

Office of the Director of U.S. Foreign Assistance

FY2007 OPERATIONAL PLAN GUIDANCE

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I. Introduction

"I would define the objective of transformational diplomacy this way: To work with our many partners around the world to build and sustain democratic, well-governed states that will respond to the needs of their people and conduct themselves responsibly in the international system."

U.S. Secretary of State Condoleezza Rice, January 18, 2006

A. FOREIGN ASSISTANCE REFORM

In a world that is truly global, it has become clear that the well-being of American's is inextricably linked to the capacity of foreign states to govern justly and effectively. As Secretary Rice has established, we can no longer draw neat, clear lines between our security interests, our development efforts, and our democratic ideals. American diplomacy must integrate and advance all of these goals together, and American foreign assistance must work to promote responsible sovereignty, not permanent dependency. Since 2002, the President and the Congress have recognized the importance of our foreign assistance, and accordingly committed significant additional resources, nearly tripling foreign assistance funding from \$10 billion to \$27.5 billion.

With these increased resources have come increased responsibilities to produce results. As Secretary Rice has noted, the previous structure of America's foreign assistance risked incoherent policies, ineffective programs, and perhaps even wasted resources. To address these challenges, Secretary Rice has made foreign assistance reform a pillar of her transformational diplomacy initiative. To pioneer the reform, she has established umbrella leadership for foreign assistance resources under a new position of the Director of United States Foreign Assistance, who serves at the rank of Deputy Secretary of State, and serves concurrently as the Administrator of USAID. The Director has authority over all Department of State and USAID foreign assistance funding and programs, and is charged with leading the reform of U.S. foreign assistance, including the implementation of a coherent, coordinated foreign assistance strategy across USG entities, with accountability for achieving results. The principles of the reform focus on:

1. Strengthening the strategic alignment of our foreign assistance resources with our foreign policy goals;
2. Improving coordination and efficiency in the use of our foreign assistance resources across multiple agencies and accounts;
3. Improving transparency in the allocation and use of foreign assistance resources; and
4. Improving performance and accountability for results.

B. THE NEW STRATEGIC FRAMEWORK FOR U.S. FOREIGN ASSISTANCE

The Secretary's new Strategic Framework for U.S. Foreign Assistance, attached at Annex A, identifies the roadmap by which foreign assistance resources will be allocated and implemented. It focuses U.S. foreign assistance on the Secretary's Transformational Diplomacy Goal—*"Helping to build and sustain democratic, well-governed states that will respond to the needs of their people and conduct themselves responsibly in the international system."* Subsequently, it concentrates U.S. foreign assistance on five priority Objectives to help meet this goal:

1. Peace and Security: recognizing these as necessary platforms for further political, economic, and social progress;
2. Governing Justly and Democratically: recognizing that effective, accountable, democratic governance is a vital foundation for sustainable progress;
3. Investing in People: recognizing that human capacity must be strengthened in order to promote and sustain success;
4. Economic Growth: recognizing that economic progress and poverty reduction are critical underpinnings of sustainable development; and
5. Humanitarian Assistance: recognizing the United States' commitment to alleviate human suffering and respond to destabilizing humanitarian disasters.

The new Strategic Framework for U.S. Foreign Assistance further focuses U.S. Foreign Assistance on a defined set of Program Areas designed to advance the five Objectives identified above. Finally, the new Strategic Framework for U.S. Foreign Assistance categorizes countries receiving foreign assistance according to shared characteristics with regard to their progress in achieving the transformational diplomacy goal (countries by category are attached in Annex B). The five country categories are:

1. Rebuilding countries, which are states in or emerging from and rebuilding after internal or external conflict;
2. Developing countries, which are states with low or lower-middle income, not yet meeting performance criteria related to effective and democratic governance, investments in people, and economic freedom;
3. Transforming countries, which are states with low or lower-middle income meeting performance criteria related to effective and democratic governance, investments in people, and economic freedom;
4. Sustaining partner countries, which are states with upper-middle income or greater for which U.S. support is provided to sustain partnerships, progress, and peace; and
5. Restrictive countries, which are states of concern with significant governance issues.

