAID

Building understanding of the GDA outside USAID, and awareness of the opportunities that it presents for new public-private partnerships, is a longer-term process. Informal consultations have begun on a small scale with non-governmental representatives. Within the first 2-3 months of its announcement, GDA consultations will become more systematic and more formal feedback will be requested from Agency partners.

Now that there is Administration and congressional concurrence with GDA objectives and proposed funding levels, USAID will organize a formal launch of the initiative. This launch will feature speakers who have first-hand experience in building successful public-private partnerships, and will include invitees from the State Department, OMB, the Congress, and our existing and some of our expected partners.

The initial launch will be followed by an in-depth workshop, designed to highlight successful partnerships and alliances, build support for the objectives, and clarify the issues involved in deepening and broadening such alliances. The workshop will also provide a mechanism for USAID to hear from partners and potential partners regarding their thoughts on GDA, how it should operate, and pitfalls to avoid.

USAID also will initiate a series of presentations both inside and outside the beltway designed to spread the word about GDA and build awareness of the types of alliances and partnership that could qualify for funding.

VI. Key Issues

There are significant human resources, procurement, and legal/policy implications to "doing business differently" in USAID. In order for the Global Development Alliance to be effective, far-reaching reforms and streamlining procedures are necessary. These will benefit not only the new alliances undertaken, but the operation and impact of the Agency more broadly.

A. Human Resources

In the human resources area, to effect a change in how we do business, there must be broad-based understanding and buy-in by the entire workforce. While this is expected as an outcome of the internal engagements described above, making GDA the Agency's business mode will require additional efforts, training and incentives. USAID has a small direct-hire workforce, with limited budget options for growth, and a skill mix resulting from past directions. The Human Resources staff will develop an inventory of skills needed and available, develop recruitment, training and staffing plans to address mismatches. In staffing the GDA Secretariat to lead the change process for the Agency, use of program-funded staffing options will be emphasized. Details from and to foundations, universities, non-profits and corporations will be pursued. Rotations through the Secretariat for New Entry Professionals, Presidential Management Interns and in-service USAID officers will create a broad base of experience and expertise to extend the business model throughout the Agency. Transfer authority from program to OE funding might be sought. Time-limited authority from Congress for personal service's contractors in the GDA Secretariat is also critical while recruitment and training activities develop a new cadre of "alliance workers" for the Agency.

B. Procurement

In procurement, a comprehensive examination of procurement reform is underway. Specific actions related to facilitating GDA operations are as follows.

1. M/OP and GC will explore ways to simplify grant requirements for GDA when USAID funds are commingled with other entities. This would include determining whether some requirements might be eliminated (e.g., restrictions on funding used equipment, rules on source and nationality) and considering changes to OMB cost principles such as making the cost of fund raising eligible.
2. PPC and GC will explore updating of the Agency's endowment guidance and simplification of the approval process.
3. For assistance agreements under the GDA, M/OP will delegate the authority for cost analysis to the cognizant technical officers (CTOs) on a pilot basis. M/OP will develop a checklist for CTOs to perform the cost analysis and review the completed checklist before final award. This should both speed up the process and provide more time for M/OP staff for other functions. If this works well, the process can be used for all grants and cooperative agreements.
4. The HIV/AIDS & Infectious Disease Initiative provides for the possibility of increasing grant making authority of Mission Directors to $2 million for use in circumstances when services of an Agreement Officer are not readily available, subject to legal and procurement office local staff review. This potential for increased authority can be applied to GDA activities as well.

1. Legal and Policy

In the legal and policy arena, GC and PPC will work to clarify the following legal and policy issues affecting GDA. Early and on-going attention to these issues is expected to facilitate GDA implementation considerably.

2. GC will provide guidance on fund-raising, accountability requirements for direct contributions, and programmatic conflicts of interest that can arise from our efforts to engage partners collaboratively.
3. PPC and GC will work with others to review and update, as appropriate, existing policies relating to business partnerships, overseas trade and investment activities (PD-20), endowments (PD-21), and assistance to faith-based organizations.
4. GC and M/OP will define options for joint funding mechanisms and other new forms of agreement to reflect alliance or business partnership relationships.
5. PPC will provide guidance, through its website, on implementation of the Government Performance Review Act in the context of GDA; it will also brief the GDA secretariat staff on Agency policy on activities in non-presence countries.
6. PPC and GC will brief the secretariat on special laws and policies affecting GDA focus areas, such as economic growth, agriculture, health and conflict resolution.

Who's Who in the GDA Secretariat

USAID Home >> USAID's Global Development Alliance

Director, GDA Secretariat: Holly Wise

*Backstop for the **Africa Region** with worldwide sectoral attention to **agriculture** and the **environment**:* Curt Reintsma.

*Backstop for the **Europe and Eurasia Region** with worldwide sectoral attention to **development credit, economic growth, democracy, conflict** and **humanitarian assistance**:* Bryan Kurtz

*Backstop for the **Asia and Near East Region** with worldwide sectoral attention to **education**:* Lorie Dobbins

*Backstop for the **Latin American and Caribbean Region** with worldwide sectoral attention to **health** and **information technology**:* Jack Hawkins

*Outreach to the private sector and the think tank community with secondary responsibility for the **Africa Region**:* Dan Runde

Session Overview DRAFT VERSION 10/23/02
AFR Mission Directors' Conference
November 3-6, 2002
Annapolis, MD

Session 4

- **Title:** Effects of the Reorganization on the Africa Bureau

- **Time:** Monday, November 4 @ 3:45-5:15

- **Speakers:** Lucretia Taylor
  Wade Warren
  Pillar Bureau AAs or representatives

- **Moderator:** Connie Newman

- **Objective:** To gain a full appreciation for how the reorganization will impact the Africa Bureau's functions and technical support to Africa Bureau Missions.

- **Topics to be discussed/questions to be answered:**

- **Associated Documents:**

  - Executive Message: Agency Reorganization
  - Executive Message: Functions of Regional Bureaus, Pillar Bureaus, and PPC

- **Rapporteur:** Carol Grigsby

This message was sent out earlier on 03/28/2002 as an Executive Message. It is being repeated here for record purposes.

ADMINISTRATOR

USAID/General Notice
ES
03/28/2002

E X E C U T I V E M E S S A G E

Subject: Agency Reorganization

I have made several decisions on Bureaus' proposed reorganizations and staffing levels. As the Agency moves through the next phase of the reorganization, I want to reiterate some of the anticipated outcomes of the Agency restructuring.

Transfer of additional program resources to field missions: The Agency's comparative advantage is its field presence. USAID can only be successful in accomplishing its mission if we have qualified technical staff on the ground and an effective and strong field organization. The recently completed portfolio review identified 61 out of 302 projects to move to the field. Additionally, 53 projects will be terminated or phased out, and 57 will be moved to a pillar bureau. The associated funding for these activities will also move to the field.

Increase the number of staff in the field: The number of direct-hire field staff will be at its highest level since 1997 once the Agency reorganization and restructuring is completed due to the allocation of additional FTE to the field. Eighty-two percent of the new positions to be established in FY 02 will be allocated to the field.

Devolve more responsibility for program management to the field: Program management has been overly centralized in Washington in recent years. This year's portfolio review was the first of annual reviews that will lead to increased program responsibilities going to the field when warranted.

Centralize Agency technical leadership and responsibility for technical reviews: Technical expertise has been centralized in the pillar bureaus within USAID/Washington. This change was made to harness and focus the Agency's sectoral work, reduce overlap and redundancy, share lessons learned, research, and encourage cross-fertilization of regional experience. By emphasizing a few key sectors, the Agency will be in a better position to demonstrate its leadership on developing country issues within the international community.

Pillar bureaus will work with all parts of the Agency to develop worldwide strategies and support project implementation in the field. This structural change will also eliminate disputes that often occurred between the former regional and central bureaus, involving technical reviews and, therefore, speed up delivery of assistance in country. A system is being established to monitor service delivery to field missions by the pillar bureaus. Pillar

bureaus will be focused on customer service.

Enhance clarity and strategic focus of regional programs: Regional bureaus will provide advice and guidance to missions on Agency policy and initiatives, strategy development, and programming priorities. Regional bureau staff will also be the primary liaisons with the pillar bureaus to foster integration of the unique economic, social, and political circumstances of the respective regions.

We have not diminished the vital role of USAID/Washington staff in accomplishing the work of the Agency by increasing the emphasis on the field. Strengthening the missions' responsibility for program implementation and putting more resources in the field to carry out that responsibility places the work of development where it belongs--in the developing countries. However, their work cannot be accomplished without a sound support structure in USAID/Washington. Whether in strategic planning, provision of technical expertise, or the allocation of resources, USAID/Washington is a critical component of the Agency's success.

I appreciate your continued patience and diligence in working through the various stages of the reorganization. We must continue to work together as an Agency to deliver the best results possible.

Andrew S. Natsios

Point of Contact: Colleen Allen, A/AID, (202) 712-4040

The following message was released Friday, 06/28/02, as an Executive Message. It is being posted to the Notice database system for record purposes.

USAID/General Notice
ADMINISTRATOR A/AID
06/28/2002

E X E C U T I V E M E S S A G E

Subject: Functions of Regional Bureaus, Pillar Bureaus and PPC

In moving forward with Reorganization, our FY 2004 Budget Request and implementation of our major Agency initiatives, it has come to my attention that there still remains some confusion regarding the respective roles of the Pillar and Regional Bureaus, and how those roles relate to that of PPC. In an effort to add clarity to the situation, we are reissuing the original generic functional statements of the bureaus as they appeared in Reorganization Memorandum #4. They define in some detail the bureaus' respective roles.

We hope this will prove helpful to your further understanding. Thank you for your continued efforts and support.

Bureau for Policy and Program Coordination (PPC)

The Bureau for Program and Policy Coordination (PPC) is responsible for the Agency?s overall policy formulation, planning, program and administrative resource allocation and evaluation systems. It serves as the Agency?s central staff to integrate bilateral economic and social development assistance in a manner consistent with U.S. foreign policy interests and objectives. In this context, the Bureau ensures that budget allocations and program content reflect USG strategic foreign policy interests, Administration priorities, Agency policies, and program performance. PPC houses the Agency?s independent evaluation, performance measurement and development information functions, as well as the Office of the Agency?s Chief Economist. It defines and monitors USAID?s program priorities. Finally, PPC leads USAID interactions with key development partners and other donor organizations.

Additional specific functions of PPC include:

* Clarifying objectives and reviewing appropriate and effective bilateral, regional, and sectoral strategies needed to advance the Agency?s development program in support of USG foreign policy interests; and

* Developing, updating and assuring familiarity and compliance with the Agency?s overall programming procedures.

In carrying out its functions, PPC works closely with and relies on:

* The Pillar Bureaus for technical assessments, policy recommendations and field support;

* The Regional Bureaus for geographic specific knowledge and assessment of foreign policy import of assistance programs, the development of regional and country specific policy, strategy and budget recommendations and portfolio oversight of operating units; and

* The M Bureau to ensure that the Agency?s administrative priorities reflect its policy directions and inform its resource allocation choices.

Pillar Bureaus

There are three Pillar Bureaus: The Bureau for Global Health; the Bureau for Democracy, Conflict, and Humanitarian Assistance; and the Bureau for Economic Growth, Agriculture and Trade.

The three Pillar Bureaus are the locus of technical leadership for the Agency. Their primary function is to provide technical advice and support to the Agency?s Regional Bureaus and field missions, as well as to PPC and other operational offices. The Pillar Bureaus are vested with primary responsibility for research in areas relevant to overall Agency goals and objectives. The pillars investigate and produce innovations and develop pilot projects for wider application. They also draw on knowledge of the most recent advances in their respective technical fields and share that knowledge throughout the Agency.

Additional specific Pillar Bureau functions include:

* Providing technical support and advice for the design, implementation and evaluation of mission technical strategies and programs at the request of Regional Bureaus and field missions;

* Developing technical strategies and providing guidance in the formulation of Agency policy development and resource allocation;

* Designing and implementing selected programs that address newly emerging global issues;

* Developing and managing programs to provide core technical support services for Agency-wide access;

* Maintaining communication with relevant professional communities, the Agency?s development partners, and other USG agencies to keep them apprised of developments in relevant technical fields; and

* Ensuring professional management of the Agency?s technical and scientific staff, including assisting in recruitment, training, assignment, and career development.

Regional Bureaus

There are four Regional Bureaus: Africa, Asia and the Near East, Latin America and the Caribbean, and Europe and Eurasia.

The Regional Bureaus support and provide guidance to the field missions. Regional Bureaus and field missions have responsibility and authority for the design, implementation and evaluation of regional and country strategies and programs. However, Regional Bureaus do not normally manage projects or programs. They operate within the context of the Agency?s overall objectives and priorities, and with the technical support and guidance of the Pillar Bureaus. Regional Bureaus evaluate and approve regional and country programs for the region, and conduct periodic reviews of their performance and progress toward achieving program objectives. They recommend regional and country resource requirements, including operating expenses and food aid, within the Agency?s overall budget process and within the context of overall Agency guidance. Within their regions, these Bureaus are also responsible for ensuring that Agency systems for internal controls and financial management operate efficiently.

Additional specific functions of the Regional Bureaus include:

* Providing regional and country expertise and perspective at all points in the Agency decision-making process;

* Evaluating the managerial performance of bureau and mission staff;

* Providing the principal point of Agency contact and coordination with the Department of State Regional Bureaus and other regionally-focused development organizations within and outside of the U.S. Government;

* Coordinating at the regional and country level with other international donors and financial organizations;

* Participating with the Bureau for Democracy, Conflict and Humanitarian Assistance in supporting the Agency?s response to humanitarian and political crises;

* Managing non-presence programs or any other programs that are not appropriately managed in the field or in other USAID/Washington bureaus;

* Providing regional and country-specific economic analysis support to Agency bureaus, offices and the missions; and

* Representing the Agency on mission/country program issues to Congress.

Point of Contact: Douglas J. Aller, ES/COS, (202) 712-0700

Session Overview DRAFT VERSION 10/23/02
AFR Mission Directors' Conference
November 3-6, 2002
Annapolis, MD

Session 5

- **Title:** Africa Bureau Initiatives will be divided into three sections: Part 1 - information on ag/ed/ac initiatives and Q&As, Part 2 - information on trade and related activities and Q&As, and Part 3 - operationalization, PVOs and Q&As

- **Time:** Tuesday, November 5 @ 8:15-11:15

- **Speakers:** Part 1
  Kevin Bohrer - anti-corruption
  Sarah Moten - education
  Jeff Hill - agriculture

  Part 2
  Juan Buttari - trade
  Pat Fleuret - regional trade hubs
  Dawn Liberi - capital markets
  Vickie Moore - competitiveness

  Part 3
  Jay Smith and Sharon Pauling

- **Moderator:** Lucretia Taylor

- **Objective:** To share information on the objectives, priorities and implementation modalities of Africa bureau initiatives.

- **Topics to be discussed/questions to be answered:**
  Part 1
  - What are the focus/priority countries?
  - How will other donors/GDA partners be brought on board
  - How do the initiatives relate to the regional/bilateral missions' programs?
  - How will initiative results be managed and reported on, and by whom?

  Part 2
  - How does competitiveness, AGOA and capital market development relate to the TRADE initiative?

  Part 3
  - What is the role of the bureau, regional and bilateral missions and platforms and NGO/PVOs in the implementation of these initiatives?
  - What will be the impact of initiatives on mission strategies, programs, budgets and staffing?

- How does these initiatives relate to PRSPs and USAID alignment?

❖ **Associated Documents:**

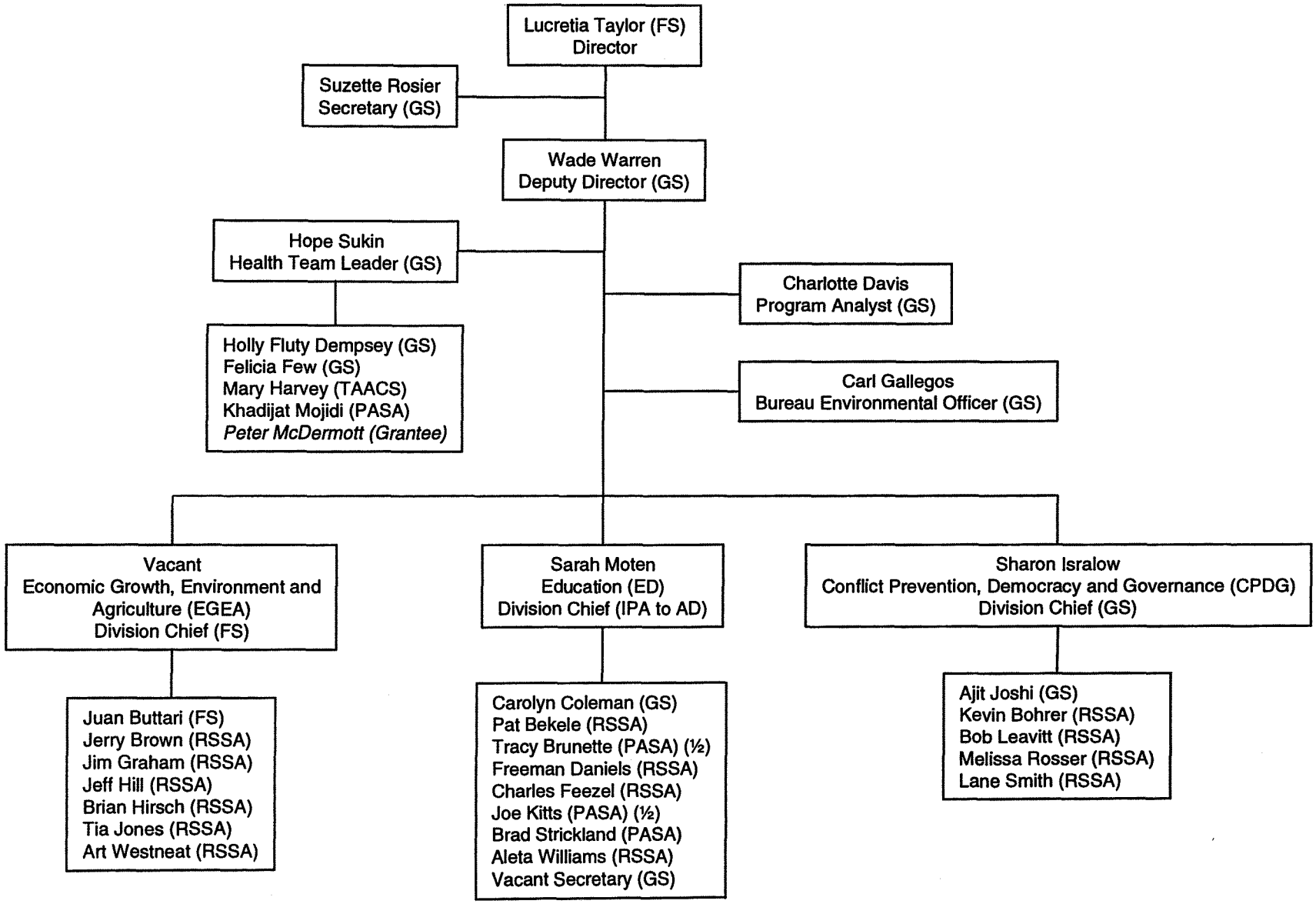
- SD Organization chart
- Anti-corruption Initiative
- Education Initiative
- Initiative to End Hunger in Africa
- TRADE Initiative
- Southern Africa Global Competitiveness Hub

❖ **Rapporteur:** Vernita Fort

Office of Sustainable Development (AFR/SD)

34 Positions

September 2002



Africa Bureau Anti-Corruption Initiative

President Bush is changing the international development assistance discourse among donors and recipient countries from one based solely upon need and U.S. strategic interests to one that also includes demonstrated political will and progress towards increased public participation and democratic open government principles. The Africa Bureau Anti-Corruption Initiative is designed to incorporate all of these elements and to lend targeted support to recent efforts by African leaders to link good governance performance with sustainable development practices.

The linkage between corruption and poor governance is very strong, particularly in Africa where fragile public institutions, weak civil society organizations, the lack of an independent judiciary, inadequately paid civil servants, and hiring and promotion systems that are not merit-based all interact to create a climate in which corruption can flourish. Another factor that sets Africa apart from other regions is the lack of publicly available information on corruption and government processes more generally. Access to communication technology and independent media is limited and governments frequently lack modern methods and tools for data management and dissemination. Without reliable, adequate information, citizens cannot hold government officials accountable for their actions and a culture of impunity leads to systemic corruption.

The goal of the Africa Bureau Anti-Corruption Initiative is to reduce corruption in sub-Saharan Africa by addressing the enabling environment for corruption. To achieve this goal, the Initiative will promote:

- public access to information;
- civic participation in government action;
- transparent and accountable government procedures;
- effective government oversight institutions; and
- public-private dialogue.

The Initiative will support current "African grown" anti-corruption efforts, such as the good governance principles put forward under the New Partnership for Africa's Development and the emergent anti-corruption agendas of various African institutions like the African Union and the Southern Africa Development Community.

A requested level of $7.5 million annually over a five year period will enable the Africa Bureau to support multi-year anti-corruption programs in select USAID-presence countries, thereby complementing existing Mission strategies as well as the new Africa Bureau initiatives in Trade, Education, and Agriculture. The Initiative will fund Bilateral Mission anti-corruption action plans that increase citizen participation and public access to information and increase transparency in key government processes, such as procurement and budgeting, thereby reducing the opportunities for corruption.

In addition, the Initiative will support programs in the Regional Missions to foster regional cooperation among governments and NGOs committed to compliance with anti-

corruption norms, standards, and protocols. Regional programs will also support media and research activities to bolster the environment for peer review among African nations.

Finally, at the Washington-level, the Initiative will facilitate donor coordination, improve information sharing and development of best practices, and strengthen the monitoring and evaluation of anti-corruption efforts in Africa.

The Africa Bureau Anti-Corruption Initiative capitalizes on USAID's comparative advantage within the development community. Other donor programs focus primarily on institutional government-oriented reforms, which by themselves may have limited impact. Experience has shown that anti-corruption reforms, not unlike other fundamental reforms, need strong support from civil society to be sustainable. Broad partnerships within civil society and with government reformers are needed to effectively advocate for, monitor, and sustain anti-corruption efforts. This Initiative will leverage limited donor resources, strengthen existing good governance programs, pilot innovative approaches to combating corruption, and contribute to an emerging set of best practices for improving transparency and accountability in Africa.

Application of Country Selection Guidelines

	Foreign Policy Priority	Favorable Enabling Environment		Government and Citizen Engagement		
Country	USG AID recipient	Governance Matters Index	Freedom House Index	WB Action Plan or Diagnostic	TI Chapter	Country Total
Southern Africa						
Angola	2	3	3	2	2	12
Malawi	**2**	**1**	**2**	**1**	**1**	**7**
Mozambique	**1**	**1**	**2**	**2**	**1**	**7**
Namibia	**3**	**1**	**1**	**2**	**1**	**8**
South Africa	**1**	**1**	**1**	**2**	**1**	**6**
Zambia	**2**	**2**	**2**	**1**	**1**	**8**
Zimbabwe	3	3	2	2	1	11
West Africa						
Benin	**3**	**2**	**1**	**1**	**1**	**8**
Ghana	**2**	**2**	**1**	**1**	**1**	**7**
Guinea	2	1	2	2	2	9
Liberia	3	2	2	2	2	11
Mali	**2**	**2**	**1**	**2**	**1**	**8**
Nigeria	**1**	**3**	**2**	**1**	**1**	**8**
Senegal	2	2	2	2	1	9
East and Central Africa						
DRC	3	3	3	2	2	13
Eritrea	2	3	3	2	2	12
Ethiopia	**1**	**2**	**2**	**1**	**1**	**7**
Kenya	**1**	**3**	**2**	**1**	**1**	**8**
Madagascar	3	3	1	2	1	10
Rwanda	3	3	3	2	2	13
Tanzania	**1**	**2**	**2**	**1**	**1**	**7**
Uganda	**1**	**2**	**2**	**1**	**1**	**7**

*See attached page for description of indicators and ranking system.

Three sets of criteria were used to compile a list of priority countries in each region. High priority countries are those that best satisfy all or some of the following criteria: (i) Foreign policy priority; (ii) Favorable enabling environment; and (iii) Government and citizen engagement on anti-corruption issues.

Foreign policy priority is measured by the total USG assistance, including all but military assistance, over the last 10 years (Source: U.S. Department of State). Countries were given a rank of 1-3, indicating that they fell into the top (1), middle (2), or bottom (3) third of the list.

Favorable enabling environment is measured by both the ranking on the World Bank's Governance Matters index (presented as a scale ranging from 1 to 3 with a score of 1 representing a better governance ranking on the index) and the ranking on the Freedom House index (1 = free, 2 = partly free, 3 = not free).

Government and citizen engagement on anti-corruption issues is measured by the existence of a Transparency International chapter (1 = yes, 2 = no) and the completion of a World Bank action plan or diagnostic survey (1 = yes, 2 = no).

Following the criteria described above, those countries that score 8 or below on the composite index have the highest priority for funding.

Priority Countries by region:
Southern Africa: Malawi, Mozambique, Namibia, South Africa, Zambia
West Africa: Ghana, Nigeria, Benin, and Mali
East Africa: Ethiopia, Kenya, Tanzania, and Uganda

The Africa Education Initiative

USAID was asked by President Bush and Secretary of State Powell to develop an initiative addressing education in Africa. President Bush announced the Initiative in a speech given at the World Bank on July 17, 2001. The President stated:

"Literacy and learning are the foundation of democracy and development... [T]oday I am directing the Secretary of State and the Administrator of the Agency for International Development to develop an initiative to improve basic education and teacher training in Africa, where some countries are expected to lose 10 percent of the teachers to AIDS in the next five years."