The new Strategic Framework for U.S. Foreign Assistance seeks to focus foreign assistance on the specific gaps countries face in achieving the transformational diplomacy goal. The intersections between the five Objectives and country categories above dictate specific interventions that will encourage and enable sustainable progress toward democratic, well-governed states that will respond to the needs of their people and conduct themselves responsibly in the international system. Recognizing that not all foreign assistance is implemented on a country basis, and that some issues related to the five foreign assistance Objectives are best addressed as part of a global or regional strategy, the foreign assistance framework includes a category for global and regional initiatives.

C. THE NEW FOREIGN ASSISTANCE STANDARDIZED PROGRAM STRUCTURE AND DEFINITIONS

Based on the new Strategic Framework for U.S. Foreign Assistance, the *United States Foreign Assistance Standardized Program Structure and Definitions* (attached at Annex C) defines the full set of Program Areas and associated activities toward which U.S. foreign assistance will be

directed. It provides a complete description of “what” we are doing with our foreign assistance resources, focusing on those programs that best serve the Foreign Assistance Objectives, and includes goals at each level to further focus our resources on desired outcomes.

The *United States Foreign Assistance Standardized Program Structure and Definitions* defines each of the five Objectives of the Framework, and identifies and defines the related Program Areas (e.g., “Health” as a Program Area under the “Investing in People” Objective). It further provides common definitions for related Program Elements under each Area (e.g., “Malaria” as a Program Element under the “Health” Program Area) and common definitions for Sub-elements—the activities related to each Program Element (e.g., “Insecticide-Treated Nets to Prevent Malaria” as a Sub-element under the “Malaria” Program Element). This standardized program structure and common definitions provide the basis for collecting consistent data across all of our foreign assistance programs. In the past, our ability to respond to questions from leadership and stakeholders about our foreign assistance programs was hampered by the lack of common definitions to describe our programs. Furthermore, our ability to evaluate and compare performance was similarly hampered by the lack of common definitions and uniform structure for collecting data. Now, the Framework and associated standardized definitions will provide the fundamental structure by which funds will be programmed and progress tracked, with all foreign assistance resources allocated according to these common definitions and related standard indicators. It will significantly strengthen our accountability for resources and our ability to monitor performance, as well as enhance our ability to respond to Administration and Congressional inquiries.

In addition to the *Foreign Assistance Standardized Program Structure and Definitions*, a set of standardized indicators is being developed in order to capture, in a collective way, what is being accomplished through foreign assistance. The standard indicators will be at all levels of the Standardized Program Structure, from the Objective level to the Sub-Element level. Included will be indicators that capture various types of information, including:

- Outcome and impact indicators that measure joint progress made together with the host country government and other international donors; and
- Program level indicators that measure USG supported activities and are attributable to USG resources.

The indicators that will be included in the Operational Plan for targeting by Operating Units are only those at the program level which are attributable to USG resources.

The guidance for the standardized indicators, which will include definitions and source information for all indicators, will be distributed early November.

D. NEW TOOLS FOR PLANNING AND MANAGING FOREIGN ASSISTANCE

Since its establishment on June 2, 2006, the Office of the Director of U.S. Foreign Assistance has moved rapidly, with input from across the United States Government, to develop new, integrated strategic planning, budget planning, program planning, and results monitoring tools to realize the reform principles and strategy outlined above. These tools are designed to provide senior leadership the necessary information to assess progress and trade-offs, and improve decision-making in support of policy goals, including the achievement of the transformational diplomacy

goal. The tools are also designed to improve our partnership with host governments and other donors and our responsiveness to stakeholders, including Congress, the public, and implementing partners.

1. Integrated Budget Planning

The Department of State and USAID have completed the Fiscal Year 2008 Foreign Operations budget submission to OMB. The FY2008 Foreign Operations budget process integrated for the first time State and USAID budget planning against the new strategic framework. “Core Teams” for each country, composed of representatives from State and USAID regional and functional bureaus, used input from Country Teams (including Mission Performance Plan and Annual Reports), foreign policy guidance, information about the status of each country’s performance against the transformational diplomacy goal, and the new Strategic Framework for U.S. Foreign Assistance, to respond to and allocate initial FY2008 budget guidance. Initial allocations were reviewed on a regional basis by leadership from both State and USAID regional and functional bureaus, and presented to the Secretary by region. Policy priorities and related budget requests were presented to the Secretary by the regional Assistant Secretary, with support from the relevant functional Assistant Secretaries and regional and functional Assistant Administrators. This allowed the Secretary, Director of Foreign Assistance, and other senior leadership to evaluate budget proposals and priorities on the basis of a comprehensive, coordinated, and coherent picture of how all foreign assistance resources would be used to achieve the transformational diplomacy goal in each country and the region overall.

For Fiscal Year 2009, both State Mission Performance Plans and USAID Annual Reports will be replaced by the Mission Strategic Plan, a single, integrated, brief and streamlined report providing input to the FY2009 budget request. Additional guidance on submitting input for out-year budget requests will be distributed in November 2006.

2. Integrated Operational Planning

Integrated country-level Operational Planning is the next critical phase of the reform effort. Country-level Operational Plans will be developed under the leadership of the Ambassador to ensure that all foreign assistance resources are coordinated, appropriately linked to foreign policy objectives, and supportive of an integrated country strategy. They are intended to provide a comprehensive, interagency picture of all foreign assistance resources¹ planned for implementation in-country, and how those resources are being used to support the transformational diplomacy goal and Objectives. Operational Plans are also intended to strengthen the link between funding, activities, and results, and collect standardized data about foreign assistance programs. This data will provide a basis for comparing and evaluating country, program, and partner progress in helping to achieve the transformational diplomacy goal. Such comparative performance data will enable leadership and decisionmakers in the field and in Washington to make appropriate adjustments to promote and incentivize progress toward the transformational diplomacy goal.

¹ See Annex D for list of accounts.

FY2007 Operational Plan Guidance

Operational Plans differ from current planning and reporting requirements in that they provide detail about the specific *use* of funds for the fiscal year. Plans will articulate what the Country Team will be undertaking and accomplishing with FY2007 appropriated funds (New Obligation Authority, or NOA), and will not capture information on carry-over funding from other years nor anticipated future funding. While the Operational Plans will require a significant investment of time and human resources up front to produce, the intent is that once approved, Country Teams have more time to devote to leading the implementation and management of foreign assistance programs. In previous years, individual agencies, bureaus, and offices in Washington and in the field planned for the specific use of funds throughout the fiscal year, each using different allocation and approval procedures. Such systems made it difficult for leadership in the field and in Washington to ensure that foreign assistance resources were well-coordinated and used strategically, effectively, and efficiently to achieve foreign policy goals. These systems also resulted in slow obligations, as each allocation decision was planned, vetted, and approved throughout the fiscal year.

Now, entities implementing foreign assistance resources in each individual country will plan for the specific use of funds together, at one point in time, and submit a single Operational Plan, representing all resources from all entities, for review and final approval at the outset of the fiscal year. In addition, the data collected in Operational Plans will allow the Office of the Director of U.S. Foreign Assistance to respond rapidly to most questions posed by the White House, the Congress, and the public, further reducing burdens on the field to respond to ongoing data calls and requests for information on particular programs or sectors. Operational Plans will also improve coordination efforts with host countries and other donors, as they provide a clear roadmap for the use of USG foreign assistance funds. Finally, Operational Plans will provide a foundation for improving responsiveness from host governments and other partners, as all foreign assistance resources will be tracked and evaluated as part of a single USG strategy with standard indicators.

For **Fiscal Year 2008**, all country programs, regional platforms, and Washington bureaus receiving foreign assistance funds will complete integrated, interagency Operational Plans. **In Fiscal Year 2007**, in order to accelerate implementation of the Secretary's reforms, 67 "Fast-Track" countries will complete integrated, interagency Operational Plans. In addition to integrated Operational Plans from Fast-Track countries, all USAID missions, USAID regional platforms, and USAID Washington bureaus will submit FY2007 Operational Plans for the use of funds (the complete list of Operating Units submitting FY2007 Operational Plans is provided at Annex D). This guidance provides detailed information for developing and submitting FY2007 Fast-Track Operational Plans. This guidance remains the same, with limited exceptions noted in Section VI, for all other additional USAID Operating Units submitting FY2007 Operational Plans.