Background

On June 20, 2002, President Bush formally announced his Africa Education Initiative at the Leon Sullivan Summit and his intention to provide $200 million over the next five years (FY 02 – 06) in support of education in sub-Saharan Africa. These funds are in addition to the EDDI program funding (currently slated for close out September 30, 2003) as well as the Bureau's core Basic Education programs funding.

In developing the Initiative, AFR/SD has taken the best of the EDDI program and the Basic Education program, considering the African educational needs, to form the Africa Education Initiative. Specifically, the Initiative will:

- Train more than 160,000 new teachers and provide in-service training for more than 260,000 existing teachers.
- Partner with Historically Black Colleges and Universities in America to provide 4.5 million more textbooks and other learning tools for children in Africa;
- Provide 250,000 scholarships for African girls; and,
- Increase the role of parents in their children's education by working to make school systems more transparent and open to reforms from parents.

Initiative activities will address one or more of the above issues, but also take into consideration, if appropriate, the impact of HIV/AIDS on the education system. In general, Initiative activities will need to show results over the short-term, but activities contributing to longer-term improvement in African education systems will also be important.

Although the details of Initiative management are yet to be finalized we anticipate that there will be an Advisory Committee working with other USG Agencies (Department of Labor, U.S. Dept of Agriculture, Peace Corps, the Department of Education, etc.) to achieve the full potential of this Initiative. Four themes will be the guiding principles for initiative implementation. The Initiative will:

- Engage constructively with African leaders, the international development community and US interest groups to raise awareness, receive input on the initiative and build support for the initiative;
- Build upon EDDI country teams to facilitate management and implementation of the Initiative.
- Monitor performance and report results on a timely basis.
- Innovation in the design and delivery of programs.

FY 2002 Obligations

The Initiative began with a modest $15 million. In order to respond to White House guidance these funds were allocated as follows:

$6.0 million has been contracted to GovWorks to begin the contracting process with Hampton University who will assume the role of fiduciary partner for the Textbook and Learning Materials Development, Production and Dissemination emphasis area. Elizabeth City State University will work closely with Hampton to identify an additional 2 private and 2 public Historically Black Colleges and Universities.

$4.0 million has been obligated to augment the girls' scholarship mechanism begun under the Education for Development and Democracy Initiative.

$1.0 million is earmarked to support the Takalani Sesame TV/Radio program to introduce Kami, the new HIV-positive Muppet character.

$4.0 million for teacher training was transferred to Benin, Ghana, Guinea, Malawi, Mali, Nigeria and Zambia to support ongoing activities.

The Future

AFR/SD/ED is currently developing operational guidelines for the Initiative by engaging in dialog with African partners and USAID Mission personnel. It is our intent to allow missions to submit specific, concise proposals supporting or expanding your existing education activities. We anticipate including all African USG program countries will be required to meet identified targets for the Girls' Scholarship component of this Initiative.

For questions/concerns please contact Dr. Sarah Moten, Acting Education Division Chief.

Africa Education Initiative

Increasing community involvement in education
Concepts and strategies
Draft

Community participation in the education of children has proved time and again that it is key to promoting and sustaining the quality and efficiency of education services, as well as equity for girls and disadvantaged youth. Various alternative education models have been developed and implemented in most African countries, which have indeed improved the quality of learning and increased access of girls and boys to education.

All USAID education programs currently include a community participation component that promotes the involvement of parents in the school and in the education of their children, whether on a pilot basis or a long-term basis.

The Presidential initiative aims at funding innovative activities that will complement USAID education programs and long-term goals. The purpose of the initiative is to:

- Increase the quality of education through improved teacher training and curriculum development
- Expand access to basic education and improve readiness of all students to learn, especially girls
- Enhance the delivery of formal and non formal education through the use of information communication technology
- Promote community leadership and community involvement in education

The issue of HIV/AIDS, which affects all efforts to increase and strengthen education in Africa, is a crosscutting theme found in all components of the Initiative.

A. Rationale for community participation in education

Community leadership and involvement in education have taken many forms, all of which have shown successful results:

- In formal school settings, parents have taken ownership of their school and have become managers of facilities, equipment, and staff. They have also learned to monitor the quality of teaching and learning, leading to improvements in student achievement
- In non-formal education settings (village schools, literacy centers, youth education centers), parents and communities have developed and managed alternative education services to children as well as parents', through literacy and life skills training
- Within community support, parents have responded to the challenge of educating all children and have learned about equity of schooling, especially for girls, and transparency and accountability in the governance of education services

- When the community addressed the issue of HIV/AIDS, parents and children alike have engaged in preventative behavior
- Parents have learned to advocate for better support from governments and coalitions, and to lobby governments for education reform, policies and accountability
- Communities have formed networks and associations such as federations of PTAs, to carry out advocacy and lobbying activities in favor of education

B. Community participation in current USAID education programs

In collaboration with governments and NGOs, and at varying degrees depending on country programs, USAID currently promotes community involvement in education through:

- Community schools: communities build, rehabilitate and manage school infrastructures; a school committee or parent's association manages the school, including financial and staff management; they purchase and manage school supplies; they monitor teacher and student attendance; they recruit teachers and support their in-service training; they ensure that girls attend school. USAID has approximately 4900 community schools in operation in Africa
- Training of parents' associations through NGOs: school boards are elected democratically; they are trained in governance and financial skills as well as school management, and advocacy
- Collaboration with NGOs: parents and school committees collaborate with NGOs to identify needs, address issues related to the community or to linkages with local or regional authorities, acquire new skills through training; NGOs facilitate the formation of coalitions of parents' associations who learn to advocate for better education services, accountability and transparency
- Resource centers: communities learn to manage resource centers to allow access to information technology for schools
- School health programs whereby communities learn to manage school feeding programs in poor and drought sensitive areas or in transition countries

C. The Presidential Initiative

The following activities can be supported by the Initiative:

- Promoting community participation to deliver and manage education services in underserved areas for at risk groups: nomadic, HIV/AIDS affected, urban disadvantaged or street children, as well as in transition countries where education services have been destroyed
- Expanding and scaling-up community school programs in areas that suffer from low enrollment rates and high drop out rates, esp. for girls, and strengthen capacity of school management committees to engage in school quality issues and activities

- Innovating with community-based management of public funds to support schools in partnership with government
- Innovating with community-based management of private funds to support public schools in partnership with government and private sector
- Support to women's leadership in school management committees and training in management and advocacy skills, through women-focused literacy
- Delivery of civic education training for students
- Support to projects that aim at including HIV/AIDS in school community and parents' associations training; and facilitate community dialogue with educators on how sexuality and HIV/AIDS prevention should be addressed in the classroom
- Community mobilization to initiate dialogue with teachers and students about HIV/AIDS prevention and create local demand for HIV/AIDS and life skills curriculum
- Innovative community-based delivery of formal and non-formal basic education to orphans and other HIV-affected children, especially girls
- Exchanges between parents associations and discussion forum for parents within specific identity and language groups
- Delivery of community schooling and alternative education based on lessons learned; alternative delivery learning methodology also includes distance education (radio and information technology) for teachers and students, peer coaching and mentoring programs for youth, integrating formal and non formal strategies to educate youth and their parents
- Community-based coordination of life skills education and children's health programs in school
- Provision of literacy training for adults and out of school youth in synergy with health and democracy and governance programs; literacy training should be linked to school activities and lifeskills learning contents, so that parents, illiterate siblings and in school children, can support each other and the community's educational activities
- Creating and sustaining resource centers for education: the resource centers can be based in a school to provide access to relevant information through the use of information technology and radio instruction; the resource centers would benefit communities as a whole but will also target teachers so they can have access to educational resources they can use in the classroom; school clusters can be strengthened through this approach
- Developing community managed alternative education programs for HIV/AIDS affected youth and care takers: prevention, support to affected youth, as well as basic academic and vocational skills and life skills education; creating safe schools with community support
- Building the capacity of parents associations to advocate for better education services, collaborate with government authorities, evaluate performance of their community-based programs, demand accountability and transparency when needed, and participate in policy dialogue to influence education policy formation

- Integrating girls scholarships programs into community education activities, such as girls with scholarships participating in a girls mentoring program or in community-based preschool activities
- In countries in transition, support to communities to integrate conflict prevention and resolution in school, healing and recovery
- Preschool programs managed by the community with government oversight; Un-employed and under-employed graduate students, especially girls, can be trained to become pre-school teachers, teachers' aides, nutrition advisors, school preparedness advisors
- Strengthening linkages between US-based and African-based school committees and communities to build partnerships to improve education

Small grants programs to school committees or parents associations is a recommended funding mechanism to implement such activities and should be managed locally with support to the community from NGOs

NB: these activities are designed so that they can achieve visible and measurable results in a 2 to 3 year span, while still contributing to USAID missions programs and long term education goals.

For Additional Information Please Contact Dr. Sarah Moten, Acting Director, Education Division, Africa Bureau, Office of Sustainable Development: (202) 712-0222, smoten@usaid.gov

INITIATIVE TO END HUNGER IN AFRICA

THE CHALLENGE

The problem of hunger in Africa is widespread, with 1 in 3 people currently undernourished. It is the only continent where the number of hungry is increasing. At the root of the problem of hunger in Africa is poverty. Low per capita income from agriculture is directly linked to hunger. Since poverty limits people's ability to purchase food, while malnutrition and poor health limit their ability to earn income, poverty and hunger form a recurring cycle leading to a low-growth trap. As a significant step to reduce the number of impoverished and malnourished people in Africa, the United States will undertake an **Initiative to End Hunger in Africa**, increasing by over 25 percent—to $148 million—its efforts to raise agricultural production and reduce poverty by 2015. The Initiative is a response to the concern over the low-growth trap in both the U.S. and African countries, and the recognition by the New Partnership for Africa's Development (NEPAD) that agriculture is the most important engine of economic growth for the continent.

PARTNERS

This Initiative calls for a partnership with committed African leaders, with their governments, and with regional organizations, to work and invest in support of a smallholder-oriented, agricultural growth strategy. Long-term, substantial development in Africa also requires commitments from a wide array of partners, including other donors, the UN and other multilateral development institutions, the private sector, universities and other non-governmental organizations. The United States will actively collaborate with these groups and our African partners in this effort which the International Food Policy Research Institute predicts will require an additional $1.2 billion per year from all sources.

Africans

Achieving this goal requires a significant contribution from our African partners, who need to show a strong commitment to investment in the agriculture sector, evidence of a positive trend in their economic and agricultural performance indicators, and a supportive policy and institutional environment. Regional organizations are also expected to play an important role in building partnerships between neighboring countries, opening markets, and creating the mechanisms and opportunities for countries to gain mutual benefits from advances in science and technology. They will also have to work to improve competitiveness in global markets, and promote ties that allow them to respond quickly and effectively to food crises in the region.

Other Donors

A key aspect of this Initiative is engagement with the international development community to build support for an increased level of effort to develop African agriculture. Closely related to this is the need to create coherent strategies and programs with other donors and governments, harmonizing the development efforts of all of these diverse communities.

MDBs

The Initiative calls upon the MDBs to support both agricultural programs and the infrastructure necessary to promote more efficient markets and trade. Support for agricultural programs will be both relevant and important to their poverty reduction strategies. The Initiative will highlight the linkage of agriculture with other sectors and help create effective means to tackle poverty.

Private Sector

The expertise and resources of the private sector will be employed in technology transfer, trade and investment, and policy and regulatory reform, to ensure that the Initiative is sustainable and that donor dependence is ultimately reduced. With the private sectors' growing capacity for research and implementation, new partnerships between African public R&D institutions and the private sector can be forged to capture synergies and comparative advantages.

Universities and IARCs

Technological change is crucial for successful agricultural growth. U.S. universities and IARC's will supply these critically necessary innovations. In the short term, they can provide the technologies needed to increase production by the small farmers of disadvantaged regions. In the long term, they will support the institutional and human capacity development needed to increase Africa's own technological capabilities in the agricultural sciences and build a new global network of agricultural scientists.

In 2003, USDA Secretary Ann M. Veneman will host a ministerial-level international conference on agricultural science and technology highlighting the importance of partnerships for improving access to new technology.

THE STRATEGY

The Initiative partnership will work to **empower African farmers** in key countries and regions by increasing their **access to both new technology and markets**. The United States will contribute to the Initiative's efforts to **harness science and technology for**

African farmers' by increasing funding from $30.5 million to $53 million next fiscal year. We will also increase our investment to **unleash the power of markets for Africa's small farmers** by two-thirds, from $25 million to $37 million. The Initiative's goal is to **double production of the basic food crops** that make up African diets and increase family incomes.

Initial efforts will concentrate on **a key country in each of three regions**: **Uganda** in East and Central Africa, **Mozambique** in Southern Africa, and **Mali** in West and Central Africa. These countries are leaders in policy reform, public investment, and government commitment to agricultural growth and poverty reduction. They are representative of the key economic and agricultural characteristics of their regions. These countries also have the greatest potential for rapidly influencing regional agricultural productivity and economic growth through trade and technology diffusion. The Initiative will be expanded in the future to include a total of nine countries.

HARNESSING SCIENCE AND TECHNOLOGY FOR AFRICAN AGRICULTURE

Africa needs a green revolution focused on the diverse crops and conditions that face African farmers. Science and technology can help bring more nutritious, higher yielding, and stress-resistant varieties of such key staple crops as cassava, cowpea, banana, sorghum and maize, along with more productive livestock (beef, dairy, poultry) for growing urban populations, to African farmers. It will also help reduce seasonal risks faced by small farmers, that often bring a "hungry season" fueling conflict. Increased production can raise household incomes, improve food security and provide a buffer against famine.

To reach this goal, the U.S. will invest new funds to develop and disseminate technology, train African agricultural leaders, improve access to science and technology and enhance micronutrients in staple crops by:

- **Doubling to the investment in developing and disseminating technologies appropriate to African agriculture**. Key programs could include:
  - Expanding the Technology Applications for Rural Growth and Economic Transformation (TARGET) Program to improve farmers' management of crops, soils, livestock, trees and other natural resources;
  - Increasing investment in long-term collaborative research with the Consultative Group on International Agricultural Research (CGIAR) and U.S. universities to improve drought, disease and pest resistance in bananas and plantains, in addition to on-going work on maize, cassava, cowpea, livestock and rice;
  - Encouraging other CGIAR donors to increase their contributions; and

- Investing in regional and national research program enhancements in the three target regions to improve seed and processing technologies for sorghum, rice, maize, bean, root crops, potato and sweet potato and vegetables

- **Helping shape the new generation of African agricultural leaders and scientists** by investing in:
  - Short-term and degree training programs in the United States;
  - Linkages between U.S. universities and key African national and regional universities, and research institutions;
  - Degree-granting distance training programs at the major agricultural universities in each of the three target regions; and
- An expanded USDA Cochran Fellowship program supporting U.S. study tours and short-term training of African scientists, policy makers and other decision-makers.

- **Providing access to the tools of modern biotechnology** through:
  - USAID's new Collaborative Agricultural Biotechnology (CABIO) initiative, which will initially invest in additional research on improved varieties of banana, maize, cowpeas and cassava; in building national biotechnology research programs at the request of the governments of Uganda and Mali; and in helping to establish research and policy programs at the request of regional organizations in West, Eastern and Southern Africa; and
  - The African Agricultural Technology Foundation, a partnership between USAID, the Rockefeller Foundation, Monsanto, Dupont/Pioneer, Dow Agrosciences, Syngenta, and Aventis, that will begin operation in 2003 to help develop and disseminate new varieties of Africa-specific crops, by assuming licenses from industry, managing sublicenses, assuming legal liability for licensed technology and providing high quality project management oversight.

- **Improving the micronutrient content of basic African foods** by expanding research, development and dissemination of three key biofortified crops—enhanced vitamin A, iron and zinc maize; enhanced iron and zinc beans; and Vitamin A enhanced sweet potato—working in part through a contribution to CGIAR's Challenge Program on Biofortification

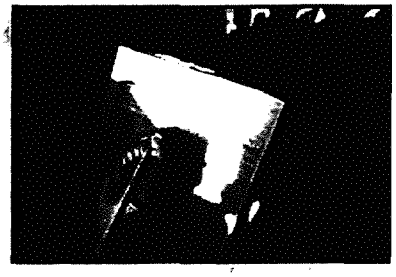
UNLEASHING THE POWER OF MARKETS FOR AFRICA'S SMALL FARMERS

Globalization, trade liberalization and demographic trends are leading to growing markets, as well as new opportunities, for African farmers. In the near term, regional cooperation and integration of commercial systems will boost trade, help meet local food needs and create opportunities for agricultural growth. In the longer run, regionalization

will attract investment and increase competitiveness and efficiency in agriculture, helping African producers compete in world markets.

Our agricultural market and trade development efforts will concentrate on **agricultural policy reform, regional integration, agricultural trade infrastructure and information systems, and agricultural trade capacity building**. We will work directly with the three Regional Hubs for Global Competitiveness President Bush announced last year for east, west and southern Africa. Programs will be oriented toward rural communities and small holding producers, and results will be measured by growing household incomes and the increased value and volume of internal and regional agricultural trade.

- **Agricultural policy reform and regional integration**. We will fund programs to:



  - Improve **regional agricultural policy networks** that strategically analyze policy impediments to greater production and marketing efficiencies in the agricultural and transportation sectors of respective countries, promote harmonization of key agricultural policies, and encourage regional policy reforms;
  - Support **national agricultural policy reform** to remove trade-distorting tariffs and credits; and
  - Improve and harmonize agricultural grades and standards programs.

- **Agricultural trade infrastructure and information systems**, where we will invest to:

  - Expand our program to **develop community based quality improvement centers** that increase rural small holder access to regional and global markets and build linkages with business;
  - Use PL-480 Food for Work programs to **construct, rehabilitate and maintain farm-to-market roads**; and
  - Help develop **market information and decision support systems** for agriculture, that targets investment in agricultural market infrastructure.

- **Agricultural trade capacity building**, where we will invest to:

  - Develop 530 more producer organizations in Uganda, Mali and Mozambique, strengthening both their business capacity and their effectiveness in advocating policy changes; and
  - Improve the ability of the three focus countries to meet sanitary and phytosanitary standards, including support for the establishment of better processing and production methods; testing, inspection, certification and approval procedures; statistical methods and sampling procedures; risk assessment methods; and quarantine treatment.

Trade for African Development and Enterprise (TRADE) Initiative

Beginning in FY02, the Africa Bureau will be implementing a new trade initiative for African countries. President Bush announced the initiative at the African Growth and Opportunity Act (AGOA) Forum in October 2001. The initiative will focus on increasing the engagement of African countries in the multilateral trading system as well as increasing African exports and investment flows into and within the continent. This will be accomplished by focussing on the following six areas:

- Promotion of U.S.-African business linkages;
- Enhancement of the competitiveness of African products and services;
- Expansion of the role that trade can play in African poverty reduction strategies;
- Improvement of the delivery of public services supporting trade;
- Building of African capacity for trade policy formulation and implementation; and
- Strengthening of the enabling environment for African businesses.

Regional Hubs for Global Competitiveness:

The focus of the first phase of the TRADE initiative will be the establishment of three Regional Hubs for Global Competitiveness (Hubs) in sub-Saharan Africa. Hubs will be located in Kenya, Botswana, and Ghana to coincide with the location of USAID's three regional missions and, therefore, take advantage of synergies between USAID's regional mission activities and Hub activities. The Hubs will work in close coordination with Washington agencies – including USAID, the Office of the U.S. Trade Representative, and the Departments of Agriculture, Commerce, State, and Treasury – to ensure that trade policies and trade development programs are complementary. Hubs will focus on the following three activities:

- Providing technical expertise.
- Constructing regional work plans and strategies.
- Facilitating information exchange among donors and recipients on technical assistance.

Issues the Initiative Will Address:

- Lack of African capacity to comply with World Trade Organization (WTO) commitments.
- Lack of African knowledge of and capacity to take advantage of AGOA benefits.
- Lack of African capacity to undertake policy-relevant trade-related analysis.
- Legal and regulatory impediments to private enterprise in Africa.
- Weakness of public institutions, such as customs and standards inspection, which support trade in African countries.

Illustrative Activities:

<u>Promoting U.S.-African Business Linkages in South Africa</u>
The South Africa International Business Linkage (SAIBL) Project promotes business linkages between small businesses owned by the historically disadvantaged in the urban

townships of South Africa to larger domestic and international, primarily U.S., firms.

Enhancement of the Competitiveness of African Products in Mali

This activity works with trader associations and other market operators providing training designed to help them seek out and develop markets through:

1) market tests and new approaches to market development;
2) quality improvement and product differentiation;
3) development of logos and trademarks;
4) the study of the transport sector and its impact on product competitiveness; and
5) market information system development.

Enhancement of the Competitiveness of African Products in Southern Africa

The Regional Center for Southern Africa is supporting a food safety standards (Sanitary and Phyto-Sanitary Standards - SPS) program. This activity supports SADC efforts to inventory and assess SADC member states' current SPS legislation and propose modifications to meet Global/WTO standards. These modifications will be incorporated into the SADC Trade protocol as an annex.

Improve Delivery of Services Supporting Trade in West Africa

In West Africa, the West Africa Regional Program (WARP) is helping upgrade Customs Policies and Procedures and monitor (ultimately eliminating) illegal practices that take place with reference to cross-border trade

Build African Capacity for Trade Policy Formulation in Zambia

In Zambia, USAID is working with the Ministry of Commerce, Trade and Industry and Ministry of Finance in the areas of

1) WTO legal and regulatory compliance;
2) phyto-sanitary workshops/training;
3) AGOA dissemination of information country-wide; and
4) assistance with implementation issues covering both the Common Market for East and Southern Africa (COMESA) Free Trade Area and the Southern Africa Development Community (SADC) Trade Protocol.

In addition, USAID is conducting market sector studies for the private sector and is providing economic analyses to facilitate public/private sector dialogue through the Zambia Business forums..

Strengthening the Enabling Environment in Mozambique

In Mozambique, USAID is promoting an aggressive reform agenda through ten joint private public commissions. It is also supporting administrative reform in conjunction with the World Bank's Foreign Investment Advisory Service (FIAS), and is supporting the private sector unit in the Ministry of Industry and Trade. In addition, USAID is helping to improve the government's ability to provide a positive export environment and to enhance the private sector's ability to respond with increases in production and exports.

Southern Africa Global Competitiveness Hub

I. Background

1999-2000:	SADC regional trade program (policy and operations)
2000-2001:	AGOA support (Randy Peterson, Mike Morrow)
Aug 2001:	Retooling to support AGOA and USTR
Nov 2001:	DOHA agenda (trade capacity building)
Feb 2002:	Zoellick in Africa (AGOA, TCB, Trade Development, Biotech)
March:	Further retooling to support USTR and the Southern African Trade Ministers WTO Doha agenda
April:	Hub? What is a Hub?
May:	The Phone Call
June:	Gaborone USG organizational workshop
July:	Recruitment, consultations
August:	Washington interagency meeting
Sept:	Regional stakeholders meeting
Oct:	Workplan finalization
Nov.	Southern African Trade Research Network Symposium on, "Integrating the SADC Countries into the Global Trading System," in collaboration with region's trade ministries, SADC Secretariat, World Bank, WTO, World Trade Institute, UNCTAD, and the American Enterprise Institute for Public Policy Research.

II. What is the definition of success?

SADC member nations:

- trade capacity development and investment
- more effective participation in WTO Doha negotiating round
- acceleration in implementation of WTO Uruguay round commitments
- acceleration in implementation of SADC FTA

Private sector:

- trade business development – in Southern Africa and US
- improved channels of communication with public sector on trade issues
- increased participation in WTO process

USG:

- agencies collaborate to enhance African competitiveness in world trade
- more effective partners/allies in WTO process
- stronger trading partners, and ultimately increased U.S. exports and investment flows to Southern Africa
- reduced potential for emergence of additional "rogue states"

USAID:

- enhanced regional sustainable development -- greater employment and economic growth

III. Current Issues

Governance/Implementation

Stakeholder Overload
Missions, Embassies, Public Sector, Private Sector, State Department, USTR, other agencies, AFR, EGAT, SADC.

Governance, Prioritization, and Work Planning

Results targeting at 6, 12, and 18 months

Bilateral vs Regional – complementary roles needed for full success

Funding – bilateral mission funding is essential for full success – need national level impact

USG Partnerships (USDA, USDOC, Treasury, USTR)

Casting the net wide for new implementation partners (other firms, universities, NGOs)

Policy Context

USG/SADC policy dialogue on trade issues. With Zimbabwe situation – need alternatives to the US/SADC Forum

Accelerate TCB for Angola – the new SADC Chair

Launch of US/SACU FTA negotiations – in areas appropriate for development agency of negotiating partner, and in tandem with other donors and regional partners

Session Overview DRAFT VERSION 10/23/02
AFR Mission Directors' Conference
November 3-6, 2002
Annapolis, MD

Session 6

- **Title:** Regional Platforms and Non-presence Countries

- **Time:** Tuesday, November 5 @ 11:15-12:15

- **Speakers:** Carleene Dei
  Pat Fleuret
  Andy Sisson

- **Moderator:** Steve Wisecarver

- **Objective:** To discuss the role of regional platforms in achieving Africa Bureau goals and objectives.

- **Topics to be discussed/questions to be answered:**
  - What is the best construct for regional platforms to help achieve the bureau's vision?
  - How should non-presence country programs be managed? What are the parameters around what we can and can not do for them (Carleene has volunteered to draw up a statement on this)?
  - How can bilateral mission work more effectively together on programs of a regional nature that will benefit bilateral programs?