Please note that in addition to the guidance provided here, agencies are responsible for ensuring that their own particular legal, regulatory, and other requirements are met in the integrated Operational Plan. To cover these requirements, agencies or bureaus may issue their own supplementary guidance.

II. Fiscal Year 2007 Fast-Track Country Operational Plans

A. GENERAL INFORMATION

1. Support Available from Washington

Core Teams

Each Fast-Track Country will have a Core Team in Washington that will provide support to Country Teams developing Operational Plans. Core Teams include staff from State and USAID regional and functional bureaus, and are led by Core Team Leaders from the Office of the Director of U.S. Foreign Assistance. These Core Team Leads will serve as the primary points of contact for Country Teams developing Operational Plans (the list of F Core Team Leads and contact information will be available shortly. F Regional Lead Point of Contact information is provided in Annex E). Core Teams are assigned to specific countries to assist with all aspects of the new processes, including budget, strategic, and Operational Planning and results monitoring. They are fully informed of foreign assistance policy and strategic guidance and will be available to travel to Fast-Track countries to assist with Operational Plan development.

Operational Plan Trainings

Beginning in October, several Operational Plan trainings are planned within each region (schedule of trainings attached at Annex F). Leadership from the Office of the Director of U.S. Foreign Assistance, together with staff from State and USAID regional bureaus, will provide information on foreign assistance reform and related new processes, as well as training on Operational Plan development, the new Framework for Foreign Assistance and related programs areas, and the use of the new foreign assistance data system. **Participation from each mission is strongly recommended.** Missions should plan on sending both program officers and senior mission leadership who will lead and manage the development of the Country Team's Operational Plan.

Additional Information and Communication

This guidance and related annexes are available on the intranet at <http://f.state.gov/> and <http://inside.usaid.gov/A/F>. The website also includes updated information about foreign assistance reform, additional information on country performance and country categories, and answers to frequently asked questions, which will be updated periodically. Please direct all questions which cannot be answered from the website resources to your Core Team Lead for a timely response. Please also be sure to copy questions to your Regional Bureau Planner/Bureau Program Officer or Desk Officer.

2. New Leadership Roles for Foreign Assistance: Country Teams and Operational Plan Coordinators

Integrated, interagency foreign assistance Operational Plans will include all foreign assistance resources in-country, in order to ensure that resources are well-coordinated for maximum

efficiency and effectiveness in support of the transformational diplomacy goals and related foreign policy priorities. Thus, Operational Plans must be developed and submitted under the leadership of the Ambassador, with critical support from all agencies implementing foreign assistance in-country. Ambassadors should assemble and lead a Country Team that includes all agencies implementing foreign assistance in-country. The Country Team will be responsible for developing an integrated response to achieve the transformational diplomacy goal, and the related Operational Plan for the use of FY2007 foreign assistance resources.

It is highly recommended that the Ambassador designate an Operational Plan Coordinator, responsible for the day-to-day management and development of the Operational Plan. The Operational Plan Coordinator will serve as the primary point of contact for the Core Team in Washington to facilitate thorough and clear communication and necessary support. Operational Plan Coordinators should be among the senior leadership within a Mission, with the responsibility to coordinate all agency contributions to the Operational Plan. Appropriate senior leadership to serve as the Operational Plan Coordinator will vary by country and may depend on the foreign assistance portfolio. USAID Mission Directors, already overseeing the implementation of large foreign assistance portfolios are highly recommended to serve as Operational Plan Coordinators.

3. The Unified Foreign Assistance Coordination and Tracking System (FACTS)

The new, unified Foreign Assistance Coordination and Tracking System (FACTS) combines all USG agency planning and reporting on foreign assistance activities into one central data system to facilitate country level planning, monitoring, and data management. Country Teams will use FACTS to enter and submit information required for the Operational Plans. In addition, the Office of the Director of U.S. Foreign Assistance will use the system to retrieve data for routine reporting and responding to information requests. The goal of the system is to provide one repository for data and a common planning and reporting tool for foreign assistance resources across USG agencies implementing programs with foreign assistance funds. Thus, the FACTS data system will eventually replace the foreign assistance planning and programming systems² of each agency (see Annex G on Legacy Systems). Finally, an additional intent of the FACTS system is to reduce the burden on field staff of responding to *ad hoc* requests from stakeholders, as the system is designed to collect the information most frequently requested about U.S. Foreign Assistance programs.