- **Rapporteur:** Tom O'Keefe

Session Overview DRAFT VERSION 10/23/02
AFR Mission Directors' Conference
November 3-6, 2002
Annapolis, MD

Session 8

- **Title:** Agency Operations and the Five Management Systems

- **Time:** Tuesday, November 5 @ 1:45-3:30

- **Speakers:** John Marshall
  Tim Beans
  Everett Mosley

- **Moderator:** Jay Smith

- **Objective:** To review the Agency-wide efforts to repair the 5 broken agency systems and how and when these efforts will affect field operations and programs.

- **Topics to be discussed/questions to be answered:**
  - What is the status of business management reform plans and how and when are these anticipated to impact the field?
  - How will performance benchmarking be used for workload and service delivery?
  - What are the prospective innovations in contracting and grantmaking that will make our work easier and more productive?

- **Associated Documents:**
- BTEC Charter
- BTEC Business
- BTEC Project Portfolio
- BTEC Committee Members

- **Rapporteur:** John Schneider

View this page in Word Format

B.T.E.C. - Charter

USAID
Business Transformation Executive Committee (BTEC)
Charter

1. - This Charter establishes the United States Agency for International Development (USAID) Business Transformation Executive Committee (BTEC).

2. - The purpose of the BTEC is to provide agency-wide leadership for initiatives and investments to transform USAID business systems and organizational performance.

3. - Roles and Responsibilities.

- **3.1** - Business Transformation Executive Committee.
  - Guide business transformation efforts and ensure broad-based cooperation, ownership and accountability for results.
  - Initiate, review, approve, monitor, coordinate, and evaluate projects and investments to improve the performance of business processes, organizational structures and information systems that support the mission and programs of USAID.
  - Set standards for and monitor the performance of critical processes and systems in the areas of customer service, cost, efficiency, regulatory compliance, and other areas that it deems important.
  - Carry out the responsibilities previously assigned to the Capital Investment Review Board (CIRB).
  - Create, constitute, advise, support, overturn and dissolve subsidiary governance infrastructure, as necessary.
  - Ensure that investments are focused on USAID's highest pay-off performance improvement opportunities, and that initiatives are aligned with the Agency's programmatic and budget priorities and effectively implemented agency-wide.
  - Its members will contribute to the success of the BTEC and be responsible for implementation of business transformation in their organizations.
  - The BTEC shall assume other specific responsibilities as assigned by the Administrator.

- **3.2** - Business Information Executives.
  - Regional Business Information Executives shall be responsible for representing the interests of Mission based end users within their bureaus.

- **3.3** - Business Process Executives.
  - Responsible for achieving standardization of processes and systems within their areas of responsibility and for optimizing process and system performance relative to standards set by the BTEC.

- **3.4** - Performance Evaluations.
  - BTEC members' performance evaluations will include rating elements based on overall BTEC success.

- Business Information Executives shall also be evaluated based on the success of business transformation implementation within their bureaus.
- Business Process Executives will also be evaluated based on achievement of customer service, efficiency, compliance requirements, and the success of business transformation relative to their processes.

4. - Decision-making.

- **4.1** - Most issues will be settled by consensus as gleaned by the Chair and Vice Chairs.
- **4.2** - On issues requiring a vote (as determined by the Chair and Vice Chairs), voting will require a Quorum.
- **4.3** - A Quorum will be defined as a simple majority of the number of Voting Members.
- **4.4** - Issues will be decided by a simple majority of the number of Voting Members present.
- **4.5** - Amendment of this Charter will require approval of two-thirds of the Voting Members.
- **4.6** - BTEC decisions will be binding on the Agency, unless overturned by the Administrator.

5. - Authority.

- The BTEC is established and operates under the following statutory and regulatory authorities:
  - Chief Financial Officers Act of 1990.
  - Government Performance and Results Act of 1993.
  - Paperwork Reduction Act of 1995.
  - Clinger-Cohen Act of 1996.
  - Federal Acquisition Streamlining Act.
  - Memorandum M-97-16 "Information Technology Architectures".
  - OMB Circular A-11 "Preparing and Submitting FY2003 Budget Estimates".
  - OMB Circular A-130 "Management of Federal Information Resources".
  - USAID Automated Directives System (ADS) policy

6. - Membership. The BTEC will consist of:

- **6.1** - The BTEC will be chaired by the Deputy Administrator (DA/AID). The Chair will call and preside over BTEC meetings.
- **6.2** - The BTEC Vice-Chairs will be the Assistant Administrators for Management and Policy and Program Coordination (AA/M, AA/PPC). The Vice-Chairs will assist the Chair and serve in his/her stead, as necessary. The AA/M will also serve in the role of Executive Secretary.
- **6.3** - Business Information Executives will be Deputy Assistant Administrators or senior executives from the following bureaus: DCHA, EGAT, GH, AFR, ANE, E&E, LAC, LPA, M and PPC. On voting issues, each BIE will have 1 vote.
- **6.4** - Business Process Executives will be the Directors of the Management Bureau Offices of Administrative Services, Human Resources, Information Resources Management, Procurement, and the Chief Financial Officer (M/AS, M/HR, M/IRM, M/OP, CFO); and the Director of the PPC Bureau Office of Budget. On voting issues, each BPE will have 1 vote.
- **6.5** - "Ex Officio" members will include the Counselor, Deputy Inspector General, Deputy General Counsel, and Director of Equal Opportunity Programs. (Note: The Deputy IG serves in a non-voting advisory capacity).

- **6.6** - Attendees - Attendees are those who are neither BIE's nor BPE's not Ex Officio Members. Attendees may participate at BTEC meetings by invitation of the BTEC Chair or Vice-Chairs. Attendees contribute their skills and expertise to the BTEC and its projects and work groups.

- **6.7** - Staff - The BTEC Staff will be the Office of the Assistant Administrator for Management. The Staff will support the BTEC and its Officers, with assistance from across the Agency, as needed. The Staff will maintain an archive of BTEC Decisions, Minutes and documents.

7. - Meetings - The BTEC will normally meet monthly. Meetings will be held at USAID Washington Headquarters unless otherwise announced.

Approval

Authorizing Official: Andrew S. Natsios

Title: Administrator, USAID (A/AID)

Signature:

Date:

WELCOME TO BTEC

BUSINESS TRANSFORMATION EXECUTIVE COMMITTEE

BTEC Business

BTEC Meeting Notes

- Latest BTEC Meeting Notes
  - BTEC Meeting Notes - October 9, 2002

- Past BTEC Meeting Notes
  - BTEC Meeting Notes - September 17, 2002
    - Appendix - Proposed Policy and a Process for Mission Software
    - Appendix - Proposed Principles and Process for Mission Software Development
    - Appendix - Mission Responses to Mission Software
  - BTEC Meeting Notes - August 7, 2002
    - Appendix - Overseas Concept of Operations Presentation
  - BTEC Meeting Notes - July 10, 2002
  - BTEC Meeting Notes - June 12, 2002
    - Appendix - Proposed Principles and a Process for Mission Software
    - Appendix - Suggestions from Controller Community and a Field Technical Officer
    - Appendix - BTEC Action Items
  - BTEC Meeting Notes - May 8, 2002
    - Appendix - PMO Quick Hit Project Update
  - BTEC Meeting Notes - April 12, 2002
  - BTEC Meeting Notes - March 8, 2002
  - BTEC Meeting Notes - February 13, 2002

BTEC Action Items

- Human Resources Longer Term Project (July 2002)
- Customer Service Standards Working Group Charter (June 2002)
- Customer Service Standards Working Group In-Progress Review (DRAFT) (June 2002)
- USAID Business Transformation Program Management Office (May 2002)
- USAID Procurement and Assistance Evaluation (April 2002)
- The BTEC Charter (February 2002)

Current Status of BTEC Long-term Projects

- Procurement Improvement Project
- Customer Service Standards
- Performance Management Project

BTEC Communications

- Join a BTEC Discussion Group

BUSINESS TRANSFORMATION EXECUTIVE COMMITTEE (BTEC)
PMO PROJECT PORTFOLIO
SEPTEMBER 26, 2002

PROJECT NAME (and Project Manager)	DESCRIPTION	STATUS
QUICK HITS		
1. Paperless Metrochek (Stephanie Teasley, M/AS)	USAID/W employees who ride the subway will receive the monthly metrochek subsidy electronically from any metro station.	Completed March, 2002
2. Internet Travel Booking (Shirl E. Hendley, M/AS)	Employees will have the flexibility to make air travel and hotel reservations over the internet using the FedTrip internet booking tool.	Currently on hold per request from OMB.
3. Streamlined Recruitment (AVUE) (Oveta Watkins, M/HR)	Use of the AVUE recruitment module will significantly reduce the time required to fill vacancies. The tool will enable applicants to apply over the Internet, assess qualifications electronically , and facilitate communication with managers and applicants.	Successfully completed. Follow-on monitoring for success is in place.
4. Staffing Pattern System (eWoRLD) (Sandy Sozio, M/HR)	A web-based staffing pattern system will be used to capture comprehensive and consistent information on the Agency's workforce. The system will improve data integrity and facilitate workforce planning.	Did not meet projected completion date of Sept 02 due to testing phase problems. New mission test date: Nov.4 New go-live date: Dec. 2
5. Recovery of Unneeded Funds (David Ostermeyer, M/FM)	Expired obligations will be reviewed to identify funds that can be deobligated and and used for current requirements. Additionally, a business process will be put in place to consistently review expired awards and recover unneeded funds in a timely manner.	The team will complete its work by October 15.
6. Standardized IQC Models (Tim Beans, M/OP)	Two standard models will be developed for indefinite quality contracts to eliminate the confusion that has resulted from the use of 15 different models.	BTEC approved the AAPD to make this Agency policy. AAPD to be released soon by OP.
7. E-Procurement (ARIBA) (Sharon Zavestoski, M/IRM)	An electronic procurement tool will be used to streamline the procurement process for micro-purchases and simplified acquisitions. The tool will enable purchasers to interact with vendors, compare prices and place orders electronically.	Successfully completed. A Best Practices business case has been completed recommending an expansion of ARIBA to full implementation at USAID.
8. Customer Relationship Management (George Lufsey, M/AS)	An automated customer relationship management tool will be used to improve	Completed June 28. REMEDY is in use

	customer service in the M Bureau. The tool will enable the bureau to monitor the timelines and quality of services and will provide a mechanism for customer feedback as services are delivered. The tool will be piloted in M/AS and M/OP.	in M/AS. Being monitored for possible benefits for other parts of the M Bureau.
9. Reduction in Reporting Requirements (Margaret Miller, M/CIO)	Reporting requirements will be reviewed to identify at least two reports that can be eliminated or simplified.	Completed as of July 26, 2002 General Notice.
10. Proceeds from Sale of Mission Property (Sandy Owens, CFO)	Field missions will retain proceeds from the sale of mission non-expendable property beginning with property sold in FY 03.	Completed as of July 16, 2002 General Notice.
LONGER-TERM PROJECTS		
1. Customer Service Standards (Joyce Holfeld, GH)	The objective of this project is to identify the services provided by each work unit under the aegis of the BTEC and to establish specific customer service performance standards that set out expectations of service with timeframes for achievement/measurement and establish Customer Service Level Commitments for the Management Bureau and Pillar Bureaus.	Awaiting final approval of the draft customer service standards booklets. Project Charter still in draft. Completion date not established as it is linked to the reorganization.
2. Performance Management (Rose Marie Depp, M/HR)	The project objective is to enhance the effectiveness, efficiency and integrity of performance management in the Agency. Recommendations will be made on Reforming the performance management Process, specifically the evaluation forms, as well as other aspects of the Agency's organizational culture.	Ongoing work to meet milestones established in the charter. Completion date is November 02.
3. Procurement Improvements (Kitty Ohara, M/OP)	The stated objective in the project charter is: "To improve the effectiveness of the acquisition and assistance process."	Ongoing work to meet the milestones established in the Charter. Completion date is stated as September 30, 2002.
LARGE PROJECT		
1. Business Systems Modernization (Bernie Mazer, M/PMO)	The objective of the largest project in the PMO portfolio is to define the future concept of operations for administrative services within a USAID mission. The team will analyze the existing policies, processes, supporting technology and organizational	Preparing Business Cases.

structure, and present the case for a new business model. The team will assess the costs and benefits of opportunities for the improvements including implementation of automated information systems, decentralization or consolidation of accounting centers and other administrative functions and opportunities for outsourcing or sharing services. The BSM team will draw on best practices from both the private public sectors for examples of consolidation and streamlining of administrative, human resources, financial an information technology (IT) support services.

WELCOME TO BTEC

BUSINESS TRANSFORMATION EXECUTIVE COMMITTEE

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Business Transformation Executive Committee (BTEC) Members

as of 07/17/02

Member Name	Bureau	Position	Membership	Contact
Fred Schieck	Bureau - USAID	Position - DA	Membership - Chair	202-712-5010
Patrick Cronin	Bureau - PPC	Position - AA	Membership - Vice Chair	202-712-1430
John Marshall	Bureau - M	Position - AA	Membership - Vice Chair	202-712-1200
Gordon West	Bureau - ANE	Position - DAA	Membership - BIE	202-712-0300
James Smith	Bureau - AFR	Position - Acting DAAA	Membership - BIE	202-712-0166
Linda Morse	Bureau - E&E	Position - DAA	Membership - BIE	202-712-0080
Donald Boyd	Bureau - LAC	Position - Sr, Advisor	Membership - BIE	202-712-4717
Leonard Rogers	Bureau - DCHA	Position - DAA	Membership - BIE	202-712-0770
Joyce Holfeld	Bureau - GH	Position - Acting DAA	Membership - BIE	202-712-4120
Jonathan Conly	Bureau - EGAT	Position - Acting DAA	Membership - BIE	202-712-0670
Jon Breslar	Bureau - PPC	Position - DAA	Membership - BIE	202-712-5820
Richard Nygard	Bureau - M	Position - DAA	Membership - BIE	202-712-1200
Joanne Giordano	Bureau - LPA	Position - DAA/LPA	Membership - BIE	202-712-4300
Jim Painter	Bureau - PPC/B	Position - Director	Membership - BPE	202-712-0280
Tim Beans	Bureau - M/OP	Position - Acting	Membership - BPE	202-712-

		Director		1201
John Streufert	Bureau - M/IRM	Position - Director	Membership - BPE	202-712-5460
Rose Marie Depp	Bureau - M/HR	Position - Director	Membership - BPE	202-712-5500
Sandy Owens	Bureau - M/FM	Position - Director	Membership - BPE	202-712-1980
Roberto Miranda	Bureau - M/AS	Position - Director	Membership - BPE	202-712-4410
James Ebbitt	Bureau - IG	Position - DAA	Membership - Ex-officio	202-712-1978
Drew Luten	Bureau - GC	Position - Deputy GC	Membership - Ex-officio	202-712-4698
Janet Ballantyne	Bureau - USAID	Position - C/AID	Membership - Ex-officio	202-712-4070
Jessalyn Pendarvis	Bureau - EOP	Position - Director	Membership - Ex-officio	202-712-1110
Mike Flannery	Bureau - SEC	Position - Director	Membership - Ex-officio	202-712-0990
Marilyn Marton	Bureau - OSDBU	Position - Director	Membership - Ex-officio	202-712-1500

John Marshall

Assistant Administrator for Management

U.S. Agency for International Development

John Marshall was sworn in on Nov. 27, 2001, as assistant administrator for management of the U.S. Agency for International Development (USAID). For more than 40 years, USAID has been the lead U.S. government agency providing economic and humanitarian assistance to transitioning and developing countries.

As head of the Bureau for Management, Marshall also serves as the agency's chief information officer. He directs USAID's management and administrative services supporting agency activities worldwide. His responsibilities include human resource management, accounting and financial management, procurement policy and operations, information technology and overseas support.

Before assuming his present position, Marshall had served since 1997 as a principal of IBM Business Innovations Services in Bethesda, Md. As a member of the leadership team, of IBM's government consulting organization, he led a practice that advised federal government clients on improving the performance of their organizations through use of commercial best practices and lessons learned from IBM's re-engineering and e-business transformation.

From 1995 to 1997, Marshall served as senior adviser to the chairman of the Senate Committee on Governmental Affairs, where he developed legislation to restructure and reform federal agencies and management practices. He also served previously as chief executive officer of the Federal Crop Insurance Corporation; deputy administrator for management at the Department of Agriculture; and as a financial management analyst in the President's Office of Management and Budget.

Marshall's public service career also includes appointments to the Governor of Virginia's Commission on Government Reform; the Congressionally appointed Commission for the Improvement of the Federal Crop Insurance Program; and service on 10 advisory committees for the Arlington County, Va., government and school board.

He has published numerous articles in his field and has been a guest panelist on the MacNeil-Lehrer News Hour.

A native of Omaha, Neb., Marshall has a bachelor's and a master's of business administration degree from the University of Virginia.

Everett L. Mosley
Inspector General
Office of Inspector General
U.S. Agency for International Development

Everett L. Mosley was confirmed and commissioned as the inspector general at the U.S. Agency for International Development (USAID) in December 2000. For more than 40 years, USAID has been the lead U.S. government agency providing economic and humanitarian assistance to transitioning and developing countries.

As the inspector general for USAID and head of the Office of Inspector General (OIG), he provides management direction of all OIG activities worldwide.

The USAID/OIG was created under the authority of the Inspector General Act of 1978 and is responsible for audit and investigations activities within USAID, the African Development Foundation, and the Inter-American Foundation. Its mission is to contribute to and support integrity, efficiency, and effectiveness in all activities through the detection and prevention of fraud, waste and abuse. This work is accomplished through over 200 U.S. federal employees, plus foreign service nationals, and other private individuals and company contractors located throughout the world.

Mosley has over 30 years of U.S. government service. He was selected as the deputy inspector general for USAID in November 1994 and also served as the acting inspector general for 16 months before being confirmed. Prior to joining USAID, Mosley was an auditor/audit manager for more than 25 years with the U.S. Department of Agriculture (USDA) Office of Inspector General. He served as the deputy assistant inspector General for audit with USDA/OIG from 1988 to 1994 and regional inspector general for audit in two different regions for USDA between 1980 and 1988.

Mosley also served in numerous other audit capacities at various locations from the entry level in 1969, to that of assistant inspector general for audit through 1980. He also performed criminal investigations in the early years of his career. Mosley also has private sector experience as a retail entrepreneur.

A native of Meridian, Miss., Mosley has a degree in accounting from Grambling State University in Louisiana and has done further study at the Federal Executive Institute. He currently serves on the Advisory Council on Government Auditing Standards and on the Board of Directors for the International Consortium of Government Financial Management. He is a certified fraud examiner, a certified government financial manager, and a member of the Institute of Internal Auditors, the Association of Government Accountants, and the Association of Certified Fraud Examiners.

Mosley and his wife, Alice, have one son, Damian.

Session Overview DRAFT VERSION 10/23/02
AFR Mission Directors' Conference
November 3-6, 2002
Annapolis, MD

Session 9

- **Title:** Bureau Operations

- **Time:** Tuesday, November 5 @ 3:45-5:00

- **Speakers:** Jay Smith
  John Winfield
  Beverly Busa

- **Moderator:** Keith Brown

- **Objective:** A discussion on methodologies employed by the Africa Bureau for budget allocation decisions and staff rationalization.

- **Topics to be discussed/questions to be answered:**
  - Presentation of annual budget cycle decisions and information sharing (Jay).
  - What factors were taken into account in making OE allocation adjustments from FY02 to FY03?
  - What are the main ideas emerging in Washington with respect to OE management and how do these related to the suggestions sent from the field? What suggestions can be implemented?
  - What can be done to improve the empirical factual link between operating unit needs and OE allocations and the way these relate to the OE percentages referred to by the A/AID?
  - What are the Africa bureau's plans for revising operations to more productively use OE, and to make AFR OE expenditures consistent with Agency norms?
  - Given that our program are highly labor intensive does AFR wish to explore reducing management units and the complexity of our activities?
  - What measures are being taken to enhance the effectiveness of small missions given the shortage of seasoned FSOs in every backstop?
  - Can certification of non-US citizens be revisited given the shortage of controllers - if not what are the other options under consideration?

- **Associated Documents:**
- USAID's Operating Expense Account: Current Practices and Planning
- Budget Tables

- **Rapporteur:** John Schneider

USAID's Operating Expense Account: Current Practices and Planned Reforms

Submitted to the Office of Management and Budget in compliance with the President's Management Agenda Action Plan

U.S. Agency for International Development
Bureau for Policy and Program Coordination

October 7, 2002

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Executive Summary

As part of USAID's effort to assess and improve performance and to ensure cost effective management of foreign assistance resources, the Bureau for Policy and Program Coordination is undertaking a comprehensive review of Agency approaches to manage, finance and administer foreign assistance programs. This review consists of three parts—

Phase 1: The assessment of Operating Expenses (OE) for each Agency management unit (Bureau, Mission, Region) in relation to program costs.

Phase 2: The collection and review of program funded support costs for administration of development programs, as well as a plan for management of these costs; and

Phase 3: A review of USAID's field presence, program approaches, and related costs of field operations.

USAID has completed the first phase of this review. This report details the analysis used during the FY 2004 program reviews to better link OE and program decisions, and proposes an interim approach for allocating direct and indirect operating expenses for management cost accounting purposes.

This report also provides the initial status of the review's second phase—the review of program support costs—as well as next steps to be taken in FY 2003. USAID is now starting the groundwork for the Phase 3 field presence analysis, which builds on the first two phases of the OE analysis. As noted in this report, USAID's field operations are the most critical operational element of delivering development programs as well as the single largest element of the Agency's operating expenses. There also will be a direct link between the conclusions of the field operations study and the USAID/Washington operating structure and staffing.

The report's major findings include the following—

- USAID staff has been declining significantly during the 1990's. Today, USAID has 1,250 less staff (from all funding sources) than in 1995 despite a program budget that has increased in both size and complexity.

- While there has been about a 9% increase in program funded staff since 1995, this has not resulted in an overall increase in USAID staff given the more significant decrease in U.S. direct hire staff.

- The majority of program funded non-direct hire staff work in the field and in support of technical programs. This is in response to significant changes in the nature and

- content of foreign assistance that require a new set of skills and flexibility not always available in the U.S. Foreign Service.

- Operating Expense data by Agency management unit, which is summarized in this report, is now available in a USAID database and forms part of the Agency strategic budgeting process.

- USAID has established a collection, review, and monitoring system for non-direct hire staff, who are funded by both operating expenses and program funds.

- A plan for continued refinement of this data as well as an interim management cost accounting system are presented in this report.

- Fifty-two percent of the Foreign Service will be eligible for retirement in the next five years. This is a higher number than the average government-wide civil service. An aggressive recruitment schedule will be required during the next several years to avoid a major gap in the ability of the U.S. to oversee its foreign assistance programs.

- Such recruitment must be supported by a comprehensive workforce plan that includes both U.S. direct hire and non-direct hire staff from all funding sources. This data analysis, together with Human Resource direct hire staff analysis, will form the basis of that plan.

Operating Expenses
($ in millions)

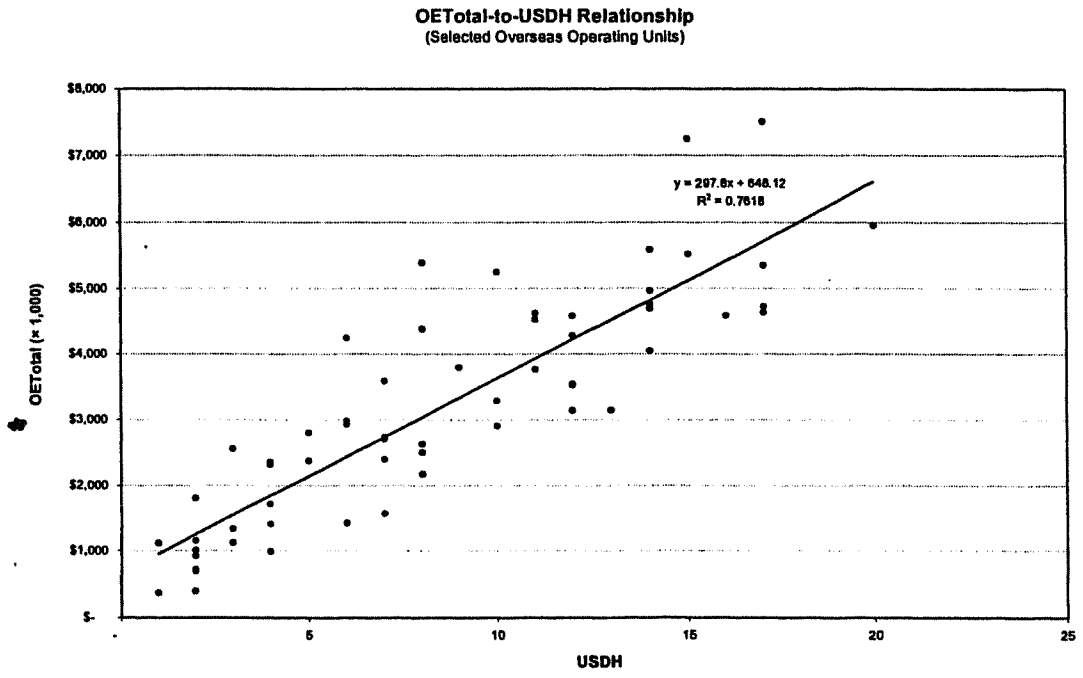
	FY02 Appropriate	FY03 Request	FY04 Request
Overseas			
Operations	235.3	244.4	255.6
Salaries & Benefits	89.6	94.6	100.9
Washington Bureaus			
Operations	34.0	36.3	40.5
Salaries & Benefits	144.2	146.2	154.7
Training & Personnel Support	7.7	9.6	13.3
Staffing plus up – 100			20.0
New Personnel Benefits			14.5
IT Operations	73.7	64.4	70.5
Rent & General Support	41.2	41.7	42.6
Subtotal	625.7	637.2	712.6
Less: Non-appropriated Funds	(65.0)	(51.0)	(49.0)
Total Appropriated Level	560.7	586.2	663.6

10/04/2002 Slide 16

I. Assessment of Operating Expense Current Costs

Tables 1-5 attached to this report provide a summary of operating expense costs by region, by Bureau, by Mission, and by Washington cost center. Key findings include the following—

- In FY 2002, USAID's single largest OE cost was for field operations.
  - Twelve percent of USAID's total OE costs were for field salaries and benefits.
  - Over half (53%) of USAID's operating expenses were for field operations (personnel and non-personnel costs).
- The direct costs of managing field operations by region (for the Agency's field programs and regional bureau support) were calculated using FY 2001 data. These costs were distributed by region as follows—
  - 29% of the total regional OE costs were in Africa;
  - 28% were in Europe and Eurasia;
  - 22% were in Asia and the Near East; and
  - 20% were in Latin America and the Caribbean
- Personnel and facility related costs represent approximately 90% of the OE budget. There is a very high correlation between the location and movement of USDH staff and movement of OE costs.