Additional information on FACTS, including specific data entry guidance, will be available in November 2006 in the FACTS User's Guide.

4. Due Dates, Review, and Approval

FY2007 Operational Plans are due to the Office of the Director of U.S. Foreign Assistance on **January 31, 2007**. The Office of the Director of U.S. Foreign Assistance will lead and facilitate a review of Operational Plan Objective areas (Peace and Security, Governing Justly and

² "Programming systems" covers planning systems, reporting systems, and combinations of those two. It does not cover financial management systems, workforce planning systems, operating expense planning systems, acquisition and assistance systems, and field-based management information systems.

Democratically, Investing in People, Economic Growth, and Humanitarian Assistance) by appropriate interagency technical experts and an overall review of the Plan by senior leadership to ensure policy coherence. Questions arising from the review will be discussed with the country or bureau/office team. Operational Plans will ultimately be approved by the Director of Foreign Assistance and funds allocated to implementing agencies. With these review and approval processes in place, the Office of the Director of U.S. Foreign Assistance seeks to maximize the field focus on developing tactical plans for implementation of strategic direction and priorities, and implementation of those plans.

B. PRELIMINARY PREPARATION FOR DEVELOPING OPERATIONAL PLANS

1. Review Policy Priorities and Progress

In addition to the resources and expertise of the Country Team, the Office of the Director of U.S. Foreign Assistance will provide to Country Teams additional information to assist with assessing the current foreign assistance portfolio and progress toward the transformational diplomacy goal. This includes:

- Foreign policy papers developed for each country under the leadership of the regional Assistant Secretary;
- Data on the performance of each country relative to just governance, investing in people, and economic freedom, including specific gaps in advancing to the next country category; and
- Country category guidance highlighting priority interventions for advancing the transformational diplomacy goal.

In order to promote country ownership and the sustainability of USG investments, country Operational Plans will be evaluated for the degree to which they are coordinated, where appropriate, with host government strategies and priorities. We encourage communication with implementing partners and other civil society members, where appropriate, in technical considerations. In addition, we rely on Country Teams to assess other donor activity in-country and ensure that USG investments are well-coordinated. Finally, as the FY2007 Operational Plan will provide a baseline from which future performance will be evaluated, a review of human resources and past program performance is recommended. Thus, other critical questions to be considered before preparing an Operational Plan include:

- Relevant host country needs, priorities, and conditions;
- Status of critical assumptions and related implications for performance;
- Status of related efforts by other donors that contribute to the achievement of objectives;
- Progress toward achieving objectives during the past year, expectations regarding future progress, and need for corrective actions;
- Status and timeliness of input mobilization (such as receipt of new funding, procurement processes, agreement negotiations, and staff deployments);
- Progress on Annual Procurement Plans;
- Pipeline levels and future resource requirements; and
- Team effectiveness and adequacy of staffing.

- Finally, throughout the sections that follow, Operating Units must be cognizant of gender implications and impact, and discuss this information where possible.

2. Review and Confirm Funding Allocations

This Operational Plan pertains to funds appropriated for FY2007. The budget for Fast-Track countries will be based on the FY2007 request level. Core Teams have cross-walked the FY2007 request level to the new Foreign Assistance Framework and related budget table. Budgets have been allocated to the *Program Element* level of the foreign assistance framework, which describes broad categories of programs (e.g., “alternative livelihoods,” or “malaria”). Country Teams must determine the sub-elements, or specific activities, to which funds should be allocated.