- Washington costs include both the costs of running the Washington bureaus and offices as well as centrally managed functions such as Information Technology that support both Washington and field operations. Table 1 shows the full OE costs for each bureau and centrally managed function for FY 2002. For Washington bureau salaries and operations—

  - 15% of Washington salary and operations costs are in the Management Bureau
  - 11% are in the three technical (pillar) bureaus
  - 52% of centrally managed OE costs are expended on Information Technology

It is clear that any savings or adjustments in Washington operations must be focused in these areas.

II. Current Progress on Strategic Budgeting and Management of OE Resources

Although efforts to assess and improve budgeting and management systems are ongoing, USAID is moving forward based on analyses completed to date. USAID is utilizing immediately results of its management initiatives in making program and staff allocation decisions both between and within operational bureaus. The following represent examples of actions undertaken by USAID during recent budget deliberations.

During the FY 2004 program budget reviews, the Agency began looking at the issue of overseas presence and the relation of program funds to support costs, including staffing. USAID formulated and analyzed ratios that compare program funds to operating expenses and to staff. (See Table 2 for FY 2001 and FY 2004 ratios and an explanation of the methodology.)

USAID's Administrator has made overseas presence a priority for the Agency and has tasked each Bureau's Assistant Administrator with working on this issue. Program-to-OE cost analysis will be a continuing part of the Agency's annual budget reviews.

Some preliminary analyses for FYs 2003 and 2004 are discussed below.

Africa Bureau

As part of a repositioning exercise, staff levels were reduced in Senegal, South Africa, the Regional Center for Southern Africa, Madagascar, Liberia, Malawi, and Mali to provide needed staff increases to support priority programs in Nigeria, Congo, Guinea (including support to Sierra Leone), the West Africa Regional Program (WARP), and Uganda.

In FY 2003, there is a planned increase of nine direct hire positions to support increases in HIV/AIDS activities in Ethiopia, Kenya, Nigeria, South Africa (bilateral), the South Africa Regional AIDS Program, Tanzania, Zimbabwe, the regional office for East and Southern Africa (REDSO/ESA), and WARP. In addition, USAID is planning an increase of eight training positions for New Entry Professionals (NEPs). This increase of direct hire positions is being taken in lieu of program funded PSCs. It will require future year commitments of OE funds for direct hire staff, but will reduce the need for program funding of these positions.

In FY 2004, at the baseline level there is no planned increase in staff from the FY 2003 level. In fact, there is a planned decrease of four positions. In Mozambique, three positions provided specifically under the Southern Africa flood supplemental, which expires in FY 2003, will be deleted, plus one position in South Africa.

ANE Bureau

After reviewing the ratios prepared by PPC and ANE Bureau management assessments, the ANE Bureau proposes to reduce overseas staffing (USDH and program funded contractors) in Cambodia, Morocco, Indonesia, and Lebanon in order to create a regional mission in Thailand to service Cambodia, Vietnam and Laos. Additional direct hire positions were provided for Afghanistan and Pakistan.

E&E Bureau

Staff positions were reallocated among Macedonia, the Central Asian Republics, and Hungary. In addition, Kosovo is being reduced by one USDH, with the position reallocated to Macedonia.

LAC Bureau

As a result of concern over the high cost of financial management, the Bureau is working with its overseas missions to implement efficiencies in Mission controller operations, including more rapid payment procedures, electronic processing and administrative simplification. LAC is moving toward fewer accounting stations, beginning with the Caribbean.

More broadly, the Bureau has begun a series of Mission management reviews to enhance and ensure that Mission portfolios and staffing levels are in alignment and further streamline the conduct of daily operations. In the first assessment, in Mexico—a growing program with a very small staff that is strapped for operating expenses—an interdisciplinary Agency team made recommendations to focus the program and dramatically reduce the number of management units. The second assessment, in Haiti, is underway.

III. Analysis of Total Costs of Program Management

Annex A of this report provides a legislative history of the evolution of operating expenses and program funded support costs. USAID finances the management and administration of its programs through both Operating Expenses and through utilization of a portion of program funding for technical staff to support strategic objectives. The program costs are incurred in a variety of appropriations linked to the Agency's operational units and activities.

In addition to legislated program to OE transfer authorities, the introduction of funding decisions for ESF, SEED and FSA by the Department of State in response to foreign policy priorities has heightened the need for flexibility in the work force to ramp up quickly to respond to new country priorities. While there was a concerted effort in the mid 1990s to significantly reduce the number of USAID field missions, that effort was not supported by the Department of State. In some cases where agreement to close Missions was reached, many have now reintroduced USAID programs at the request of Congress and/or State.

After the Cold War, the importance of complex global technical issues to foreign policy has also heightened. Infectious diseases, biotechnology, global climate change, and trade represent some of the skill areas where the foreign service is not completely able to respond on a timely basis for the skill needs in these areas.

To assure transparency, monitoring and more efficient use of program funded advisors, the Agency has undertaken several key actions—

- For Washington program funded staff, a formal review and approval process has been established with the Management and Chief of Staff approvals.

- During late 2001 and early 2002, a Washington portfolio review was undertaken to reduce and redeploy direct hire and program funded non direct hire technical staff from regional bureaus to the central (pillar) bureaus or the field or to eliminate redundant positions.

- Currently, a full accounting and analysis is underway of program funded non-direct hire staffing.

Washington Portfolio Review Results

In 2002, a portfolio review was completed of over 300 Washington-managed program activities and their associated staff (both program and OE funded). Sixty-one of these Washington-managed activities were transferred to the field, and 53 are being terminated within the next fiscal year. Fifty-seven activities are being transferred from regional to central or pillar bureau management in order to consolidate staff

requirements for program management. As a result of the portfolio review, approximately 50 non-U.S. direct hire program funded staff positions in Washington have been terminated or will be terminated in FY 2003.

In addition, a formal review process has been established requiring approval by the Agency's Human Resources Director and the Administrator's Chief of Staff before any Washington-based new non-U.S. direct hire staff can be funded and hired. This approval is required for new staff positions as well as for continuing non-direct hire staff positions that are being re-funded or replacements recruited because of departures. This approval process will ensure a continuing database and will serve as a de facto ceiling on the use of non-direct hire staff—both program and OE funded—in Washington. It also will enable the Human Resources office to bring non-direct hire staffing into the Agency's workforce planning process.

Preliminary Findings of Program Support Cost Review

Table 3 provides an overview of the key program funded support costs. Some key observations from this analysis include—

- For FY 2002, the estimated cost for program funded staff is approximately 314 million (DA/ESF) worldwide (i.e., approximately 4% of the program budget managed by USAID).*

- The total number of program funded staff has not increased significantly in the past five years (the only time period for which data have been collected). Today, there are approximately 500 more contract staff than in 1995 (about a 9% increase).

- The US direct hire staff has decreased by over 1,250 employees since 1992.

- In FY 2002, the majority (83%) of program funded staff were in the field (approximately 1,756 versus 408 in Washington).

- Of the field program funded staff, more than 60% are Foreign Service Nationals.

- Approximately 80% of the staff are technical staff and directly support program activities. In some cases when staff sit in USAID facilities, the level of their technical

---

*__Source for personnel levels and costing.__ Staff levels are derived from the staffing pattern documents issued with input from the field Missions and USAID/W offices. Standard cost estimates, on an agency basis were developed using indicative data available in some cases from HR database, and in other cases from discussions with field mission controller staff. Objective of costing was to identify cost and support factors are those which are charged to program funds at the Mission and which represent the costs that would equate international program funded personnel with USDH staffing costs. Costing assumptions are detailed in Table 5.

- assignments (entomologists, TB specialists, biotechnology experts, etc.) raises questions as to the degree of administration versus program advisory services they provide. A better analysis of the uses of program funded officers is important to understand how best to proceed.

There are a number of complexities in calculating these staff numbers that need further review—

- These figures include approximately 260 fellows who are not considered "staff" and are not permitted to perform government functions. By USAID policy, fellows may serve for a maximum of four years. The purpose of fellows' programs that exist throughout the USG, including Congress, is to provide exposure for largely technical staff such as scientists to the U.S. Government and to strengthen science-based capabilities in the USG. It is not a long-term employment program and as such not easily comparable to PSC or RSSA staff.

- These figures do not include "institutional contractors" located in Washington who may also provide program support to USAID administration of programs. USAID is currently reviewing those figures as well. However, in many cases such staff are no full time and the accurate assessment of such support is difficult. We expect to have a fuller analysis by the end of 2002.

While the USAID staff from operating expenses began declining in the 1990s, many technical functions were contracted out and the use of PSC, RSSA and other contracting authority increased. However, as noted in the chart below, the use of program funded contract staff has not taken the total employees of the Agency back to the pre-1995 levels (when USDH and program funded contractors are added together).

How are program funds used in the management and administration of USAID programs?

Most program-funded staff support overseas Missions in the technical functions (81% and 83% of numbers of staff in FY 2001 and FY 2002 respectively.) Program funded staff provide technical support to the pillar bureaus and, prior to the reorganization to the technical offices of the regional bureaus.

In respect to overseas cost, there is a surprising level of uniformity across Mission lines in regard to how such program staff is used. In most Missions, except for the single USDH "technical Division Chief," all technical staff (US or FN, international or local hire), and their support costs are now program funded. Overseas, there were in FY 2001 roughly 441 program funded international staff, e.g. with costs similar to those of USDH Foreign Service staff, compared to 671 USDH Foreign Service staff overseas. The program funded technical staff greatly exceeds the number of technical USDH staff. While the number of program funded professional technical staff in USAID/W is smaller

(389), it is nonetheless significant in the central bureaus and the E&E bureau that has PSC authority.

The program implications and impact of any immediate reduction in such staff is serious. Therefore, it is essential that USAID have a more refined database and begin now the process of integrated workforce planning. This will require a plan over several years.

The cost accounting concepts for such program-funded staff are also relatively consistent. Costs charged to program are direct cost; e.g. costs which can be linked directly to the individuals involved (salary, benefits, operational support). Missions or USAID/W have not used an indirect allocation of support costs. Mission staff offices and functions remain for the most part with OE funded staff, though there are some exceptions where work load allows FN staff to be assigned, for example, in accordance with reengineering, to given SO teams. Similarly, the link between the staff and the sectors being served seems clear and straightforward.

The program funded staffing, detailed in these tables, does not include institutional contract staff working for USAID to support operations. Such staff provide administrative and technical support for program related activities. These staff remain employed by their parent contractor and provide services rather than a product. Contractors may be part of the oversight of the program, or in other cases may be directly implementing program components. The Agency is currently undertaking a review of such institutional contractors to determine how such services should be characterized. An initial survey for FY 2001 indicates at additional 308 positions at an annual cost of $59 million in USAID/W.

Some functions performed by program staff include—

- USAID/W program funding in bureaus such PPC, EGAT, DCHA and GH for sector and strategy analysis, reviews, and evaluation.
- Funding in Missions for program design, assessments, and evaluations.
- Program funding of non-federal audit program and other program funded financial reviews.
- Funding in the regional programs of regional bureaus and sector projects in central bureaus for broad sector support.
- Program support activities such as the outsourcing of small grants programs, or contractor performance of program oversight duties.

IV. Agency Management Cost Accounting Model and Database

As part of its process to create an integrated accounting system, USAID is developing a Management Cost Accounting program to meet the Federal Accounting Standards

Advisory Board (FASAB) standard (SFFAS No.4). This standard requires federal entities to establish a cost accounting capacity to provide information on the full cost of federal programs, and to provide data for measuring agency performance.

As part of its required reporting, USAID currently prepares a statement of net costs, which attributes direct and indirect costs to the Agency's goal areas.

Development of the Management Cost Accounting Program

USAID will meet the FASAB cost accounting requirement as a part of its development and implementation of the new Phoenix accounting system. As a first step, USAID engaged a public accounting firm to work with an Agency team to prepare an initial user needs assessment; organizational and program analysis of a cost accounting approach; and a basic model for rollout with the new Phoenix system. The team reviewed a host of data collection options, cost allocation and assignment methodologies, and benefits to the Agency of various levels of information.

The Agency's approach will be further developed and refined during FY 2003, with agreement on the outlines of the new system. Specific attention will be given to the relative costs and benefits of the various implementation options. The selected cost accounting system will provide a cost-effective means to generate the direct and indirect cost information needed to assess comparative cost and performance issues at the various levels where USAID accounts for its resources (i.e., the account, operating unit, strategic objective (SO), country, and program levels). USAID anticipates that the Phoenix accounting system, including the cost accounting component, will be fully operational by the end of FY 2005. In this context, forward progress on cost accounting is a function of adequate funding for the overall development and deployment of the Phoenix system.

Interim Approach

USAID is undertaking an interim approach to provide some preliminary cost accounting data in advance of the management cost accounting system. The interim reporting will seek to provide cost information at the unit level as a first step of matching operating expense, and related program funded administration costs with the costs of the assistance programs under implementation.

An initial cost accounting effort for the FY 2004 budget process employed comparative summaries compiled for USAID regional bureau and Mission programs. These

summaries matched Mission operating expenses, salaries and benefits for direct hire staff, and program funded staff expenses to the programs administered for the operating units. USAID used these summaries in its analyses and reviews of the 2004 Bureau-level budget presentations and for subsequent internal budget decisions. These initial summaries for FY 2001 and FY 2004 (estimated) are attached as Table 2.

USAID also is preparing a more comprehensive database for cost accounting until the formal system is in place. The interim cost accounting database will define the action level as the operating unit (field mission or USAID/W office) assigned funding and responsibility for implementation of USAID activities. All (100%) of USAID OE costs then will be viewed and characterized in the context of their relationships with programs being implemented. For example—

- Costs that are directly related to strategic objectives in given operating units are direct costs. These include all Mission staff and costs related to carrying out the unit's objectives.

- Costs that relate to a specific subset of programs are designated as direct support costs to the units carrying out those programs. For example, this would include allocation of the regional bureau costs in USAID/W to the programs carried out in the field.

- Costs that relate to the Agency's overall mission, such as those of the M Bureau or PPC, are considered indirect support costs and are allocated to the agency's programs as a form of overhead.

- In addition to OE costs, the database will consider whether the costs of program-funded staff used to help administer USAID's program are direct costs or direct support costs.

As an interim measure, this database will provide a capacity to provide comparative cost analysis of all agency programs, both in the field and in USAID/W. With the allocation of 100% of OE and program-funded support costs, USAID will have an indicative pilot program for determining the full costs of its programs at the unit level. USAID has included guidance in its FY 2005 reporting requirements to enable the collection of additional program-funded support data.

This initial pilot phase is expected to be ready by October 31, 2002. The next step will be to expand the pilot program database to include information at the account level in addition to the unit level. This should be completed by March 31, 2003.

V. Next Steps

Operating expenses and the staffing levels derived therefrom probably will continue to be USAID's most constrained resource. The management of program support requires the development of a long-term planning model that takes into account both the direct hire workforce as well as the non-direct hire workforce and funding sources.

Future Reporting

In past budgets, USAID has reported salaries and benefits as a lump sum cost managed in Washington rather than disaggregated by region, Bureau, and operating unit. In the future, USAID will use the database established for this analysis for all budget reporting and reviews within the Agency, to OMB, and to Congress. Annual budget requests from the field and Bureaus also will include fully-loaded OE costs.

Operating Expenses represent USAID's capacity to maintain and deploy direct hire staff. Maintaining the flexibility of this support is essential to design and plan programs in response to foreign policy priorities in new locations and new program areas. The increasing role of development programs to address foreign policy priorities and the complexity of development programs in areas such as HIV/AIDS, infectious diseases, biotechnology, biodiversity, trade capacity, etc. require a more flexible workforce. To date, the Agency's OE levels have tended to be a function of a "going rate" perspective, which assumes an ongoing OE budget, modified by current events and initiatives.

OE and staffing levels likely will continue to be constrained resources, which necessitates a long term planning approach linked carefully with workforce planning. Next steps will include developing a vision for investments in staff, the role we want our field units to play and investments in management systems.

Phase 2—Program-Funded Staff

Phase 2 will further study issues related to program-funded staff. Actual completion dates will depend on PPC's approval and resources to undertake the next phase of the study. Anticipated steps include the following.

By January 1, 2003:

- Identify how staffing and related financial data can be routinely collected to support personnel information. (PPC has developed guidance to collect his information in future years. PPC will work with M/HR to ensure rigor in collecting staffing data.)

- Complete review of institutional contractors in USAID/W. Develop system for ongoing reporting of institutional staff.

- Develop agreed Agency definition on how to determine which categories of other costs should be included as program-funded support for program implementation.

- Review cost data for selected missions for better verification of costing info. In particular, quantify non-personnel program costs that support Agency management.

By July 1, 2003:

- Expand the calculation of program personnel costs back for the period that information is available (FYs 1995-2000) and forward through FYs 2003-2004 in order to better quantify trends.

- Develop preliminary M/HR integrated long-term workforce plan draft that includes relationships and projections for direct hire and non-direct hire staff.

Phase 3—Field Presence Review

USAID's field presence review will begin in January 2003.

Management Cost Accounting Program

Following are the proposed steps and timeline for full development of the management cost accounting program.

For the interim cost allocation exercise:

- October 31, 2002. Initial pilot run of cost accounting database completed for FYs 2001 and 2002.
- March 31, 2003. Cost accounting database field-tested for accuracy and expanded to include data by accounts.
- September 30, 2003. Cost accounting database up to date for the FY 2005 budget process, including prospective data for the planning year.

For the full program:

- March 31, 2003. Initial set of cost accounting options and cost benefit implications distributed for internal Agency review.
- September 30, 2003. Final recommendations of proposed cost accounting approach presented for Agency approval.
- December 31, 2003. Funding for cost accounting component of Phoenix included in FY 2004 operating year budget.
- September 30, 2004. Cost accounting component design completed.
- September 30, 2005. Cost accounting component field-tested and installed.

FY2002 USAID Operating Expenses (Estimate)

($ 000s)

BLE 1

Category	Symbol	Operating Expenses (OE)						
		Salaries & Benefits			Operations*			Total
		Overseas	AID/W	Total	Overseas	AID/W	Total	
Regional Bureaus/Offices								
Bureau for Africa 1	AFR	25,828.6	8,156.8	33,985.3	79,575.5	488.0	80,063.5	114,048.8
Bureau for Asia and the Near East 2	ANE	21,725.2	5,733.5	27,458.7	70,398.9	656.0	71,054.9	98,513.6
Bureau for Europe and Eurasia	EE	12,733.6	10,841.7	23,575.3	53,142.3	1,400.0	54,542.3	78,117.6
Bureau for Latin America and the Caribbean 3	LAC	17,687.1	7,477.6	25,164.7	50,868.5	400.0	51,268.5	76,433.2
Facility Relocations (IOB's)					15,673.0		15,673.0	15,673.0
Subtotals: Regional Bureaus/Offices		77,974.4	32,209.6	110,184.0	269,658.2	2,944.0	272,602.2	382,786.2
Central Bureaus/Offices								
Bureau for Democracy, Conflict, and Humanitarian Assistance	DCHA	126.0	10,767.7	10,893.7	418.0	1,702.0	2,120.0	13,013.7
Bureau for Economic Growth, Agriculture and Trade	EGAT		13,067.5	13,067.5		884.0	884.0	13,951.5
Bureau for Global Health	GH		6,996.0	6,996.0		782.0	782.0	7,778.0
Bureau for Management	M		35,771.5	35,771.5		9,388.9	9,388.9	45,160.4
Office of the Assistant Administrator	*AA/M*		*1,640.3*	*1,640.3*		*2,537.3*	*2,537.3*	*4,177.6*
Office of Human Resources	*M/HR*		*6,975.9*	*6,975.9*		*194.1*	*194.1*	*7,170.0*
Office of Financial Management	*M/FM*		*6,397.3*	*6,397.3*		*5,078.8*	*5,078.8*	*11,476.1*
Office of Procurement	*M/OP*		*10,328.6*	*10,328.6*		*1,205.8*	*1,205.8*	*11,534.4*
Office of Information Resources Management	*M/IRM*		*6,319.9*	*6,319.9*		*238.0*	*238.0*	*6,557.9*
Office of Administrative Services	*M/AS*		*4,109.4*	*4,109.4*		*134.9*	*134.9*	*4,244.3*
Bureau for Program and Policy Coordination	PPC	538.0	7,522.0	8,060.0	954.0	878.9	1,832.9	9,892.9
Bureau for Legislative Public Affairs	LPA		2,753.0	2,753.0		1,577.0	1,577.0	4,330.0
Subtotals: Central Bureaus/Offices		664.0	76,877.8	77,541.8	1,372.0	15,212.8	16,584.8	94,126.6
Centrally-managed Functions								
IT Support						73,900.0	73,900.0	73,900.0
Rent and Security						41,183.2	41,183.2	41,183.2
Training						5,461.1	5,461.1	5,461.1
ICASS						4,722.4	4,722.4	4,722.4
Personnel Support						2,249.4	2,249.4	2,249.4
Other Costs (Workmen's Comp., etc.)						5,579.0	5,579.0	5,579.0
Staff on Complement - Mostly NEPs			8,800.0	8,800.0				8,800.0
Subtotals: Centrally-managed Functions			8,800.0	8,800.0	-	133,095.1	133,095.1	141,895.1
Other								
A/AID, General Counsel, Security, etc.			25,888.84	25,888.84		9,496.30	9,496.30	35,385.1
Subtotals: Other			25,888.84	25,888.84	-	9,496.30	9,496.30	35,385.14
Totals		**78,638.42**	**143,776.18**	**222,414.60**	**271,030.20**	**160,748.20**	**431,778.40**	**654,193.00**

Source: USAID PPC/RA

Note: Numbers include adjustments from supplementals for FY02.