Recognizing that budget allocations to Program Elements by Core Teams may not reflect the most recent circumstances in-country (such as recent donor programs, political change, emergency situations, pipeline issues), Country Teams should review the allocation of FY2007 levels across program elements and propose an alternate allocation as necessary. Please note that **this alternate proposal cannot affect the overall country level or account levels**. Proposed reallocations are due to Core Team Leads within one week of receiving the FY2007 proposed budget allocation. Proposed reallocations will be reviewed by Core Teams, approved as necessary by the Director of Foreign Assistance, and returned to Country Teams for use in Operational Planning. Please note, however, that funding levels are based on the FY2007 request level. **It is strongly recommended that Country Teams plan for and identify activities in their Operational Plan that would be added or removed from the country program assuming an increase or decrease in funding levels of 10 percent**. This information should be included in a brief supporting document to the Operational Plan (see Annex H).

3. Develop an Integrated Programmatic Response

All foreign assistance resources under the direct authority of the Director of Foreign Assistance must be included in the Operational Plan. In addition, Operational Plans should include other major USG foreign assistance programs subject to the coordinating authority of the Director of Foreign Assistance, such as threshold and compact programs of the Millennium Challenge Corporation. As stated above, a primary objective of the Operational Plan is to ensure coordinated, efficient, and effective use of all USG foreign assistance resources. Thus, it is critically important to include and coordinate within the Operational plan all USG foreign assistance resources.

Accordingly, County Teams should determine together what steps are necessary to advance the country toward the transformational diplomacy goal; agree on what factors should be different in five-years and what immediate targets are necessary to advance these longer-term goals; identify the allocation of resources to programs that will produce desired outcomes; and determine how resources will be distributed among agencies. It is critically important that agencies “leave their uniforms at the door” and develop the Operational Plan as a USG Country Team.

Country Teams should also consider best practices and lessons learned in program planning. Information on best practices is available at USAID through the “Knowledge Online” website at: <http://ppc.usaid.gov/index.cfm?fuseaction=default.KoHome> and State through Deskipedia at <http://www.osis.gov/state/dialogues/deskipedia/>.

4. Know the United States Foreign Assistance Standardized Program Structure and Definitions and the Standardized Indicators

As described above, the *United States Foreign Assistance Standardized Program Structure and Definitions* provides common definitions for the use of foreign assistance funds. The FACTS data system is based on this structure and definitions. Therefore, it is critical that program planners be familiar with the structure and definitions, as it is against these definitions that teams will plan the use of resources. The *United States Foreign Assistance Standardized Program Structure and Definitions* answers very specifically and directly *what* we are doing, not *why* we are doing it. This distinction is very important, as it is critical that Country Teams identify the use of funds by *what* is being done, rather than why it is being done. The FACTS system includes opportunities for identifying the linkages between what we are doing and why, and for identifying cross-cutting activities that serve multiple goals. The specific use of funds, however, must correspond to the definitions identified in the *United States Foreign Assistance Standardized Program Structure and Definitions*.

It is also critical that program planners know the standard indicators that are part of the *Standardized Program Structure*. These indicators are against which targets will be set and results will be measured and therefore are vital to a successful Operational Plan.

III. Operational Plan Sections

The following provides specific guidance for completing all sections of the Operational Plan in the FACTS database. The system is designed to help facilitate the capture of information. There are many fields that are drop-down menus in order to assist with data entry.

A. OPERATING UNIT OVERVIEW

All Operating Units are required to submit two to three paragraphs (1/2 to 3/4 of a page) summarizing the foreign assistance programs in their country. The information in this section will be combined with other sections to serve as the Congressional Notification for the use of funds. Please, therefore, do not use acronyms or other jargon unfamiliar to a general audience. Briefly describe the political, economic, and social context of the country and the challenges present. Summarize the principal functional Objectives of the Operating Unit’s program and how the program is structured to address the challenges identified. Briefly characterize the involvement and capacity of the government, the private sector, and other nongovernmental institutions.

Example Narrative:

The major obstacles impeding Freedonia's development include weak democratic institutions, fragile food security, corruption, and debilitating diseases. Despite significant economic reforms, Freedonia remains one of the poorest countries in the world. Freedonia is still making the transition from an authoritarian government to a multiparty democracy and, therefore, its democratic institutions are weak and in need of development. It has few natural resources and a weak industrial base. Instability in neighboring countries also negatively affects the Freedonia economy. Therefore, Freedonia's contribution of troops for peacekeeping operations and its support of peace efforts are positive developments. It is also positive the Freedonian government has stopped meddling in neighboring countries' politics and has ratified UN resolutions as well as terrorist finance and anti-money laundering laws. Freedonia's role in the world community is evolving into one that is responsible and peaceful.

With respect to investing in people, Freedonia is well below the level of the Transforming Country category. As one of the poorest countries in the world, it confronts serious health and education problems, and funds in this program will focus on these areas. Funding for basic education will be focused on access to food through school feeding programs.

Freedonia suffers from chronic nutritional problem, and has a high level of population growth. Because the economy is largely an agriculture based economy, funding to support agricultural sector productivity will address both economic growth and food security. United States assistance focuses on reducing food insecurity through agricultural sector productivity by facilitating farmer access to inputs and training needed to increase productivity and protecting and building the community and household level assets to diversify income earning opportunities.

B. PROGRAM AREA AND ELEMENT INFORMATION

The following sections provide detail for each Program Area, Program Element, and Program Sub-element toward which FY2007 funds will be directed. For some sections, you will be asked to identify specific targets for what will be achieved with FY2007 resources. Please note that the applicable timeframe for indicating targets to be achieved is from the time of receipt of FY2007 funds to the end of fiscal year 2008, i.e. September 30, 2008. Uncertainty in the arrival of new funds each year means a delay in producing results from a given fiscal year's funds. While it is difficult to precisely note when all FY2007 funding will be expended, our assumption is that FY2007 resources will be used to accomplish results by the end of FY2008. Therefore, the articulation of accomplishments and estimation of targets throughout the document is intended to convey what can be accomplished with FY2007 funding through the time period ending on September 30, 2008.

All reference to results in this narrative should be in relation to the standard Program Area indicators.

1. Program Area Narrative

For each Program Area, please submit no more than one brief narrative paragraph (no more than 850 characters, including spaces). This paragraph should address how this Program Area addresses specific gaps in advancing the country toward the transformational diplomacy goal,

and the change desired over the next five years. Please reference the standard Program Element indicators when discussing planned results.

Example:

Infrastructure:

Freedonia is plagued with damaged road systems, unreliable energy services, and unreliable communication services. Infrastructure rehabilitation in Freedonia is an essential element in developing a strong economy because these infrastructures are linked to other key sectors needed for economic growth, such as agriculture and foreign investment. In order to achieve the long term goal of economic and political stability, the short term goals are: assist the host government in establishing regulator frameworks to govern key infrastructures; leverage additional funds from the public and private sector for USG infrastructure projects; and expand poor and rural communities' access to essential services, such as communications. Once this ground work is laid, it is hopeful that other sectors linked to these infrastructures will experience growth and change. This assumes expanded funding to these other sectors.

2. Program Element Narratives

The budget provided to the Operating Unit identifies the Program Elements to receive funding. For each such Element, please provide a brief narrative describing gaps to be addressed and what will be accomplished over the next five years. This narrative should read as one whole, complementary piece of information, however, we are asking that you break this into 4 specific sections outlined below.

i. Program Element – Overview

For each Program Element submit 1-2 paragraphs (no more than 1,500 characters, including spaces). This narrative should specifically describe why this Program Element is important to meet foreign policy and foreign assistance priorities, five-year planned results and funding assumptions associated with this, and what will be accomplished with FY2007 resources.

Example:

Energy:

The ability to generate, transmit, and distribute energy is the foundation in which a modern economy is built on and is relied upon by all populations and social sectors. Several steps are necessary to establish an energy sector that is sustainable and will meet the long term social and economic needs of the host country. These steps include: establishing a regulator framework governing the generation, distribution, and pricing of electric power; developing the institutional capacity of the host countries to manage the energy sector; and disseminating energy technologies.