Note: The EGAT, GH, DCHA Salary and Benefit allocation was based on FY 01' before the reorganization was complete. This data will change by FY 02'

** "Operations" includes OE funded US and FSN PSC salaries, travel, rents, communications, equipment, etc.*

1 Includes funding for S. Africa floods

2 Includes funding for ESF-Pakistan and Central Asia Task Force

3 Includes funding for Plan Colombia/ARI

FY 2001 Program/OE Summary Table
($000)

Table 2 a

Bur	Operating Unit	Net Prog	Net Prog (Prog)	FY2001 Program ($000) [1]	Transfers	PL480 Total (FY01)	PL480 Emer. (FY01)	Region Attrib (Prog)	Mission OE ($000)	Region Attrib (OE) [2]	USDH	USPSC (Pgm) [3]	Region Attrib (USPSC) [4]	Total Admin ($000) [5]	Ratio: Prog/Total Admin	Total OE as % of Program	Ratio: Program/ USDH
Grand Total		4,302,848.0	3,532,968.0	3,534,077.0	449,343.0	675,480.0	227,246.0	769,880.0	223,779.8	42,731.0	573	190	134	413,030.8	10.4	9.6%	7,509.3
AFR Subtotal		1,138,374.0	745,149.0	615,586.0	-	341,969.0	212,406.0	393,225.0	69,318.5	10,459.0	169	51	34	120,457.5	9.5	10.6%	6,735.9
AFR	Angola	27,434.7	17,958.0	12,261.0		33,481.0	27,784.0	9,476.7	2,557.3	385.9	3	4	3	4,903.2	5.6	17.9%	9,144.9
AFR	Benin	27,454.5	17,971.0	13,881.0		4,090.0		9,483.5	2,350.0	354.6	4		-	3,184.6	8.6	11.6%	6,863.6
AFR	Dem Rep of Congo	32,916.1	21,546.0	21,546.0		14,244.0	14,244.0	11,370.1	1,800.0	271.6	2	2	1	3,111.6	10.6	9.5%	16,458.1
AFR	Eritrea	15,611.7	10,219.0	10,219.0		2,830.0	2,830.0	5,392.7	1,328.0	200.4	3	1	1	2,288.4	6.8	14.7%	5,203.9
AFR	Ethiopia	101,878.6	66,687.0	42,187.0		102,982.0	78,482.0	35,191.6	3,286.2	495.8	10	3	2	6,182.0	16.5	6.1%	10,187.9
AFR	Ghana	92,302.9	60,419.0	42,072.0		18,347.0		31,883.9	3,135.9	473.2	12	5	3	7,049.1	13.1	7.6%	7,691.9
AFR	Guinea	33,078.0	21,652.0	18,520.0		10,712.0	7,580.0	11,426.0	2,977.5	449.3	6	4	3	5,746.8	5.8	17.4%	5,513.0
AFR	Kenya	65,239.5	42,704.0	33,269.0		48,174.0	38,739.0	22,535.5	4,242.2	640.1	6	4	3	7,202.2	9.1	11.0%	10,873.2
AFR	Liberia	13,421.0	8,785.0	5,723.0		3,062.0		4,636.0	713.2	107.6	2		-	1,060.8	12.7	7.9%	6,710.5
AFR	Madagascar	38,275.3	25,054.0	20,043.0		5,011.0		13,221.3	2,624.3	396.0	8	2	1	4,780.3	8.0	12.5%	4,784.4
AFR	Malawi	45,475.4	29,767.0	28,013.0		1,754.0		15,708.4	2,171.0	327.6	8	1	1	3,858.6	11.8	8.5%	5,684.4
AFR	Mali	57,452.7	37,607.0	35,235.0		2,372.0		19,845.7	4,964.1	749.0	14	1	1	7,793.1	7.4	13.6%	4,103.8
AFR	Mozambique	104,127.4	68,159.0	45,022.0		23,137.0		35,968.4	7,245.2	1,093.2	15	9	6	13,738.4	7.6	13.2%	6,941.8
AFR	Namibia	15,150.3	9,917.0	9,917.0				5,233.3	1,122.0	169.3	3	2	1	2,451.3	6.2	16.2%	5,050.1
AFR	Nigeria	97,978.4	64,134.0	64,134.0				33,844.4	4,380.6	661.0	8	2	1	6,801.6	14.4	6.9%	12,247.3
AFR	Rwanda	39,248.5	25,691.0	15,297.0		10,394.0		13,557.5	2,800.5	422.5	5	1	1	4,223.0	9.3	10.8%	7,849.7
AFR	Senegal	38,492.3	25,196.0	24,362.0		834.0		13,296.3	4,580.5	691.1	12		-	6,711.6	5.7	17.4%	3,207.7
AFR	South Africa	77,659.8	50,834.0	50,834.0				26,825.8	4,763.7	718.8	14	4	3	8,762.4	8.9	11.3%	5,547.1
AFR	Tanzania	33,424.8	21,879.0	20,945.0		29,256.0	28,322.0	11,545.8	3,792.6	572.2	9		-	5,444.8	6.1	16.3%	3,713.9
AFR	Uganda	99,929.3	65,411.0	48,547.0		31,289.0	14,425.0	34,518.3	4,527.6	683.1	11	4	3	8,130.8	12.3	8.1%	9,084.5
AFR	Zambia	57,614.6	37,713.0	37,713.0				19,901.6	2,396.2	361.5	7		-	3,597.7	16.0	6.2%	8,230.7
AFR	Zimbabwe	24,208.1	15,846.0	15,846.0				8,362.1	1,559.9	235.4	7	2	1	3,435.3	7.0	14.2%	3,458.3
ANE Subtotal		1,278,913.0	1,199,208.0	1,039,930.0	-	161,291.0	2,013.0	77,705.0	54,908.7	6,783.0	167	31	12	92,051.7	13.9	7.2%	7,646.2
ANE	Bangladesh	120,028.2	112,724.0	45,066.0		67,658.0		7,304.2	4,047.8	500.0	14	2	1	6,893.6	17.4	5.7%	8,573.4
ANE	Cambodia	20,576.1	19,324.0	18,915.0		2,422.0	2,013.0	1,252.1	2,929.5	361.9	6	3	1	5,010.1	4.1	24.3%	3,429.4
ANE	East Timor	20,787.0	19,522.0	19,522.0				1,265.0	400.0	49.4			-	449.4	46.3	2.2%	#DIV/0!
ANE	Egypt	434,781.1	408,323.0	408,000.0		323.0		26,458.1	18,607.4	2,298.6	56	7	3	29,956.4	14.5	6.9%	7,763.9
ANE	India	146,167.9	137,273.0	59,209.0		78,064.0		8,894.9	4,282.8	529.1	12	2	1	6,917.6	21.1	4.7%	12,180.7
ANE	Indonesia	130,057.5	122,143.0	109,910.0		12,233.0		7,914.5	4,729.3	584.2	17	8	3	10,016.8	13.0	7.7%	7,650.4
ANE	Jordan	159,169.0	149,483.0	149,483.0				9,686.0	2,902.2	358.5	10	3	1	5,459.4	29.2	3.4%	15,916.9
ANE	Lebanon	27,496.3	25,823.0	25,823.0				1,673.3	1,111.2	137.3	1		-	1,368.5	20.1	5.0%	27,496.3
ANE	Mongolia	12,733.9	11,959.0	11,959.0				774.9	391.2	48.3	2		-	679.5	18.7	5.3%	6,367.0
ANE	Morocco	13,403.7	12,588.0	11,997.0		591.0		815.7	2,695.8	333.0	7		-	3,868.8	3.5	28.9%	1,914.8
ANE	Nepal	21,812.4	20,485.0	20,485.0				1,327.4	2,502.0	309.1	8		-	3,771.1	5.8	17.3%	2,726.5
ANE	Philippines	43,435.2	40,792.0	40,792.0				2,643.2	3,518.7	434.7	12	1	0	5,726.2	7.6	13.2%	3,619.6
ANE	Sri Lanka	3,513.8	3,300.0	3,300.0				213.8	1,000.1	123.5	2		-	1,363.6	2.6	38.8%	1,756.9
ANE	West Bank and Gaz	122,951.0	115,469.0	115,469.0				7,482.0	5,790.7	715.3	20	5	2	10,570.6	11.6	8.6%	6,147.6

FY 2001 Program/OE Summary Table
($000)

Bur	Operating Unit	Net Prog	Net Prog (Prep)	FY2001 Program ($000) [1]	Transfers	PL480 Total (FY01)	PL480 Emer. (FY01)	Region Attrib (Prog)	Mission OE ($000)	Region Attrib (OE) [2]	USDH	USPSC (Pgm) [3]	Region Attrib (USPSC) [4]	Total Admin ($000) [5]	Ratio: Prog/Total Admin	Total OE as % of Program	Ratio: Program/ USDH
E&E Subtotal		1,200,393.0	961,016.0	1,359,178.0	449,343.0	59,057.0	7,876.0	239,377.0	51,490.0	17,347.0	100	73	74	116,117.0	10.3	9.7%	12,003.9
E&E	Albania	31,535.7	25,247.0	30,822.0	5,575.0			6,288.7	983.2	331.2	4	2	2	2,761.0	11.4	8.8%	7,883.9
E&E	Armenia	86,662.9	69,381.0	105,139.0	35,758.0	742.0	742.0	17,281.9	2,375.0	800.1	5	5	5	6,191.6	14.0	7.1%	17,332.6
E&E	Azerbaijan	27,814.7	22,268.0	32,293.0	10,025.0	2,501.0	2,501.0	5,546.7	559.1	188.4	2	2	2	1,954.0	14.2	7.0%	13,907.3
E&E	Belarus	1,262.8	1,011.0	7,834.0	6,823.0			251.8		-		1	1	483.3	2.6	38.3%	#DIV/0!
E&E	Bosnia and Herzegc	101,380.9	81,164.0	101,183.0	20,019.0			20,216.9	5,385.6	1,814.4	8	6	6	11,059.7	9.2	10.9%	12,672.6
E&E	Bulgaria	45,170.7	36,163.0	39,588.0	3,425.0			9,007.7	1,400.0	471.7	4	2	2	3,318.2	13.6	7.3%	11,292.7
E&E	CAR-Kazakhstan [6]	161,525.7	129,315.0	125,384.0	42,678.0	46,609.0		32,210.7	7,506.7	2,529.0	18	11	11	17,511.9	9.2	10.8%	8,973.7
E&E	Croatia	60,490.8	48,428.0	53,328.0	4,900.0			12,062.8	1,710.0	576.1	4	4	4	4,699.2	12.9	7.8%	15,122.7
E&E	Georgia	77,773.2	62,264.0	106,419.0	48,727.0	9,205.0	4,633.0	15,509.2	4,621.8	1,557.1	11	10	10	12,331.8	6.3	15.9%	7,070.3
E&E	Kosovo	82,966.9	66,422.0	151,292.0	84,870.0			16,544.9	8,650.0	2,914.2	9	1	1	13,127.5	6.3	15.8%	9,218.5
E&E	Macedonia	43,224.7	34,605.0	39,045.0	4,440.0			8,619.7	1,197.0	403.3		3	3	3,050.1	14.2	7.1%	#DIV/0!
E&E	Moldova	39,400.0	31,543.0	56,781.0	25,238.0			7,857.0	537.6	181.1	1	2	2	1,805.3	21.8	4.6%	39,400.0
E&E	Romania	47,482.8	38,014.0	41,044.0	3,030.0			9,468.8	2,313.7	779.5	4	7	7	6,956.2	6.8	14.6%	11,870.7
E&E	Russia	165,656.5	132,622.0	201,061.0	68,439.0			33,034.5	5,583.8	1,881.2	14	2	2	10,111.5	16.4	6.1%	11,832.6
E&E	Serbia	117,258.1	93,875.0	103,430.0	9,555.0			23,383.1	3,150.0	1,061.2	1	2	2	5,297.8	22.1	4.5%	117,258.1
E&E	Ukraine	110,786.6	88,694.0	164,535.0	75,841.0			22,092.6	5,516.6	1,858.5	15	13	13	15,457.9	7.2	14.0%	7,385.8
LAC Subtotal		687,168.0	627,595.0	519,383.0	-	113,163.0	4,951.0	59,573.0	48,062.5	8,142.0	137	35	14	84,404.5	8.1	12.3%	5,015.8
LAC	Bolivia	141,909.6	129,607.0	113,689.0		15,918.0		12,302.6	4,637.4	785.6	17	3	1	8,471.0	16.8	6.0%	8,347.6
LAC	Brazil	16,687.7	15,241.0	15,241.0				1,446.7	695.0	117.7	2		-	1,052.7	15.9	6.3%	8,343.9
LAC	Columbia								4,100.0	694.6	8	2	1	6,426.6	-	#DIV/0!	-
LAC	Dominican Republic	22,870.7	20,888.0	19,363.0		1,525.0		1,982.7	2,729.2	462.3	7	2	1	4,703.5	4.9	20.6%	3,267.2
LAC	Ecuador	28,365.1	25,906.0	25,906.0				2,459.1	1,415.0	239.7	6		-	2,374.7	11.9	8.4%	4,727.5
LAC	El Salvador	80,723.2	73,725.0	73,725.0		1,459.0	1,459.0	6,998.2	4,698.3	795.9	14	1	0	7,510.2	10.7	9.3%	5,765.9
LAC	Guatemala	58,434.9	53,369.0	37,808.0		16,036.0	475.0	5,065.9	4,589.2	777.4	16	5	2	8,966.6	6.5	15.3%	3,652.2
LAC	Guyana	5,034.5	4,598.0	4,598.0				436.5	365.1	61.8	1	2	1	1,218.9	4.1	24.2%	5,034.5
LAC	Haiti	86,416.8	78,925.0	53,814.0		25,111.0		7,491.8	5,247.8	889.0	10	2	1	8,008.8	10.8	9.3%	8,641.7
LAC	Honduras	34,714.5	31,705.0	27,270.0		5,270.0	835.0	3,009.5	3,758.5	636.7	11	11	4	9,411.2	3.7	27.1%	3,155.9
LAC	Jamaica	14,623.8	13,356.0	13,356.0				1,267.8	3,581.9	606.8	7		-	5,028.7	2.9	34.4%	2,089.1
LAC	Mexico	17,580.1	16,056.0	16,056.0				1,524.1	690.8	117.0	2	2	1	1,719.8	10.2	9.8%	8,790.0
LAC	Nicaragua	37,357.7	34,119.0	28,493.0		7,808.0	2,182.0	3,238.7	3,535.0	598.8	12	1	0	5,909.8	6.3	15.8%	3,113.1
LAC	Panama	5,140.7	4,695.0	4,695.0				445.7	1,150.3	194.9	2	2	1	2,257.2	2.3	43.9%	2,570.3
LAC	Paraguay	10,886.8	9,943.0	9,943.0				943.8	920.0	155.9	2		-	1,315.9	8.3	12.1%	5,443.4
LAC	Peru	126,422.0	115,462.0	75,426.0		40,036.0		10,960.0	5,949.0	1,007.8	20	2	1	10,028.8	12.6	7.9%	6,321.1
Subtotal: Operating Units		4,302,848.0	3,532,968.0	3,534,077.0	449,343.0	675,480.0	227,246.0	769,880.0	223,779.8	42,731.0	573	190	134	413,030.8	10.4	9.6%	7,509.3

[1] Actual obligations

[2] Mission OE / AFR Total Mission OE × AFR Total Region Attrib OE

[3] Long-term, internationally-recruited USPSCs only

[4] AID/W only, all program-funded staff (PSCs, RSSAs, PASAs, etc.)

[5] Mission OE + (USDH × 120) + (USPSC Pgm * 240) + Region Attrib OE

[6] Includes Kazakhstan, Kyrgyzstan, Tajikistan, Turkmenistan and Uzbekistan

Note: USDH annual salary = $120,000 and USPSC annual salary = $240,000

FY 2004 BPBS Program/OE Ratio Summary Table

($ 000)

Table 2b

				FY 2004 Base														FY 2004 Enhanced						
Bur	COUNTRY	Net Prog	Net Prog (Pre Regn Dist)	Program ($000)	Trans-fers (FY03)	PL480 Total (FY01)	PL480 Emer. (FY01)	Region Attrib (Prog)	Mission OE ($000)	USDH	US PSC (Pgm)	Region Attrib (OE)	Region Attrib (USPSC)	Total OE ($000)	Ratio: Prog/ Total OE	Total OE as % of Program	Ratio: Program/ USDH	Program ($000)	Mission OE ($000)	USDH	Total OE 1/ ($000)	Ratio: Program/ Total OE	Total OE as % of Program	Ratio: Program/ USDH
Grand Total		4,150,589		4,057,295	310,835	676,835	272,706	-	216,872	616	235	-	-	373,672	11	9.0%	6,738							
AFR Total		933,875	933,875	797,238	-	389,933	253,294	-	69,046	187	76	-	-	113,466	8	12.2%	4,994							
AFR	Angola	19,033	19,033	13,336		33,481	27,784	-	2,042	3		-		2,462	8	12.9%	6,344							
AFR	Benin	20,978	20,978	16,888		4,090		-	2,272	5		-		2,972	7	14.2%	4,196	23,000	1,101	3	1,521	15	6.6%	7,667
AFR	Democratic Republic of Congo (DROC)	34,245	34,245	34,245		14,244	14,244	-	2,906	5		-		3,606	9	10.5%	6,849							
AFR	Eritrea	9,500	9,500	9,500		2,830	2,830	-	1,462	4	3	-		2,742	3	28.9%	2,375	15,000	468	2	748	20	5.0%	7,500
AFR	Ethiopia	79,901	79,901	55,401		102,982	78,482	-	3,140	13		-		4,960	16	6.2%	6,146	138,800	5,270	17	7,650	18	5.5%	8,165
AFR	Ghana	58,332	58,332	39,985		18,347		-	2,910	12	10	-		6,990	8	12.0%	4,861	56,700	2,592	8	3,712	15	6.5%	7,088
AFR	Guinea	23,579	23,579	20,447		10,712	7,580	-	2,980	8	12	-		6,980	3	29.6%	2,947	4,940	335	1	475	10	9.6%	4,940
AFR	Kenya	65,655	65,655	56,220		48,174	38,739	-	4,343	7	7	-		7,003	9	10.7%	9,379	94,800	4,407	15	6,507	15	6.9%	6,320
AFR	Liberia	18,062	18,062	15,000		3,062		-	626	1		-		766	24	4.2%	18,062							
AFR	Madagascar	27,147	27,147	22,136		5,011		-	2,519	6	5	-		4,559	6	16.8%	4,525	47,000	5,654	10	7,054	7	15.0%	4,700
AFR	Malawi	31,235	31,235	29,481		1,754		-	2,450	8	3	-		4,290	7	13.7%	3,904	31,103	3,160	11	4,700	7	15.1%	2,828
AFR	Mali	36,814	36,814	34,442		2,372		-	3,846	10	3	-		5,966	6	16.2%	3,681	32,500	847	2	1,127	29	3.5%	16,250
AFR	Mozambique	69,121	69,121	45,984		23,137		-	6,601	11		-		8,141	8	11.8%	6,284							
AFR	Namibia	7,001	7,001	7,001		-		-	980	4	3	-		2,260	3	32.3%	1,750							
AFR	Nigeria	75,045	75,045	67,969		7,076		-	4,300	15	8	-		8,320	9	11.1%	5,003							
AFR	Rwanda	35,639	35,639	25,245		10,394		-	2,598	5	3	-		4,018	9	11.3%	7,128							
AFR	Senegal	32,706	32,706	31,872		834		-	4,714	15	1	-		7,054	5	21.6%	2,180							
AFR	South Africa	61,219	61,219	61,219		-		-	4,549	20	10	-		9,749	6	15.9%	3,061	23,000	1,101	3	1,521	15	6.6%	7,667
AFR	Sudan	46,455	46,455	46,455		40,888	40,888	-	313	-	4	-		1,273	36	2.7%	n/a							
AFR	Tanzania	31,775	31,775	30,841		29,256	28,322	-	4,560	9	1	-		6,060	5	19.1%	3,531							
AFR	Uganda	78,430	78,430	61,566		31,289	14,425	-	4,385	12		-		6,065	13	7.7%	6,536	81,500	4,524	17	6,904	12	8.5%	4,794
AFR	Zambia	48,347	48,347	48,347		-		-	2,721	7	1	-		3,941	12	8.2%	6,907	51,992	4,508	13	6,328	8	12.2%	3,999
AFR	Zimbabwe	23,656	23,656	23,656		-		-	1,829	7	2	-		3,289	7	13.9%	3,379	1,000						
ANE Total		1,669,057	1,669,057	1,509,779	0	161,291	2,013	0	59,693	174	73		0	101,573	16	6.1%	9,592							
ANE	Bangladesh	137,882	137,882	70,224		67,658		-	4,375	17	6	-		8,195	17	5.9%	8,111	15,000						
ANE	Cambodia	42,409	42,409	42,000		2,422	2,013	-	3,236	7	5	-		5,416	8	12.8%	6,058	2,500						
ANE	East Timor	19,000	19,000	19,000		-		-	522	-	-	-		522	36	2.7%	n/a	51,392	1,650	5	2,350	22	4.6%	10,278
ANE	Egypt	575,323	575,323	575,000		323		-	19,529	49	10	-		28,789	20	5.0%	11,741	575,000	19,700	49	26,560	22	4.6%	11,735
ANE	India	206,664	206,664	128,600		78,064		-	5,068	16	6	-		8,748	24	4.2%	12,917	168,300	6,389	22	9,469	18	5.6%	7,650
ANE	Indonesia	171,237	171,237	159,004		12,233		-	6,145	21	17	-		13,165	13	7.7%	8,154	160,178	5,731	19	8,391	19	5.2%	8,430
ANE	Jordan	250,000	250,000	250,000		-		-	3,433	13	3	-		5,973	42	2.4%	19,231	250,000	3,831	13	5,651	44	2.3%	19,231
ANE	Lebanon	32,500	32,500	32,500		-		-	830	2	-	-		1,110	29	3.4%	16,250	35,000	906	4	1,466	24	4.2%	8,750
ANE	Mongolia	12,000	12,000	12,000		-		-	305	1	-	-		445	27	3.7%	12,000	13,250	726	2	1,006	13	7.6%	6,625
ANE	Morocco	7,991	7,991	7,400		591		-	2,627	5	2	-		3,807	2	47.6%	1,598	11,400	2,929	6	3,769	3	33.1%	1,900
ANE	Nepal	48,250	48,250	48,250		-		-	2,592	8	8	-		5,632	9	11.7%	6,031	50,245	3,723	11	5,263	10	10.5%	4,568
ANE	Philippines	76,551	76,551	76,551		-		-	3,876	14	4	-		6,796	11	8.9%	5,468							
ANE	Sri Lanka	10,000	10,000	10,000		-		-	815	2	-	-		1,095	9	10.9%	5,000							
ANE	Thailand	4,250	4,250	4,250				-	641	1	-	-		781	5	18.4%	4,250	5,500	4,100	10	5,500	1	100.0%	550
ANE	West Bank	75,000	75,000	75,000				-	5,700	18	12	-		11,100	7	14.8%	4,167	72,000	5,654	10	7,054	10	9.8%	7,200

FY 2004 BPBS Program Ratio Summary Table

($ 000)

Table 2b

				FY 2004 Base														FY 2004 Enhanced						
Bur	COUNTRY	Net Prog	Net Prog (Pre Regn Dist)	Program ($000)	Trans-fers (FY03)	PL480 Total (FY01)	PL480 Emer. (FY01)	Region Attrib (Prog)	Mission OE ($000)	USDH	US PSC (Pgm)	Region Attrib (OE)	Region Attrib (USPSC)	Total OE ($000)	Ratio: Prog/ Total OE	Total OE as % of Program	Ratio: Program/ USDH	Program ($000)	Mission OE ($000)	USDH	Total OE 1/ ($000)	Ratio: Program/ Total OE	Total OE as % of Program	Ratio: Program/ USDH
E&E Total		675,185	675,165	986,000	310,835	12,448	12,448	-	38,894	102	86	-	-	73,814	9	10.9%	6,619							
E&E	Albania	23,925	23,925	28,000	4,075	-		-	1,792	4	3	-	-	3,072	8	12.8%	5,981							
E&E	Armenia	46,600	46,600	70,000	23,400	742	742	-	3,205	8	8	-	-	6,245	7	13.4%	5,825	49,000	3,496	7	4,476	11	9.1%	7,000
E&E	Azerbaijan	38,050	38,050	51,000	12,950	2,501	2,501	-	604	2	2	-	-	1,364	28	3.6%	19,025							
E&E	Bosnia	34,165	34,165	49,000	14,835			-	3,300	9	7	-	-	6,240	5	18.3%	3,796	101,323	5,258	18	7,778	13	7.7%	5,629
E&E	Bulgaria	26,600	26,600	30,000	3,400	-		-	1,435	3	5	-	-	3,055	9	11.5%	8,867							
E&E	Croatia	25,875	25,875	30,000	4,125	-		-	1,403	4	5	-	-	3,163	8	12.2%	6,469							
E&E	Georgia	51,900	51,900	87,000	35,100	9,205	9,205	-	4,224	12	10	-	-	8,304	6	16.0%	4,325	51,392	1,650	5	2,350	22	4.6%	10,278
E&E	Kosovo	31,600	31,600	85,000	53,400	-		-	4,381	9	4	-	-	6,601	5	20.9%	3,511							
E&E	Macedonia	44,295	44,295	50,000	5,705			-	1,374	4	5	-	-	3,134	14	7.1%	11,074	43,716	4,859	15	6,959	6	15.9%	2,914
E&E	Moldova	21,900	21,900	30,000	8,100	-		-	493	1	3	-	-	1,353	16	6.2%	21,900							
E&E	Montenegro	22,940	22,940	25,000	2,060	-		-	922	-	4	-	-	1,882	12	8.2%	n/a	21,000	500	1	640	33	3.0%	21,000
E&E	Romania	27,700	27,700	30,000	2,300	-		-	1,791	5	8	-	-	3,931	7	14.2%	5,540							
E&E	Russia	96,570	96,570	151,000	54,430	-		-	5,700	17	4	-	-	9,040	11	9.4%	5,681	75,000	5,700	18	8,220	9	11.0%	4,167
E&E	Serbia-FRY	112,585	112,585	120,000	7,415			-	3,216	8	3	-	-	5,056	22	4.5%	14,073	83,993	4,809	16	7,049	12	8.4%	5,250
E&E	Ukraine	70,460	70,460	150,000	79,540	-		-	5,054	16	17	-	-	11,374	6	16.1%	4,404							
E&E		-	-	-	-			-	-	-	-	-	-	-	n/a	n/a	n/a							
LAC Total		872,492	872,492	764,280	-	113,163	4,951	-	49,239	153		-		84,819	10	9.7%	5,703							
LAC	Bolivia	111,353	111,353	95,435		15,918		-	4,833	18	5	-		8,553	13	7.7%	6,186	151,000	4,111	11	5,651	27	3.7%	13,727
LAC	Brazil	18,792	18,792	18,792		-		-	1,102	3	1	-		1,762	11	9.4%	6,264							
LAC	Colombia	151,000	151,000	151,000				-	4,111	11	3	-		6,371	24	4.2%	13,727	122,848	5,258	18	7,778	16	6.3%	6,825
LAC	Dominican Republic	30,878	30,878	29,353		1,525		-	2,980	11	4	-		5,480	6	17.7%	2,807	35,000	906	4	1,466	24	4.2%	8,750
LAC	Ecuador	50,130	50,130	50,130		-		-	1,650	5	4	-		3,310	15	6.6%	10,026	51,392	1,650	5	2,350	22	4.8%	10,278
LAC	El Salvador	37,879	37,879	37,879		1,459	1,459	-	4,650	15	2	-		7,230	5	19.1%	2,525	21,695	3,723	10	5,123	4	23.6%	2,170
LAC	Guatemala	77,031	77,031	61,470		16,036	475	-	4,809	16	5	-		8,249	9	10.7%	4,814							
LAC	Guyana	4,940	4,940	4,940		-		-	335	1	1	-		715	7	14.5%	4,940	4,940	335	1	475	10	9.6%	4,940
LAC	Haiti	59,611	59,611	34,500		25,111		-	5,330	10	5	-		7,930	8	13.3%	5,961							
LAC	Honduras	41,127	41,127	36,692		5,270	835	-	4,190	13	7	-		7,690	5	18.7%	3,164	51,189	3,796	12	5,476	9	10.7%	4,266
LAC	Jamaica	41,930	41,930	41,930		-		-	3,462	11	4	-		5,962	7	14.2%	3,812	151,000	4,111	11	5,651	27	3.7%	13,727
LAC	Mexico	30,665	30,665	30,665		-		-	906	4	8	-		3,386	9	11.0%	7,666	131,028	5,731	19	8,391	16	6.4%	6,896
LAC	Nicaragua	38,100	38,100	32,474		7,808	2,182	-	3,560	12	7	-		6,920	6	18.2%	3,175	35,000	906	4	1,466	24	4.2%	8,750
LAC	Panama	11,250	11,250	11,250		-		-	726	2	2	-		1,486	8	13.2%	5,625	13,375	949	2	1,229	11	9.2%	6,688
LAC	Paraguay	10,125	10,125	10,125		-		-	912	2	1	-		1,432	7	14.1%	5,063	16,000	1,410	2	1,690	9	10.6%	8,000
LAC	Peru	157,681	157,681	117,645		40,036		-	5,683	19	-	-		8,343	19	5.3%	8,299	151,000	4,111	11	5,651	27	3.7%	13,727
	Subtotal Ctry Programs	4,150,589		4,057,295	310,835	676,835	272,706	-	216,872	616		-		373,672	11	9.0%	6,738	466,843	24,935	72	35,015	13	7.5%	6,484

Notes:

Net Program includes direct program, less transfers, plus non-emergency PL480, plus a distribution of Regional Programs, based on net program levels

Total OE includes Mission OE, plus USDH @ $120,000 per USDH, plus program USPSC @ $240,000 per PSC, plus prorated levels (based on net Program Levels) of Washington OE and staff (@ $120,000 per position)

Table 2, Attachment 1

Methodology of Ratios

Administrative/Operating Costs

- Mission Operating Expenses
- Plus Average Salaries and Benefits (USDH @ $140K)
- Plus Average PSC Costs (PSC @ $240K)
- Plus Allocation for Regional Costs in Washington including PSCs @ $120K
- Equals Total Mission OE/Admin Costs

Program Funds

- Mission Program Funds
- Less Transfers
- Plus P.L. 480
- Minus Emergency P.L. 480
- Plus Allocation of Regional Programming
- Equals Total Mission Program Funds

Ratios

- Program to Total OE/Admin = Total Mission Program Funds divided by Total Mission OE Funds
- Program to USDH =Total Mission Program Funds divided by USDH

Table 3

FY 2001 USAID Cost of Program Support and Administration

Category	Funding (millions)	Personnel
OE Account		
USDH		1,933
USPSC		113
FSN		3,609
Subtotal: OE Account	*614.9*	*5,655*
Program Accounts		
International (US/FSN)		441
Local Hire (Overseas)		1,384
Local Hire (AIDW)		238
Subtotal: Program Accounts	*290.4*	*2,063*
Totals	**905.3**	**7,718**

FYs 2001-2002 Program-Funded Staff and Estimated Costs
(Cost in Millions)

Category	AID/W		Overseas		Totals	
	No.	Cost	No.	Cost	No.	Cost
2001						
International						
USPSC			271	81.3	271	81.3
FSNPSC			92	27.6	92	27.6
Other			78	25.4	78	25.4
of which Fellows			34	11.1	34	11.1
Subtotal: International	-	-	*441*	*134.3*	*441*	*134.3*
Local Hire						
USPSC	151	19.6	83	10.8	234	30.4
FSNPSC			1,128	79.0	1,128	79.0
Other	238	42.8	22	4.0	260	46.8
of which Fellows	73	13.1			73	13.1
Subtotal: Local Hire	*389*	*62.4*	*1,233*	*93.8*	*1,622*	*156.2*
Totals: 2001	**389**	**62.4**	**1,674**	**228.1**	**2,063**	**290.5**
2002						
International						
USPSC			277	85.6	277	85.6
FSNPSC			95	29.4	95	29.4
Other			72	24.1	72	24.1
of which Fellows			34	11.4	34	11.4
Subtotal: International	-	-	*444*	*139.1*	*444*	*139.1*
Local Hire						
USPSC	146	19.6	89	11.9	235	31.5
FSNPSC			1,201	90.0	1,201	90.0
Other	262	48.5	22	5.2	284	53.7
of which Fellows	73	13.1			73	13.1
Subtotal: Local Hire	*408*	*68.1*	*1,312*	*107.1*	*1,720*	*175.2*
Totals: 2002	**408**	**68.1**	**1,756**	**246.2**	**2,164**	**314.3**

Note: *See Table 2 attachments for further details*

Table 4, Attachment 1

Comments

(1) Source for personnel levels and costing. Staff levels are derived from the staffing pattern documents issued with input from the field Missions and USAID/W offices. Standard cost estimates, on an agency basis, were developed using indicative data available in some cases from HR database, and in other cases from discussions with field mission controller staff. Objective of costing was to identify cost and support factors are those which are charged to program funds at the Mission and which represent the costs that would equate international program funded personnel with USDH staffing costs.

(2) Program funded staffing, detailed in these tables, does not include institutional contract staff working for USAID to support operations. These staff provide administrative and technical support for program related activities. These staff members remain employed by their parent contractor and provide services rather than a product. Contractors may be part of the oversight of the program, or in other cases may be directly implementing program components. USAID currently is undertaking a review of such institutional contractors to determine how such services should be characterized. An initial FY 2001 survey indicates an additional 308 positions in USAID/W at an annual cost of $59 million.

(3) Other costs. The table outlines identified staff who perform program oversight management functions. USAID also obtains support in the form of technical products through institutional means, both in USAID/W and in the field. While what does or does not constitute part of the Agency's management burden is hard to measure precisely, the Agency uses program functions for many purposes that might at one time or another have been viewed as the Agency's management burden. In past years, some or most of the following functions would have been performed using OE funds.

- Funding in bureaus such as PPC, EGAT, DCHA, GH for sector and strategy analysis, reviews, and evaluation.
- Funding for systems in the M Bureau.
- Mission funding for program design, assessments, and evaluations.
- Funding of non-federal audit programs and other financial reviews.
- Funding of regional bureau programs and broad sector support projects in pillar bureaus.
- Support of program activities such as the outsourcing of small grants programs, or performance of program oversight duties on a contract basis.

Although it is difficult to quantify these diverse costs, they are an essential part of how the Agency obtains the skills and expertise it needs.

Table 4, Attachment 2

Explanation of Staff Categories

(1) International staff. Foreign national staff and U.S. citizens who are hired for a specific job in a foreign area. Staff who are characterized as international receive all field level benefits and support that a U.S. direct hire (USDH) staff member would receive. Depending on the mode of employment, they may receive retirement benefits or be subject to overhead and other costs.

(2) USPSCs (U.S. Personal Services Contractors). Employees under a direct contract; such positions usually are graded in accordance with USDH standards, and PSCs receive all direct benefits. USPSCs who are program funded tend to be higher graded technical staff who provide skills not available in the USDH workforce.

(3) FNPSCs (Foreign National Personal Services Contractors). Foreign employees of the United States hired under a direct contract. Such positions are usually graded in accordance with USDH standards, and contractors receive all direct benefits. International FNPSCs tend to be higher graded technical staff who provide skills not available in the USDH workforce.

(4) Other. Includes other categories of program funded staff at field missions, including IPAs, PASAs, RSSAs, TAACS, and other sources of personnel. Such positions are graded with USDH standards. Personnel receive all direct benefits that are provided to USDH staff, and tend to be higher graded technical staff who provide skills not available in the USDH workforce. (Such staff serving in USAID are in the category "other local hire.")

(5) Short-term. International staff as described in other PSC categories. For counting purposes this review assumes 0.5 workyear per staff member.

(6) Local Hire. U.S. and FN staff hired either in Washington for the USAID/W component or at given field posts. Program funded USAID/W staff normally relate either to bureaus with special PSC authority or to the technical staff (under "other") within the central bureaus.

(7) USPSCs, sometimes called resident hire staff. In USAID/W these staff relate to bureaus with authority to hire PSCs, e.g., DCHA and E&E. These positions are usually graded in accordance with USDH staff levels, and receive few benefits. At field Missions, locally recruited U.S. citizens are given USPSC positions. They receive support at the Mission but not the benefits of international staff.

(8) FSNPSCs. Local hire foreign service national PSCs are hired on local wage scales in accordance with the prevailing wages at post. They receive support, but no

benefits other than those required by local law. Program funded FSNPSCs tend to be relatively higher graded and work in technical functions.

(9) Other. The "other" local hire category includes other categories of program funded staff serving in USAID/W technical offices shown in the staffing pattern, including Intergovernmental Personnel Act (IPA), Participating Agency Service Agreement (PASA), RSSAs , TAACS, and other sources of personnel. Such positions are usually graded in accordance with USDH standards, and these personnel usually receive all direct employee benefits that are provided to USDH staff assigned to USAID/W. Their charges may include overhead and administration from their home agencies. These program-funded personnel tend to be relatively higher graded technical staff who provide skills not available in the USDH workforce.

(10) Short-term. Local hire short-term staff as described in other PSC categories. For counting purposes this review assumes 0.5 workyear per staff member.

FYs 2001-2002 Standard Cost Factors for Program-Funded Personnel

Cost Factor	International		Local		
	US/FN/PSC	Other	USPSC	Other (AID/W)	FN
Salary & Benefits					
Salary	100	100	80	100	40
Dif. and COLA	20	20			
Fringe (25%)	25	25	20	25	10
Overhead		25		25	
Subtotal: Salary & Benefits	*145*	*170*	*100*	*150*	*50*
Support					
Travel (A/R/TP)	40	40			
Entitlements	25	25			
Housing	30	30			
Furn./Comm.	30	30			
Subtotal: Support	*125*	*125*	*0*	*0*	*0*
Subtotal: Operational Support	*30*	*30*	*30*	*30*	*20*
Total: 2001	**300**	**325**	**130**	**180**	**70**
Total: 2002	**309**	**335**	**134**	**185**	**72**

Note: *See Table 5 attachments for further details*

Table 5, Attachment 1

Cost Elements

Salary:	Assume high FS-02 or low FS-01 salaries per annum.
Allowances:	Estimate 20% of base for incentives including differential, COLA, danger pay other differentials. Applies only to international staff.
Fringe:	Assume 25% of base for annual leave, sick leave, health insurance, social security and retirement. Applies to all categories of staff.
Overhead:	Assume 25% of base. Applied to staff obtained through institutions such as TAACS, PASAs, etc.
Support Costs	
Travel ATP/R:	Assignment to post travel/transportation and repatriation after assignment. Based on two-year tour with one movement in each year.
Entitlements:	Includes R&R travel, home leave if on two tours, education allowances, medical evacuation, and emergency travel.
Housing:	Annualized cost of rent, utilities, and maintenance, including security renovations.
Furniture and Commodities:	Cost and transportation of one half of a set of household furniture, appliances, etc. split over two years.
Operational Support:	Level of Mission support for operations given to USDH staff, including office rent and utilities, office equipment, staff services, operational travel and support.

Annex A

Legislative History and Constraints

An Evolution of Policy and Practice

The Foreign Assistance and Related Programs Appropriations Act, 1976, for the first time enacted a separate line item appropriation for USAID operating expenses that was intended to include most, if not all, of USAID's "cost of doing business." This represented the culmination of years of pressure on the Agency to consolidate its operating expenses into a single budget request. Up until that year, USAID's operating expenses were derived from two sources: an appropriation to an administrative expenses account and appropriations to program accounts. (Non-appropriated trust funds and relatively small amounts of other funds also were used for operating expenses.)

In the mid-1970s, approximately two-thirds of USAID's operating costs were borne by program accounts. The administration's budget request for FY 1975 identified 11 separate funding accounts, including the USAID Administrative Expenses account, from which operating expenses would be funded. Of the total request of $213.2 million, the request for the Administrative Expenses account was $48.2 million.

In FY 1976, the Administrator (and later OMB) agreed that all appropriate items previously funded from program accounts would be consolidated with the Administrative Expenses account and requested as a unified operating expenses account. Subsequently, the Congressional appropriations committees stated that the account "was created by the Congress in fiscal year 1976 for the purpose of consolidating USAID's cost of doing business in a single discrete appropriation account. In keeping with the Committees' recommendations, personnel and related expenses, including travel and transportation, of all non-reimbursable [i.e., excluding positions in the Housing Investment Guarantee and Excess Property programs] full time employees in permanent positions have been justified and are to be funded only from this account."[1]

Perhaps the most complete explanation of the Committees' original intent in establishing the separate OE account is contained in the Senate Appropriations Committee report on the FY 1980 appropriations act. "...If the primary objective [is] the provision of services to the Agency, (e.g., management support or analysis for development assistance policy planning), the Committee regards the funding of the activity as part of USAID's 'cost of doing business' and a charge which should be made against USAID's operating expense budget." The report provided several examples of OE funded activities, including "a project undertaken to do economic analysis of developing countries and on the impact of international economic policies on LDC

[1] Senate Appropriations Committee Report on the FY 1979 Appropriations Act.

development and their implications for USAID programs, is designed 'to serve the Agency' and should be funded from operating expense funds." This report also repeated the language above, emphasizing that "all" employees were to be funded from this account.

From that point, the Agency's direction on operating expense funding evolved more rapidly. For example, most of the Agency's evaluations and analyses have become program funded, based on the rationale that their ultimate use is intended to enable the Agency to better serve its "ultimate beneficiaries." Program Development and Support activities also have been justified as program funded over the years.

Use of Program Funds for OE Costs

Starting with the Support for Eastern Europe (SEED) Act legislation, Congress recognized the inherent correlation between program funds and the need for operating expenses to manage the resources. This is consistent with legislation that requires that the authority to use OE funds for program purposes must be specifically authorized by the Congress and funds must be specifically allowed by PPC's Office of Resource Allocation for this purpose.

Determining an appropriate percentage of program funds to be allowed for OE purposes is a difficult proposition. Below is a partial listing of specific instances where Congress has allowed the use of program funds to meet administrative expenses.

- The FY 2002 supplemental funding bill permits the transfer of up to $6 million in CSH funds to the OE account to be used for costs related to international health programs.

- The FY 2002 Appropriations Act allowed—

  - Up to $1 million of ESF for East Timor for OE expenses.

  - Up to $4.5 million of Andean Counter-Drug Initiative money for USAID administrative expenses.

  - Up to $32,500 of DA funds to monitor orphans, displaced children, and war victims programs.

- For FYs 2001 and 2002, FAA Section 104(c) allows up to 7% of the funds authorized for HIV/AIDS to be used for administrative expenses related to those programs.

- The FY 1993 Appropriations Act provided permanent authority for USAID to use DA funds to pay the salaries and support costs of individuals working in the environment and energy sectors.

- For the newly-independent states of the former Soviet Union, FAA Section 498(C) permits funds to be transferred to the OE account for the administrative expenses of running the NIS program. There is no funding limit, although anything over 2% of the appropriated NIS funds must be justified in a Congressional Notification.

- FAA Section 635(l) permits USAID to use program funds to provide program and management oversight for activities that are conducted in countries where USAID does not have a field mission or office.

- Section 803 of the SEED Act permits the use of up to $500,000 of SEED funds in any fiscal year for USAID administrative expenses.

There are other examples. The Hurricane Mitch supplemental funding bill permitted the transfer of up to $5.5 million of program funds to the OE account to be used in support of Mitch activities (authority to transfer program funds to the IG also was provided). The FY 2001 supplemental for Mozambique (Southern Africa) permitted up to $5.0 million of supplemental disaster relief funds to be used for USAID's administrative expenses.

USAID's OE Policy Guidelines

USAID has interpreted with flexibility legislative guidance on the use of operating expense funding. The litmus test of "who benefits from the activity" has been broadly interpreted to include any activity that ultimately will have an impact on USAID's beneficiary population. Current USAID policy, contained in Section 601 of the Automated Directive Series, reserves the operating expense funding account for cases "where the activity has as its primary objective the provision of services to the Agency (e.g., management support or analysis for development assistance policy planning)."

U.S. direct hire costs (salaries and benefits) are legislatively mandated to be funded from OE. The test for whether other personnel should be program- or OE-funded relates to whatever single appropriation or organization receives the primary benefit from the individual's services. Travel and support costs for individuals also are "generally funded from the same appropriation account used to fund salaries and benefits of the individual." (See ADS 601.5.5.)

Although strategy development, project design, evaluation, and other activities relate to the Agency's "costs of doing business," in the longer run, they are the essential building blocks of Agency operations, and are necessary for program oversight. Ultimately the impact of improved strategies, design, and projects have an impact on the Agency's beneficiaries. In that sense, there clearly is a rationale for providing program funding for these activities.

Africa Bureau
Office of Development Planning
FY 03: Living at FY 02 Levels with FY 03 Commitments: What does it mean?
Worst Case Scenario
($000's)

	Total	(of which DA)	(of which CSH)	
Start FY 02 Base =	**892,223**	**471,000**	**421,223**	Total Aggregate FY 02 NOA DA/CSH (includes $5 mil Plus-Up for Ed Initiative)
less	52,200	52,200	0	Initiatiative Commitments above FY 02 level
less	67,150	0	67,150	HIV/AIDS Commitments above FY 02 level
less	5,000	5,000	0	Education Initiative Plus-up per OMB above FY 02 level
less	11,823	11,823	0	WSSD CARPE/Tropical Forest Plus-up per OMB above FY 03 level
=	**756,050**	**401,977**	**354,073**	Balance Available for Programming for non-Initiatives
less	75,000	75,000	0	Pipeline/NOA reduction for Administrator Priorities
=	**681,050**	**326,977**	**354,073**	Total Balance Available for Programming
less	69,961	62,521	7,440	Below the Line Requirements (non-Initiatives, and does not include $30 mil Public Private Alliances)
=	**611,089**	**264,456**	**346,633**	Balance Available for Bilateral and Regional Programming
less	32,000	25,000	7,000	Additional Requirement for Sudan (assume $54 million Program - avg of FY 03 & FY 04 request)
=	**579,089**	**239,456**	**339,633**	Balance Available for non-Sudan Bilateral and Regional Programming
less	183,250	0	183,250	HIV/AIDS - FY 02 actual level
less	16,243	0	16,243	Additional Infectious Disease Funding to bring to FY 02 level
=	**379,596**	**239,456**	**140,140**	**Balance Available for non-Sudan, non-HIV/AIDS Bilateral and Regional Programming in FY 03**

Compare to:	**566,288**	**335,469**	**230,819**	**Balance Avaliable for non-Sudan, non-HIV/AIDS Bilateral and Regional Programming in FY 02.**
Shortfall:	**186,692**	**96,013**	**90,679**	**33% less is Available in FY 03 for Total non-Restricted Program**

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Africa Bureau
Office of Development Planning
Sector Trends: FY 02 - FY 04

PILLAR/SECTOR	FY 02 653(a) (Rev)		FY 03 CBJ Revised Request	FY 04 OMB Base Request
Total EG/Trade/Ag	410,700		449,100	552,500
EG	104,500		116,000	137,000
Ag	115,100		142,000	194,800
ENV	75,600		75,600	85,200
HCD	19,100		20,500	14,000
HCD (Basic)	96,400	*	95,000	121,500
Total Global Health	421,223		458,491	561,561
Pop	85,900		85,900	80,200
CHS	88,210		77,876	91,800
HIV/AIDS	183,250		250,400	325,000
Vulnerable Child	8,745		5,440	4,500
Infectious	55,118		38,875	60,061
Total Democracy/Conflict	60,300		92,500	88,310
Total All Pillars	892,223		1,000,091	1,202,371

Initiatives at each of these levels (NOA only): ***				
AG	5,000		20,000	43,000
Trade	5,000		15,000	30,000
Basic Education	22,000	**	22,000	50,000
Conflict	0		20,000	13,500
Tropical Forestry/CARPE	3,000		3,000	14,823
Anti-Corruption	300		7,500	7,500
Total Initiatives:	35,300		87,500	158,823

* Education in FY 02 includes additional $5 million provided for Basic Ed Initiative
**Education Initiative in FY 02 includes $5 mil EDDI; $2 mil AFTECH; and $15 mil New Initiative
*** Note that in FY 03 CBJ request, Education Initiative request is $5 mil short of OMB commitment; and Tropical Forestry/CARPE is $11.823 mil short of WSSD Pledge.

Africa Bureau
Office of Development Planning
Comparing FY 02, FY 03 Request and FY 04 OMB Requests by Major Program Component

29-Oct-02

Country/Program	FY 2002 653(a)			FY 2003 CBJ Request			FY 2004 Base BPBS OMB Request		
	GRAND TOTAL	TOTAL W/O AIDS	% Total Budget	GRAND TOTAL	TOTAL W/O AIDS	% Total Budget	GRAND TOTAL	TOTAL W/O AIDS	% Total Budget
BILATERAL	638,580	476,308	71.57%	724,362	497,990	72.43%	852,179	565,179	70.87%
REGIONAL*	122,339	101,361	13.71%	118,268	94,240	11.83%	135,969	97,969	11.31%
INITIATIVES	35,300	35,300	3.96%	87,500	87,500	8.75%	158,823	158,823	13.21%
Anti-Corruption	300	300		7,500	7,500		7,500	7,500	
Conflict	0	0		20,000	20,000		13,500	13,500	
Trade	5,000	5,000		15,000	15,000		30,000	30,000	
Education **	22,000	22,000		22,000	22,000		50,000	50,000	
Agriculture	5,000	5,000		20,000	20,000		43,000	43,000	
Tropical Forestry/CARPE	3,000	3,000		3,000	3,000		14,823	14,823	
OTHER BELOW THE LINE	96,004	96,004	10.76%	69,961	69,961	7.00%	55,400	55,400	4.61%
TOTAL	892,223	708,973	100.00%	1,000,091	749,691	100.00%	1,202,371	877,371	100.00%

* AFR/SD Regional FY 03 Request reduced by $3 mil and moved to Tropical Forestry/CARPE Initiative line.
** FY 02 Ed Initiative includes $15 mil new Initiative; $5 mil EDDI; $2 mil AFTECH.

Africa Bureau
Office of Development Planning
FY 03: The impact of a Straightline FY 02 NOA Level

29-Oct-02

Country/Program	FY 2002 653(a)			FY 2003 CBJ Request			FY 2004 Base BPBS OMB Request		
	GRAND TOTAL	TOTAL W/O AIDS	% Total W/O AIDS	GRAND TOTAL	TOTAL W/O AIDS	% Total W/O AIDS	GRAND TOTAL	TOTAL W/O AIDS	% Total W/O AIDS
BILATERAL	638,580	476,308	67.18%	724,362	497,990	66.43%	852,179	565,179	64.42%
REGIONAL*	122,339	101,361	14.30%	118,268	94,240	12.57%	135,969	97,969	11.17%
INITIATIVES	35,300	35,300	4.98%	87,500	87,500	11.67%	158,823	158,823	18.10%
Anti-Corruption	300	300		7,500	7,500		7,500	7,500	
Conflict	0	0		20,000	20,000		13,500	13,500	
Trade	5,000	5,000		15,000	15,000		30,000	30,000	
Education **	22,000	22,000		22,000	22,000		50,000	50,000	
Agriculture	5,000	5,000		20,000	20,000		43,000	43,000	
Tropical Forestry/CARPE	3,000	3,000		3,000	3,000		14,823	14,823	
OTHER BELOW THE LINE	96,004	96,004	13.54%	69,961	69,961	9.33%	55,400	55,400	6.31%
TOTAL	892,223	708,973	100.00%	1,000,091	749,691	100.00%	1,202,371	877,371	100.00%

* AFR/SD Regional FY 03 Request reduced by $3 mil and moved to Tropical Forestry/CARPE Initiative line.
** FY 02 Ed Initiative includes $15 mil new Initiative; $5 mil EDDI, $2 mil AFTECH.

Session Overview DRAFT VERSION 10/23/02
AFR Mission Directors' Conference
November 3-6, 2002
Annapolis, MD

- **Title:** Regional Meetings (SA, ECA, WA)
- **Time:** Tuesday, November 5 @ 7:30-9:30
- **Moderators:** Erna Kerst, Karen Poe, Steve Wisecarver
- **Objective:** To discuss regional issues among Mission Directors from the same region.
- **Topics to be discussed/questions to be answered:** To be determined by USAID/W Regional Office Directors in consultation with the Mission Directors.

Session Overview DRAFT VERSION 10/23/02
AFR Mission Directors' Conference
November 3-6, 2002
Annapolis, MD

Session 11

- **Title:** USAID's Role in Preventing and Responding to Conflict
- **Time:** Wednesday, November 6 @ 8:30 - 9:30
- **Speakers:** Dick McCall, Ed Birgells, and Andy Sisson
- **Moderator:** Sharon Isralow
- **Objective:** To discuss USAID's approach to conflict as it affects development
- **Topics to be discussed:**

- What is USAID's policy on conflict and how can USAID programs be more effective in preventing or mitigating conflict via programs? How can it be more effective in this role?
- How can we better understand conflict in country and regional contexts?
- How to use resources to get processes to address conflict in motion?
- What's the state of the art (any examples of best practice)?
- What else can USAID do, e.g. research, policy dialogue, participation in country teams?

- **Rapporteur:** Herschelle Challenor

BEVERLEE BRUCE
Program Director
Social Science Research Council

Dr. Beverlee Bruce is a Program Director at the Social Science Research Council where she directs the Council's Minority Fellowship Program funded by the Andrew Mellon Foundation. In addition, she co-directs two other projects, both funded by the Mellon Foundation. The first is Forced Migration and Human Rights and the other, Education in Emergencies. Previously, Dr. Bruce directed the Mellon Migration Seminars Program, a project to foster interest among students at selected Historically Black Colleges and Universities to work in the field of migration and refugee services. The three-year program was based at the Clark Atlanta University's School of International Affairs and Development.

Previously (1994-1999), Dr. Bruce served as Chair of the Women's Commission for Refugee Women and Children. A member of the Women's Commission from1991, Dr. Bruce participated in Commission delegations to Rwanda, Cote d'Ivoire, Guinea, Senegal, South Africa and Mozambique to assess the situation and needs of refugee and displaced women and children. She also represented the Commission in Croatia and Sarajevo, participated in international conferences on refugees and displaced persons, and led the Women's Commission delegation to the Fourth World Conference on Women in Beijing, China in 1995. The Women's Commission is the only organization in the United States dedicated solely to speaking out on behalf of refugee women and children.

Dr. Bruce is a social anthropologist, educator, and development specialist. Since 1975 she has had experience in Africa and the Caribbean implementing and evaluating rural community development projects that utilize appropriate education, communication and organizing strategies as the basis of insuring effective community participation. She worked for three years in Liberia as the chief Technical advisor for the United Nations Self-Help Village Development Project. Dr. Bruce also served as U.S. Peace Corps Director in Liberia and has taught at the City University of New York, Temple, Harvard, Northeastern and Howard Universities, as well as at the Universities of Massachusetts / Boston, California / Los Angeles, and Liberia, and at Wellesley College.

Dr. Bruce was awarded a Ph.D. in Social Anthropology from Harvard University. In addition, she studied linguistics at the University of California / Los Angeles, where she was certified to teach English as a Second Language. She received her B.A. in English from California State University / Los Angeles and an A.A. in Drama from Los Angeles City College. Her doctoral research was on the African Methodist Episcopal Church in Liberia and resulted in a thesis entitled, *Transcending Boundaries: An Anthropological Study of the AME Church in Liberia.*

Boards on which Dr. Bruce serves include the Friends of Liberia, the Global Policy Forum, the International Rescue Committee, the Migration Policy Institute, the Refugee Women's Network, Solar Cookers International, the U.S. Committee for Refugees, the Women's Foreign Policy Group and the Board of Trustees of the College of New Rochelle where she was awarded an Honorary Degree in May 2001.

Session Overview DRAFT VERSION 10/23/02
AFR Mission Directors' Conference
November 3-6, 2002
Annapolis, MD

- **Title:** Success Stories and Learning experiences

- **Time:** Wednesday, November 6 @ 12 - 1:15

- **Speaker(s):** all Mission Directors invited

- **Moderator:** Pam White

- **Objective:** For all Mission Directors to volunteer to share a really good and really bad experiences in an effort to prevent reinventing the wheel. Additionally, this forum will serve as a sounding board where MDs can ask about subjects they'd like to learn about.

- **Illustrative topics to be discussed:**
  - The dangers of umbrella grants (Pam White)
  - How can we make GDA less time intensive?
  - Writing strategies and the procurement world.
  - The constraints and benefits of different funding modalities, especially baskets and budget support.
  - Hosting a Presidential visit
  - Madagascar's Health, Population, and Environment Program
  - Mainstreaming HIV/AIDS programs

- **Associated Documents:**
  - ABIC Success Stories
  - Knowledge Management Strategy
  - AFR Success Stories
  - Photo Gallery
  - Development Leadership: Knowledge for Development Strategy

- **Rapporteur:** Tom O'Keefe

- **NOTE:** Please contact Pam White with any topics you would like to present or have discussed.

USAID in Africa - Success Stories

Angola

PSI Condom Social Marketing Program in Angola-Legal Condoms

Angola Female Literacy Center-Horizonte Azul

Community Assistance and Reintegration Program

Benin

Education: How Money Causes Problems ... and Opportunities-An Example from Benin

Education: Step towards More Open Management of Primary Schools in Benin

Health: AIDS Prevention in Benin: "Market Mama" Makes a Difference

Health: Turning Skeptics into Believers: Pediatricians in Benin Support Treating the Child, and not Just the Illness

Democracy/Governance: Two Partners Working as One

Additional success stories are available on the Benin mission website.

Burundi

Search for Common Ground Youth Project

DR Congo

Routine Immunization in Bas Congo

Civil Society's White Paper for the Inter-Congolese Dialogue

^ top of page

Eritrea

Increasing the Efficiency and Effectiveness of Malaria Control

Involving Faith-Based Organizations in the Fight against HIV/AIDS

Crop Production Instead of Food Aid

Internet Provides a Forum for Debate

University Linkage: Joint Research Uncovers Eritrea's Past

Ethiopia

Micro-loans from Monetized P.L. 480 Title II Enable Women to Expand Business

Success Stories from:

skip navigation
Angola
Benin
Burundi
DR Congo
Eritrea
Ethiopia
Guinea
Kenya
Madagascar
Malawi
Mali
Mozambique
Nigeria
Rwanda
Senegal
Somlia
South Africa
Sudan
Uganda
Zambia
Zimbabwe
RCSA
REDSO/ESA
WARP

USAID/ AFR Resources

- Previous Years' Success Stories
- Country Information
- Budget Justification
- Annual Reports
- Internet Guides

Girls' Primary School Persistence Increased under USAID Grants' Programs

Dividends from Agricultural Cooperatives in Ethiopia Reap Productive Benefits

Ethiopian NGOs Keep Orphans and Vulnerable Children off the Street and Moving towards Productive Lives

Pastoralist Communities Join Together to Prevent Conflict and Promote Peace

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Taking Steps towards Sustainable Management of Southern Sudan's Abundant Forest Resources

Groundbreaking Nuba Mountains Airlift

Honey Export Signals First Commercial Trade in the Region for Sudanese Producers

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Additional success stories are available on the Zambia mission website.

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Sweet Potatoes Made Our Lives Sweeter

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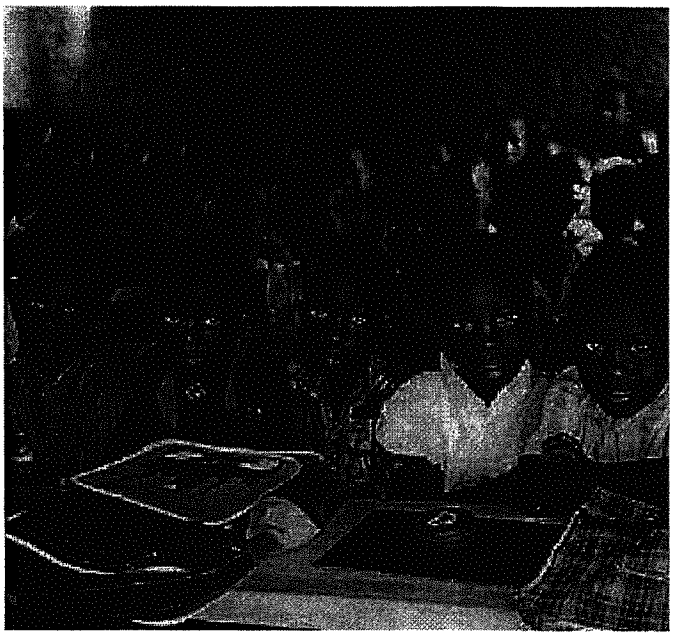


USAID
The United States Agency for International Development

Development Leadership

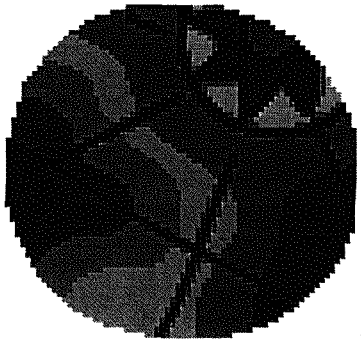
Knowledge for Development Strategy
BTEC Presentation
September, 2002

PPC/CDIE

Knowledge for Development

Knowledge - information put to productive use by ***people***.

Knowledge management - the ***systematic*** approach to help knowledge emerge and flow to the right people at the right time.



USAID Knowledge Management

USAID's strength derives from our rich field experience and extensive knowledge of development issues. Managing our knowledge as a critical asset allows us to improve strategy,operations and results. This management will require knowledge to be:

Enabled by people, process and technology

- Knowledge sharing culture
- Tools and techniques to collect and share knowledge
- Systems that deliver timely and relevant information when decisions are being made

Embedded in core Agency functions

- Knowledge creation
- Knowledge sharing
- Capture and Re-use of intellectual assets

USAID Knowledge Management

Knowledge management will provide support for Agency strategies and Agency operations. It will focus on:

- **Leadership through innovation**
- **Effectiveness**
- **Responsiveness**

Why Knowledge Management?

Focus groups sponsored by LPA and PPC identified needs and issues to be resolved by better access to timely and relevant information and knowledge.

PEOPLE

- Insufficient knowledge of who knows what, of who does what
- Knowledge is in people's heads - when they walk, it walks. Need to harvest tacit knowledge, share with new employees.

PROCESS

- No linkages between knowledge sharing communities
- Too much re-inventing the wheel

TECHNOLOGY

- Too much data, too little information
- Inadequate data planning and coordination

USAID Knowledge Creation

USAID is the best source of the very knowledge that it needs. The knowledge required to meet our on-going and future responsibilities is embedded in our own people, processes and technology. Harvesting and leveraging this abundant resource is our challenge. Examples of this knowledge include:

Field Activities

- Success Stories and Lessons Learned
- Scopes of Work
- Program Design / Implementation
- Contractor Experience
- Technical and Administrative Assistance
- Interagency Processes
- Agency, Bureau and Mission web sites
- Listservs and Communities of Practice

Stakeholder Reporting

- GPRA, Annual Report, Strategic Plans, CBJ, etc.

Outreach Efforts

- Speeches, Opinion Pieces, Media Appearances, Issue Briefs, Discussion Papers, Brochures and Pamphlets

CDIE Knowledge Assets

- Evaluation Highlights, News, Special Studies, Impact Evaluations, Program Evaluations
- Managing for Results Papers, Policy Seminars and conferences, Performance Monitoring and Evaluation TIPS
- Economic and Social Data Base, Research and Reference Services

Knowledge Management Vision

Leverage and share our knowledge by embracing a process to manage USAID knowledge not only with a set of tool and techniques, but with behaviors that will enable the Agency to provide development leadership for formulation and implementation of our national foreign policy agenda.

ONE-STOP RESOURCE

- For knowledge sharing and learning
- Data, information, resources, experience-based solution

ENABLED BY WEB-BASED TOOLS

- Portal, search, collaboration, expertise

CREATING ACCESSIBLE COMMUNITIES OF PRACTICE

- PPC Coordination, support and assistance
- Facilitated by knowledge intermediaries

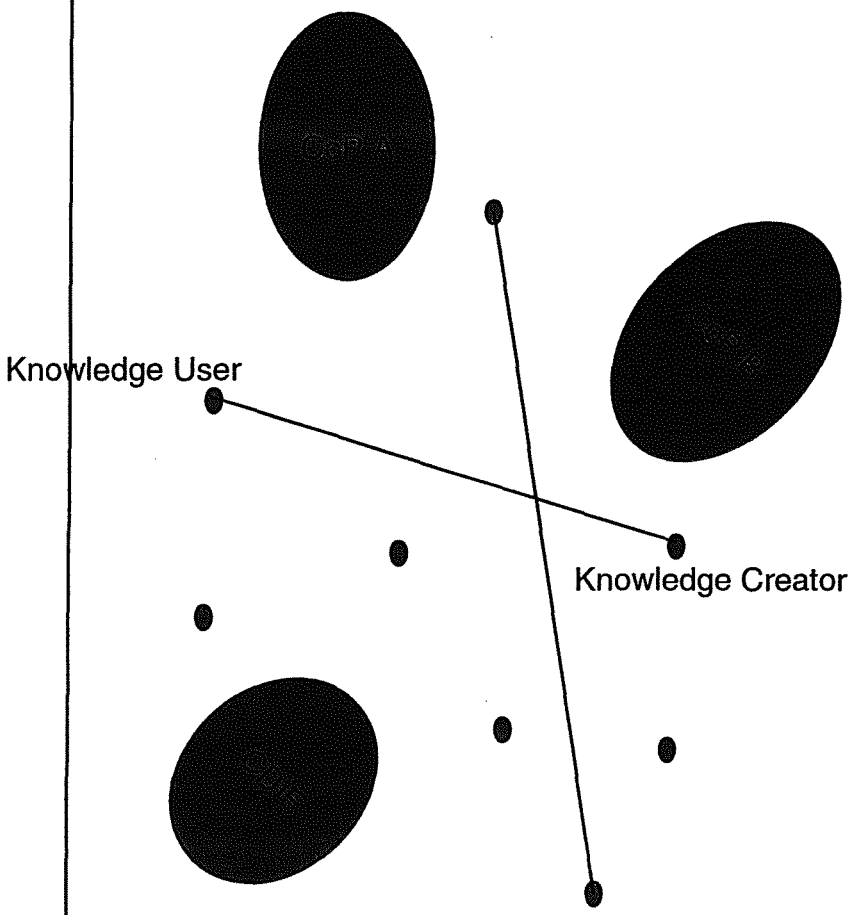
SUPPORTING USAID DEVELOPMENT LEADERSHIP OBJECTIVES

- Interagency cooperation, Donor Coordination
- Public outreach and partnering

Knowledge Management Vision

Knowledge Management should take our disparate agency knowledge and offer tools to make it accessible in a systematic way.

As Is



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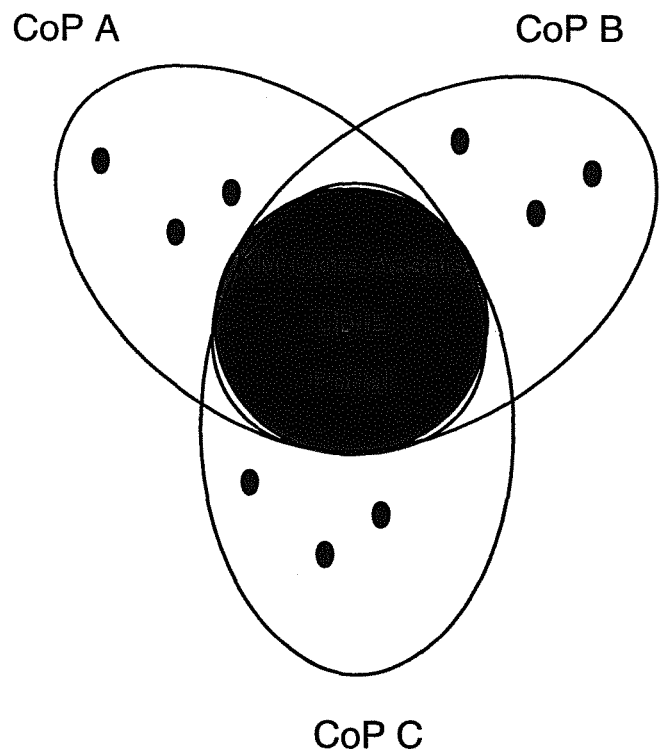


Benefits to USAID constituencies

Once implemented, the proposed vision will provide benefit to all Agency constituencies.

FIELD STAFF

- Access to most relevant Agency experiences and expertise of all knowledgeable USAID staff and outside experts (through Communities of Practice); simplified search and retrieval for information (though web-based tools)

WASHINGTON ANALYSTS

- Access to re-useable information (lessons learned, past analysis, academic studies), technical and field experts / expertise, timely and relevant data and analytical tools to synthesize this data

DECISION-MAKERS

- Timely access to most knowledgeable personnel, most valuable information

PUBLIC

- More information available to "tell the story" of USAID and its success

USAID PARTNERS

- Improved capability to share development knowledge with our partners and harvest their experiences

Leveraging KM Success to Achieve the Vision

Knowledge management solutions exist throughout the Agency, developed locally for specific needs. Leveraging these KM successes,learning from and improving on them, filling the critical gaps will achieve our vision. Examples of KM in practice in the Agency today include:

Communities of Practice (e.g., Democracy and Governance Communities, Contracting Officers Community, EXOnet)

Collaborative Software (e.g., WebBoards, eRooms)

Success Stories (e.g., Africa Bureau Stories, E&E Training Success Stories, Process, Tool and Database)

Lessons Learned (e.g., Evaluations, Interviewing-exit videos)

Institutional Memory (e.g., Development Experience Clearinghouse)

Best Practices (e.g., NEP knowledge sharing, sharing SOW's)

Leveraging KM Success to Achieve the Vision

Critical gaps to be filled include:

- **Community of Practice expansion**

  Existing Communities of Practice need to be accessible to non-members and augmented with knowledge sharing tools. Areas requiring enhanced knowledge sharing need assistance developing Communities of Practice.

- **Knowledge Portal solution**

  A Knowledge Sharing website that offers access to Agency Communities of Practice, collaboration and decision support tools, and archived agency experience.

- **Decision Support solutions**

  Data needs to be available automatically in a form useful for decision-making.

Knowledge Management Strategy

Achieving the KM vision will not be a short process. The steps needed fall into three broad categories:

ENHANCING EXISTING KM ASSETS

- The Agency, in the short-term, can make changes to its Core KM Assets (CDIE, Web sites) that enhance their transparency and use

PILOT PROJECTS

- True knowledge sharing only come with engagement of field and policy staff. A series of pilot projects, focusing on small communities of practice, will encourage knowledge sharing and identify its obstacles

LONG TERM SYSTEM AND CULTURAL CHANGES

- Ultimately, USAID will need systems and incentives that support KM.

Enhancing Existing KM Assets (potential initiatives)

Key Initiatives

- **Make CDIE activities and assignments available on the intranet in a searchable database**
- **Develop an integrated policy, research and evaluation agenda for PPC, USAID and the foreign affairs community**
- **Re-orient evaluation studies to generate and share knowledge related to priority agenda issues**
- **Create a KM portal that can house collaboration tools, expertise locators and links to internal and external data sources**
- **Reorganize the Agency web page to reflect an intuitive functional structure that groups all activities, worldwide, into key functional or technical areas**

D

Further Initiatives

- Inventory PPC and other bureau documents, databases and other knowledge resources on development theory, strategy and experience - intranet accessible.
- Develop a records management and document management strategy for development leadership - including a document storage, archival and retrieval plan
- Develop a generation knowledge transfer process
- Develop Expert Directories providing accurate information on Agency personnel with expertise in any given area
- Enhance sector council interaction by capturing and reporting proceedings and decisions through the web

Pilot Projects

Develop Story Telling Processes and Tools

- Requirements analysis
- Story standards
- Success Story Database
- Training and Implementation

Develop a Knowledge Sharing portal and Communities of Practice

- Communities are a group of people who share a common interest, common practice and a commitment to share and expand the knowledge for that practice
    - Identify potential communities and participants
    - Provide tools for collaboration and expertise
    - Explore implementation issues for full USAID-wide implementation
- Initial CoP's would be PPC and M centered (e.g. evaluation, procurement)
- Knowledge management CoP

Long Term Changes

Decision Support Framework

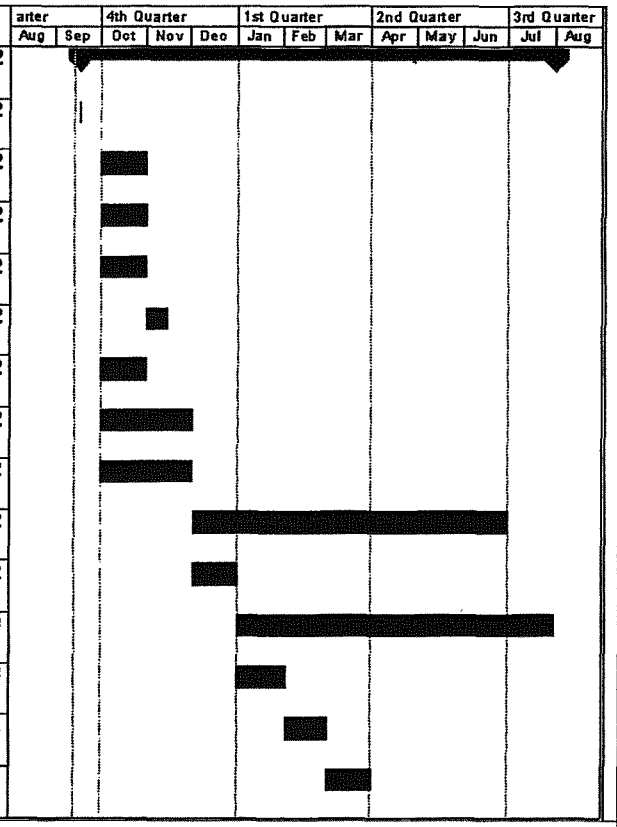
- Focused primarily on the reporting needs of the Agency
  - A measurement and reporting policy - to allow linking of transactional and experiential databases
  - A Management Decision Support system - to link transactional and financial databases with programmatic and experiential databases

Knowledge sharing incentives

- Ultimately may involve changes in compensation system; initially non-monetary rewards (recognition) could help encourage knowledge sharing

Possible Action Plan

ID		Task Name	Duration	Start
0		Knowledge Management Action Plan	228 days	Tue 9/17/02
1		BTEC Meeting - Presentation	1 day	Tue 9/17/02
2		Select M Bureau CoP Pilot	24 days	Tue 10/1/02
3		Select PPC CoP Pilot	24 days	Tue 10/1/02
4		Launch LPA Storytelling Pilot	24 days	Tue 10/1/02
5		Knowledge Fair - Project Launch	11 days	Fri 11/1/02
6		Phase 1 Upgrade of CDIE on-line	24 days	Tue 10/1/02
7		Community Portal (Development InforMart)	45 days	Tue 10/1/02
8		Contracts in Place to Administer Pilots	45 days	Tue 10/1/02
9		Launch First Pilot CoP	151 days	Mon 12/2/02
10		Project Retrospective	23 days	Mon 12/2/02
11		Launch Second Pilot CoP	152 days	Wed 1/1/03
12		Choose New set of Pilots	24 days	Wed 1/1/03
13		New Web Page	21 days	Mon 2/3/03
14		Enterprise Portal	22 days	Mon 3/3/03



Discussion

- What KM activities are of highest importance to BTEC members / constituencies?
- Which Communities of Practice are of interest?
- Which potential pilot activities are most relevant to BTEC needs?
- Comments / Concerns?

- **Title:** Nature, wealth and power: Lessons learned and new developments in the Environment Sector

- **Time:** Thursday, November 7 @ 8:45 - 10:15

- **Speakers:** Diana Swain
  Steven Haykin
  Jim Graham
  Jon Anderson

- **Discussant:** Pam White

- **Moderator:** Carl Gallegos

- **Objectives:**
  -inform participants about lessons learned from the natural resource management sector and the experiences of several missions in promoting economic growth, good governance and improved environmental outcomes through natural resource management programs
  -inform participants about the Congo Basin Forest Partnership (CBFP) and the evolution of Central African Regional Program for the Environment (CARPE)
  -open a debate about the role of natural resource management in rural Africa

- **Topics to be discussed/questions to be answered:**
  - Presentation of the "Nature wealth and power" discussion paper (Anderson).
  - Presentation of the Namibia case - LIFE program (Swain)
  - Remarks on efforts in Mali to integrate agriculture and NRM (White)
  - Presentation of Madagascar cross-sectorial efforts including environment, health, economic growth and good governance (Haykin)
  - Presentation of status of CARPE including lessons learned and transfer to the field (Graham/Anderson)
  - Presentation of the Congo Basin Forest Partnership as announced at World Summit on Sustainable Development in Johannesburg (Graham/Anderson)
  - Discussion of the role of the environment in poverty reduction, governance and in support of the agriculture initiative

- **Associated Documents:**

- Nature, Wealth and Power: Emerging Best Practices for Revitalizing Rural Africa (document and PowerPoint)
- CARPE lessons learned (document)
- Congo Basin Forest Partnership Handout
- PowerPoint on CARPE and CBFP

Rapporteur: Graham/Anderson

Nature, Wealth, and Power

Emerging Best Practice for Revitalizing Rural Africa

Natural resources will continue to drive Africa's economies for decades to come.

Access and control over resources ... is the bread-and-butter issue on which democracy must deliver.

Natural resource management is central to good governance and increasing enfranchisement of rural peoples.

Natural resources—land, minerals, forests, wildlife, and water—are a major source of wealth and power in Africa. Natural resources are central to the livelihoods of 70 percent of the population and dominate some African economies. Even so, Africa's natural resources are significantly underutilized, and in many cases, their full potential is not even known, let alone realized. Moreover, despite this rich potential, many rural Africans remain mired in poverty, resources are often mismanaged, and rural people are largely disenfranchised.

With industry and the service sector only beginning to emerge, natural resources will continue to drive Africa's economies for decades to come. Thus, access and control over resources becomes the major governance issue, especially for rural people, and it is the bread-and-butter issue on which democracy must deliver. Natural resource management is central to good governance and increasing enfranchisement of rural peoples.

Nature, Wealth, and Power (NWP) is about rural development in Africa, a preliminary statement of lessons learned from more than 20 years of field experience. Twenty years ago, natural resource management programs took a predominantly technical approach to getting rural development moving and responding to perceived environmental crises. The limitations of this approach were subsequently revealed as projects failed to meet their objectives and be sustainable. This led to development of economically more realistic approaches. These were more successful, but inequities and inefficiencies still existed. More recently, it has become clear that the governance aspects of rural development are also key.

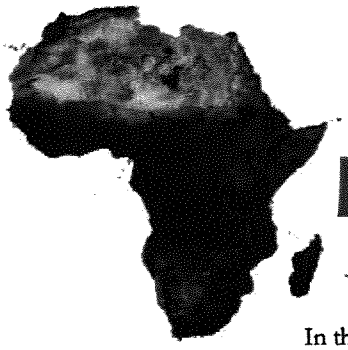
Consideration of the resource, economic, and governance dimensions of natural resource management is critical for success. Natural resource management rests on the interaction of resource characteristics, policies, institutions, skills, and economic signals. Experience demonstrates that programs that integrate **nature** (environmental management), **wealth** (economic concerns), and **power** (good governance) have promising results. Today, several cases and proven strategies demonstrate where the management of natural resources has *simultaneously:*

- Led to increases in the productivity of the resource base and conserved biodiversity
- Provided dramatic economic growth for local communities and national accounts
- Helped move rural people along the path from subject to citizen, leading the way toward a more democratic, decentralized, and vibrant society.

This experience has generated a set of **principles** and **action steps** that can serve as a *guide* to investment in rural Africa. The three case studies presented—Namibia, Madagascar, and Mali—illustrate the effectiveness of the integration of all three dimensions and the various principles and actions recommended under each dimension.

NWP is an opening statement in a dialogue on rural Africa, one to be undertaken in the next few years together with African partners and within the framework of the New Partnership for Africa's Development (NEPAD). The aim is to provoke a debate and generate an integrated view of rural development and practical "best bets" for decision and policy makers.

USAID in collaboration with WINROCK INTERNATIONAL IRG



Looking to the Future

Natural resource management is a unique entry point for economic and political development in rural Africa.

The fate of Africa's natural resources cannot be separated from the broader context of the economic and development challenges Africans face—nor can Africa's economic and development future be separated from the management of its natural resources.

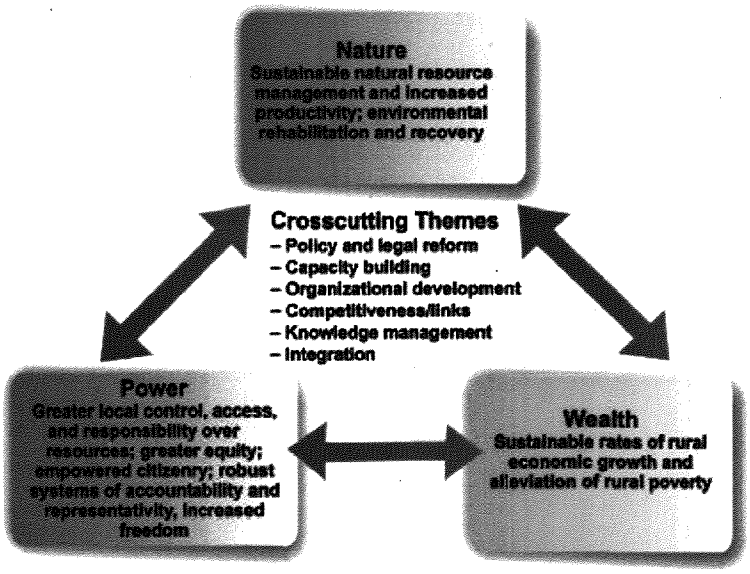
In the past 20 years, enormous transitions have taken place in Africa—in terms of social aspirations, mobility, communications, the breakdown of traditional authority systems, the role of the state, roles of youth and women, economic and technology options, new ideas, and new forms of political organization. In governance terms, the scale and pace of change is creating tremendous ambiguities that can become either obstacles to or catalysts for investment, economic growth, and improved resource management. Change is likely to be even more rapid, more profound, and more widespread in the next 20 years.

The fate of Africa's natural resources cannot be separated from the broader context of the economic and development challenges Africans face. Successful natural resource management strategies must take into account and leverage the broader economic dynamic that is shaping peoples' lives and choices in Africa.

Environmental management is increasingly linked to national development, social equity, and governance. The relationship between governance and environment is complex. However, with some notable exceptions, the stronger the democracy, the better the environmental management. Although the relationship clearly depends on a range of factors, democratic principles, such as transparency, participation, and accountability, are fundamental for sound environmental and natural resource management. For effective environmental management, economic development, and social well-being in Africa, investing in democracy and good governance is a sound strategy.

Getting rural development moving is a complex and daunting task. It is important, however, to accept the complexity and avoid "one size fits all" solutions. No single approach—whether export agriculture, community-based NRM, ecotourism, "biodiversity enterprises," or anything else—is a solution for everything. Although natural resource management has to be seen in a broad development context and will not solve all problems, it is a unique entry point for economic and political development in rural Africa.

Bringing the rural areas of Africa into the mainstream of economic growth and good governance is not a luxury. It is the economic and governance issue of the day for Africa. Although it will not be easy, it is also not a mystery. Best practices and innovations are emerging around the continent. Many of these represent an upsurge of bottom-up, unscripted efforts. Although changes are required and these changes threaten some interest groups and some governments, the benefits for the majority of Africans far outweigh the costs.



Moving Forward—Outcomes and Crosscutting Themes

CONGO BASIN Information SERIES

March 2001

#2

What Is CARPE?

The Central African Regional Program for the Environment

Key Concepts

- Supporting institutions and individuals that seek to reconcile conflicting uses of the forests of Central Africa is critical to ensuring that present and future stakeholders, both within and outside the region, are able to share equitably in the benefits that accrue from the forest.
- Empowering local communities to participate in civil society institutions and providing local government with the powers and resources to manage forest resources are critical to counter-balancing the centralized powers of the public and private sectors and a key to sustainable management of the forest estate.
- Given the importance of the logging sector as a forest land-use in Central African nations, it is critical to identify and promote policies to maximize revenues generated from logging while minimizing adverse environmental and sociocultural impacts.
- Making environmental information freely available to the public sector and civil society will remove a barrier to sustainable resource management in Central Africa.
- Given the pace of socioeconomic change in the region, it is critical to ensure that, during the slow but progressive development of processes for equitable land-use decision making, options to capture future values of the forest are not foreclosed.

What Is CARPE?

The Central African Regional Program for the Environment (CARPE) is a USAID-supported initiative to identify and help establish the conditions and practices required to reduce deforestation and biodiversity loss in the Congo Basin. The expanded knowledge base and enhanced individual and institutional capacity that result from the implementation of the first phase of CARPE will serve as the essential foundation for a longer-term (15-20 years) effort to sustainably manage forest resources, thus conserving the region's biodiversity and averting potentially negative changes in regional and global climate. Project activities are focused on Burundi, Cameroon, Central African Republic, Democratic Republic of Congo, Equatorial Guinea, Gabon, Republic of Congo, Rwanda, and São Tomé e Principe.

Within USAID, CARPE is unique in that it is being designed and implemented by U.S.-based government and nongovernmental organizations, all with experience in the region. These organizations are African Wildlife Foundation, Biodiversity Support Program, Conservation International, Innovative Resources Management, NASA, University of Maryland, United States Forest Service, United States Fish and Wildlife Service, United States Peace Corps, University of Virginia, Wildlife Conservation Society, World Resources Institute, and World Wildlife Fund. The Biodiversity Support Program, a USAID-funded analysis and strategic planning program, has played a lead role in CARPE design and implementation.

CARPE's core philosophy is to facilitate the meaningful involvement of African partners and to ensure that African decision makers have access to, and the capacity to use, information critical to rational forest resource management. CARPE has engaged local NGOs, individuals, and government agencies in activities to evaluate threats to forest integrity and identify opportunities for minimizing resource degradation while promoting human livelihood security.

Early in the process, a field office in Libreville, Gabon, and later Focal Point offices in Yaoundé, Cameroon, and Kinshasa, DRC, were set up to ensure effective communication among U.S.-based and Congo Basin partners, to help coordinate CARPE activities within the region, and to take the lead on implementing selected capacity-building activities. ■

Biodiversity Support Program

This brief was written by the Biodiversity Support Program. For additional information contact David Wilkie, e-mail: dwilkie@rcn.com; Laurent Somé, e-mail: laurent.some@wwfus.org.

What Is the CARPE Perspective on Forest Management?

The forests of Central Africa are valuable to the residents of the region and to the entire world for many reasons. If a given area of forest could simultaneously generate all such values, then managing the forest would not be a challenge. Unfortunately, a land-use that captures one value tends to undermine or preclude land-uses that would capture other values. For example, a forested landscape converted to coffee to generate income for families and national governments may no longer be a forest filled with food or medicines that can be harvested for local use or for sale. A forest where wildlife are hunted for meat generates food and income for families today, but may jeopardize the chances of future families from capturing the same values. A forest set aside as a national park is no longer accessible to loggers to harvest and sell the trees and to provide a source of employment.

Deciding what areas of forest to use to generate which values, for whom, over what time frame is a complex sociopolitical process and one that is evolving in Central Africa. Over the first five years of the project, CARPE has become eminently aware that the forests of the region have multiple values, that land-uses to capture these values often conflict with one another, and that the sociopolitical processes to reconcile these conflicts have yet to become fully established in the region.

"Deciding what areas of forest to use to generate which values, for whom, over what time frame is a complex sociopolitical process and one that is evolving in Central Africa."

Consequently, CARPE is focusing its efforts on (1) seeking ways to nurture this nascent and evolving process for rationalizing and legitimizing conflicting uses of the forest and (2) helping to ensure that, during this evolving process, the full range of forest use options are kept open. ■

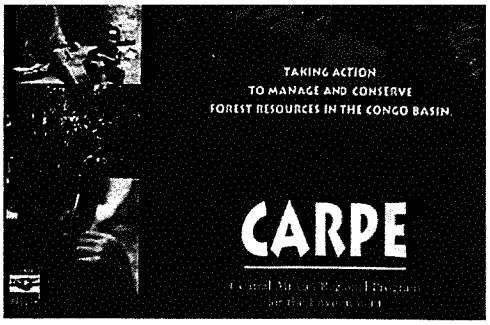
Next Steps

The next steps for CARPE focus on environmental governance, community-level natural resource management, logging sector environmental performance, and protected area management.

Environmental Governance

Concentration of forest management in the hands of a national urban elite and a few logging companies, neither of which are accountable to the citizenry, has resulted in considerable inequity in benefit sharing from forest resource exploitation, low compliance with forest management laws, and unsustainable forest use. Furthermore, strong executive powers and absence of civil-suit provisions undermine citizen participation in forest use decisions and oversight.

Building and maintaining support of local and national public sector and civil society institutions that seek to reconcile forest use conflicts are critical to the long-term conservation of the forests of Central Africa. Moreover, empowering rural households to participate in civil society groups and coalitions will help counter-balance the power of the public and private sectors and help leverage more transparent, representative, and accountable systems for allocating and regulating forest resource uses in Central Africa. To that end, CARPE will continue its support of the CEFDHAC process, Yaoundé Head of State Summit Process, Global Forest Watch, NGO and resource manager capacity building, and community-based forest management. ■



A widely disseminated brochure on CARPE gives readers a good overview of the program's goals and activities. More information is readily available at the CARPE Web site at **http://carpe.umd.edu**.

Community-Level Resource Management

Some level of community involvement is necessary for any resource management initiative, particularly when the resources are important to local economies and when state law enforcement capacity is weak. Though community-based conservation has been seen to be effective in other parts of Africa and the world, empowering local communities to demand greater legal participation in management of the forest estate is still in its infancy in Central Africa. CARPE will continue to facilitate participatory action research to help determine the range of forest resource management roles and responsibilities that communities can assume, that would make more equitable their share of forest benefits and relieve pressure on government to regulate resource use across the whole forest estate. Helping rural households build and participate in civil society groups and coalitions concerned with leveraging more transparent, representative, and accountable systems for allocating and regulating forest resource uses is a necessary step to more sustainable management of the forest estate in Central Africa. ■

Logging Sector Environmental Performance

Logging is, and over the next 20 years will continue to be, the most significant source of forest-based revenue throughout most of Central Africa. Moreover, logging companies are the *de facto* managers of most of the remaining relatively intact blocks of forest outside of protected areas; they have a key role to play in ensuring that logging practices do not unnecessarily impact the quality and abundance of forest resources. Given the importance of the logging sector in the region as both a source of local and national income and as a primary agent of forest degradation or conservation, CARPE will continue to test and document the economic and environmental impacts of logging sector policy reforms in the region, explore ways to encourage logging companies to adopt reduced-impact logging practices that address wildlife conservation within concessions, complete and test a Geographic Information System (GIS) model of logging revenues based on forest inventory, road quality, and log price data in Cameroon, and undertake NGO training on concession performance monitoring. ■

Protected Area Management

The value placed on forests in Central Africa by the majority of local, national, and international interest groups is an economic value and land uses that capture that value typically if not always undermine the biodiversity conservation values preferred by the minority. Until effective and equitable forest governance mechanisms are in place in Central Africa, short-term economic values of the forest are likely to take precedence over longer-term, more intangible values. As the majority favors economic land-uses that reduce biodiversity, it is not surprising that the land set aside for less-desired intangible values is small relative to that "zoned" for economic use. As a result, biodiversity is at risk both because areas "zoned" are too small and land uses in economic zones undermine conservation.

Protected areas are critical for biodiversity conservation. Parks and reserves provide large mammals with safe havens without which they would be in direct competition with humans for space and resources — a fight they would undoubtedly lose. Plant and animal species that are threatened elsewhere by commercial exploitation, or by conversion of habitat to other land uses such as agriculture, are ensured, within protected areas, of a place to grow, reproduce, and evolve. In Central Africa, like other regions of the world, as populations grow and economies expand, wild habitats will progressively be converted to anthropogenic land uses. Protected areas will increasingly become the principal bastions of forest resource conservation, because only within protected areas is biodiversity conservation the primary land use.

To ensure that short-term expediency does not foreclose options to capture future values of the forest it is essential to maintain investment in a network of protected areas that contain viable assemblages of forest plants and animals representative of the region. To that end, CARPE will continue to help ensure that reservoirs of forest plants and animals are maintained and to promote land-use practices in zones around and between these reservoirs and across national borders that minimize adverse environmental and social impacts. ■

CARPE ... What Is It?

Central African Regional Program for the Environment (CARPE)

Launched in 1995, the *Central African Regional Program for the Environment (CARPE)* engages African NGOs, research and educational organizations, private-sector consultants, and government agencies in evaluating threats to forest integrity in the Congo Basin and in identifying opportunities to sustainably manage the region's vast forests for the benefit of Africans and the world. CARPE's members are helping to provide African decision makers with the information they will need to make well-informed choices about forest use in the future. BSP has assumed the role of "air traffic controller" for CARPE's African partners. Participating countries include Burunde, Cameroon, Central African Republic, Democratic Republic of Congo, Equatorial Guinea, Gabon, Republic of Congo, Rwanda, and São Tomé e Principe.

Web site:
http://carpe.umd.edu

The Biodiversity Support Program (BSP) is a consortium of World Wildlife Fund, The Nature Conservancy, and World Resources Institute, funded by the United States Agency for International Development (USAID). This publication was made possible through support provided to BSP by the Africa Bureau of USAID, under the terms of Cooperative Agreement Number AOT-A-00-99-0028-00. The opinions expressed herein are those of the authors and do not necessarily reflect the views of USAID.

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Session Overview DRAFT VERSION 10/23/02
AFR Mission Directors' Conference
November 3-6, 2002
Annapolis, MD

Session 17

- **Title:** The Changing Face of Food Aid

- **Time:** Wednesday, November 6 @ 8:30 - 9:30

- **Speaker:** Lauren Landis

- **Topics to be discussed/questions to be answered:**
  - How should food aid be used to further development objectives?
  - Given the decrease in monetization what will the impact be on other programs?
  - Increasing Emergency Programs for Africa
  - Congressional interests in development food aid (valued at about $179 million in AFR in FY 02 or 40% of worldwide budget for development food aid) and emergency food aid (valued at $300 million in AFR for FY 02--55% of worldwide budget)
  - Given the pressure to reduce monetization, what will the impact be on food aid development programs)?
  - Changing role of USDA, including 416b, Global Food for Education, and Food for Progress?
  - Staffing: strengthening field presence--and AID/W.
  - Higher commodity prices and more world wide emergencies = greater pressure
  - Biotech challenges
  - Working through the World Food Program and PVO partners
  - Working with the EU

- **Rapporteur:** Tom O'Keefe

Session Overview DRAFT VERSION 10/23/02
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Session 18

- **Title:** Human Resources

- **Time:** Friday, November 8 @ 10:45 - 12

- **Speakers:** Rose Marie Depp
  The HR/AFR team
  AMS

- **Topics to be discussed/questions to be answered**
  - Development of an AFR training strategy and increasing training resources.
  - What is the status of the AEF reform, what is proposed?
  - What is the status of the FSN executive corps, what is proposed?
  - Discussion of needs, procedures and problems with the HR team handling AFR recruitment and assignment?
  - Given that our program are highly labor intensive does AFR wish to explore reducing management units and the complexity of our activities?
  - What measures are being taken to enhance the effectiveness of small missions given the shortage of seasoned FSOs in every backstop?
  - Can certification of non-US citizens re revisited given the shortage of controllers - if not what other options are there?

- **Associated Documents:**
  - Power Point and draft FS Annual Evaluation Form
  - GS Annual Evaluation Form
  - FS Skills Matrix

Session Overview DRAFT VERSION 10/23/02
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Session 19

- **Title:** Congressional Staff Roundtable Discussion

- **Time:** Friday, November 8 @ 4:00 - 5:00 PM

- **Speakers:**

  - Charlie Flickner, Clerk, House Appropriations Subcommittee on Foreign Operations (HACFO)
  - Beth Tritter, Legislative Director, HACFO Ranking Member Nita Lowey, HACFO Associate staff
  - Joan O'Donnell, Professional Staff Member, House International Relations Committee
  - Susan Williams, Professional Staff Member, Senate Foreign Relations Committee
  - Les Munson, Professional Staff Member, Senate Foreign Relations Committee
  - *Other staffers have been invited and may also attend.*

- **Objective:** The objective is to have a constructive, give-and-take discussion with congressional staffers, one in which both sides have a chance to express concerns, have questions answered and discuss potential solutions.

- **Topics to be discussed/questions to be asked:** The session will begin by the staffers providing their perspective on USAID (particularly the Africa Bureau). The staffers have been advised to candidly discuss their views of the Agency from a Capitol Hill perspective, areas of concern, how they see things potentially improving, etc. Following brief comments by each of the staffers, there will likely be some Q&A on both sides. The staffers have been advised to plan to ask questions about USAID procedures, the way the Agency does business, suggestions for improved communications with the Hill, things they would like to be informed about, see happen, and continue to see happen. Their comments could range from concerns or comments about substantive policies or more procedural things such as the CBJ, CNs, the Agency's responsiveness to congressional requests and directives and their experience on staffdels. Essentially, it is an opportunity for the Mission Directors to hear from staffers about what is of concern to their committees and for the staffers to gain a similar understanding from the mission directors.

in binder back pocket

Africa Bureau Information Center (ABIC)

Research and Information Resources for Development

ABIC, part of the Development Information Services project of USAID's Center for Development Information and Evaluation, provides development information support through its research services, newsletters and publications, reference collection, and web site development activities.

ABIC can assist you by:

- Accessing and disseminating **development information and documentation** of USAID and other donors
- Analyzing **country-specific information** by summarizing data, news, and trends
- Performing **in-depth research**, such as briefing reports and desk studies, on specific topics related to African development
- Providing background information and data to assist in the **R4 process**
- Assisting in the development of results frameworks by providing **examples of indicators, IRs, and SOs**
- Handling **public queries**, including information requests from USAID partners
- Compiling **bibliographies** of resources and literature tailored to your specific needs
- Maintaining country and sector **Internet resource guides**
- Providing copies of ***Article Alert***, our bimonthly list of recent articles related to political and social development in Africa
- Providing editorial and publishing services, including ***USAID in Africa*** published for the Africa Bureau, and technical papers

ABIC's Web Site

You can access our Internet guides, newsletters, and other Africa Bureau publications at ABIC's web site on the USAID Homepage at **http://www.usaid.gov/regions/afr/abic**

To find out more about ABIC's services or products, or to make a research or information request, please contact:

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New Resources on Development
October 2002

The following are **new resources related to African development** spotlighted by the Africa Bureau Information Center (**ABIC**). **Most are available online.**

ABIC is available to assist you with research and information needs, including public requests. For the latest ABIC contact information, go to http://inside.usaid.gov/AFR/abicint.htm. You can always phone or e-mail ABIC staff directly with your information requests.

For your convenience, **ABIC also has Bureau office hours every Tuesday and Thursday** from 11:00-1:00 at RRB 4.8-55 (next to the DP conference room). Please stop by to discuss your information and research needs.

New Africa Bureau Newsletter

Look for the upcoming Africa Bureau newsletter, ***USAID in Africa.*** It replaces *SD Developments*, *African Voices* and *SD Abstracts.* Articles will cover activities in all the sectors, from the perspectives of USAID/W, the Missions, and partners. Other features will include information about resources, including short descriptions of new Bureau technical papers and reports.

New *Africa Bureau Brief*

The newest *Africa Bureau Brief* focuses on USAID's response to the impact of HIV/AIDS on basic education in Africa. In addition to a matrix of USAID/Africa Bureau activities, the brief gives an overview of USAID's and Africa Bureau's strategies, and highlights the Mobile Task Team on HIV/AIDS and Education. Hard copies are available from ABIC. Go to:
http://www.usaid.gov/regions/afr/pubs/docs/hived_brief.pdf

New Resources on the Web

Information on the Global Fund to Fight AIDS, TB and Malaria for NGOs and Civil Society **by David Germaise, International Council of AIDS Services Organizations, 2002.**
http://www.icaso.org/gfatm/Global%20Fund-E-2002.pdf

This update is a review of the first round of funding to the Global Fund. Directed towards the NGO audience, the report provides information about funds made available by country, and direction of funding (AIDS, TB or malaria). Also, the report discusses several issues that have emerged with the process, and NGO strategies to address them.

Making African Integration a Reality **in African Recovery 16, 2-3 (September 2002).**
http://www.un.org/ecosocdev/geninfo/afrec/vol16no2/sept02.htm

This article is part of series examining the challenges of regional integration, including enhanced trade, improved infrastructure and roads, closer coordination of efforts by public and private sectors, and the reform of regional institutions.

Intersecting Risks: HIV/AIDS and Child Labour **by Bill Rau, International Labour Organization, 2002.**
http://www.ilo.org/public/english/standards/decl/publ/papers/risks.pdf

This paper looks at the impact of HIV/AIDS on the incidence of child labor and at the exposure of children to HIV/AIDS in the developing world. Although its focus is global, many of the

examples and data come from sub-Saharan Africa.

Report on the Global HIV/AIDS Epidemic 2002 **UNAIDS, July 2002.**
http://www.unaids.org/barcelona/presskit/report.html

This comprehensive annual report by UNAIDS presents a global overview of the epidemic as well as information on the impact of HIV/AIDS, care and treatment, prevention and national responses. It also presents data by region of the demographics of the epidemic, including the estimated number of people living with HIV/AIDS, number of orphans, and AIDS deaths for 2001.

Sustainable Development in a Dynamic Economy World Development Report 2003 **, World Bank.**
http://econ.worldbank.org/

This edition of the World Development Report focuses on the relationship between policies, institutions and assets, and the effect that this relationship has on development. Taking a long-term perspective, the Report examines the ways in which incremental policy and institutional change affect development. From the link click on the report from the "Featured Resources" list at the right.

Freshwater Trends and Projections: Focus on Africa **by Carmen Ravenga and Angela Cassar, World Wildlife Fund International, 2002.**
http://www.wwf-uk.org/filelibrary/pdf/africa_freshwater.pdf

This report looks at the record of water management in Africa, which has experienced the largest population rise between 1990 and 2000, but still has the lowest total water supply coverage.

How Does Ecology Influence Conflict in Africa and How Does this Affect Strategies for Conflict Management and Prevention **by J. Lind, African Center for Technology Studies (ACTS) 2000.**
http://www.eldis.org/static/doc9834.htm

This report is a synthesis of findings from a recent conference on the Ecological Sources of Conflict in sub-Saharan Africa. It looks at the ways in which the culture and politics of African societies affect the relationship between ecological change and conflict. It concludes with a number of recommendations to prevent and manage conflict in this area

Resources in Print

If you are interested in these resources, please contact Tina Blumel (202-661-5840 or tblumel@dis.cdie.org) for assistance.

The July 2002 edition of the ***IDS Bulletin*** focuses on tax reform, with several articles about African states including Tanzania, Namibia, South Africa and Ghana. For a comparative study, see

Accountability through tax reform? Reflections from sub-Saharan Africa by **Siri Gloppen and Lise Rakner. IDS Bulletin, July 2002.**

This article examines the relationship between accountability and taxation in Tanzania, Uganda and Zambia, and whether tax reform has increased democratic, internal and external accountability on the part of African governments.

Also available: ***Civil Society in African Contexts: Reflections on the Usefulness of a Concept*** by David Lewis; ***The Impact of AIDS on Rural Households in Africa: A Shock Like Any Other*** by Carol Baylies on the impact of AIDS in Zambia; ***and Economic Action and Social Structure: Cambisme in Kinshasa*** by Tom de Herdt on social capital and the role of women in unofficial currency markets in Kinshasa. **In Development and Change, September 2002.**

Did You Know...

The Center for Development Information and Evaluation (CDIE) site has a link to economic and social statistics at **DIS Stat**, created by the **Statistical Unit of Development Information Services (DIS)**. At this internal site, you can find statistical information compiled from sources such as the World Bank, the IMF, the UN system, Department of State and OECD. USAID users can create custom country and sector profiles, as well as obtain data from selected databases. The results can be downloaded in either HTML or Excel formats. Go to: http://cdie.usaid.gov/esds.

Also from CDIE, Africa Bureau staff can sign up for "New this Month" listserv from the USAID library. The listserv will alert you to new resources acquired by the library and available for patron use. Go to http://cdie.usaid.gov/library/ntm/ntmmain.html.

If you have any questions about this newsletter, please contact Tina Blumel (202-661-5840 or tblumel@dis.cdie.org).