Energy services in Freedonia are dismal and lack the fundamental resources needed to develop, maintain, and sustain an adequate energy sector that meets social and economic needs. With the resources that have been provided several programs will be established to lay the groundwork needed for a regulatory framework; leverage local resources to

assist the development of USG sponsored infrastructure activities; and develop local capacity to maintain modern energy services. The goals of these programs are to train key personnel in policy and regulatory practices, business management systems, and energy technical fields; and increase Freedonia's Kilowatt production capacity. Long term results may include expanded access to all populations, a stable business environment, and rapid economic growth.

ii. Program Element – Work of Non-USG Participants

For each Program Element submit one paragraph (no more than 1,000 characters, including spaces). Provide an overview of what is being undertaken with non-USG funds by other donors, the host country government, or private organizations (non-profit or for profit) in this Program Element. Include information about how activities are being coordinated across these different participants.

Example:

Energy:

There are several donors involved in rehabilitating the dilapidated infrastructure and restructuring energy related policies. These donors and activities include: the EU who is focusing on building or rebuilding physical capacity, and the World Bank who is focusing on restructuring the legal framework governing the energy sector. These donors are working on the "hard side" of infrastructure rehabilitation i.e. physical construction or drafting and getting reforms implemented. The USG Mission in Freedonia has coordinated its programs to complement those of the other donors by focusing on the soft side of rehabilitation i.e. building host country capacity and basic energy infrastructure. This will include training key personnel in how to manage and maintain a modern energy sector and ensuring that underserved and underrepresented populations have access to critical energy services.

iii. Program Element - Discussion of USG Participant(s)

For each Program Element submit 1-2 paragraphs (no more than 1,200 characters, including spaces). Discuss the various programs the USG agencies are implementing to address this Program Element. The narrative should include information on how USG agencies in country are coordinating and collaborating to achieve both immediate results with FY2007 funds and the long-term objective of foreign assistance. Information should be included for ALL USG agencies working in that Program Element, even if they are not under the direct authority of F. Please include in the narrative, the total foreign assistance funds from USG agencies outside of F authority. There is also an Excel table (see Annex I) which asks that you provide the USG agency and the total foreign assistance resources that agency is programming in that country. We are looking to understand the totality of what is being undertaken using USG resources in a country.

If only one USG agency is supporting this Element, please state that in this section.

Example:

Energy:

Freedonia's energy sector is in its early stages of development. As such there are many on-going activities conducted by several USG agencies. In addition to the activities being undertaken by the Department of State and the U.S. Agency for International Development, other USG agencies are involved in providing assistance to Freedonia. The Environmental Protection Agency and the U.S. Department of Energy have teamed up to implement programs that deal with clean energy generation and distribution. Their activities include disseminating and implementing alternative non-traditional fuel sources, such as solar or hydro-electric, and educating government official on the benefits of clean energy production. These activities complement the on-going foreign assistance programs because clean energy is a key component to sustainable energy production and long term growth. In addition, several courses have been developed in conjunction with the EAP and DOE to provide training to key government personnel. The EAP and DOE will be devoting 1 million dollars to promote clean energy technologies as well as to provide training on clean energy production and policies.

iv. Sub-Element Narrative

For each Program Element submit one paragraph (no more than 850 characters, including spaces) that articulates what Sub-Elements are the priority for focus and why. This should be a combined effort for all USG Agencies involved and should not articulate distinct priorities for each Agency. In the "Implementing Mechanisms" section below you will be asked for further information on this Program Element at the agency or partner level.

Example:

Energy:

Freedonia's energy sector is in need of fundamental development. Therefore, it is prudent to focus on (1) Basic Energy Infrastructure Project Financing; (2) Legal and Regulatory Development; and (3) Commercialization and Management Improvement. The first Sub-Element is important because basic infrastructures are essential to developing the foundation for future growth. In addition, it complements the work of other donors who are focusing on rehabilitation and construction. The second Sub-Element will support the activities of other USG Agencies and donors by filling a gap in training. And the last Sub-Element is directed at ensuring fair market pricing and educating individuals on the economics of energy markets.

v. Indicators, Targets, and Narrative

In keeping with the importance to foreign assistance reform of increasing the effectiveness of our use of resources and our accountability for results, for each Program Element you will be asked to select indicators that measure performance and to set targets for those indicators. Standard indicators have been established for each Program Element. For each indicator, the Country Team is asked to identify an appropriate target, taking into account country circumstances and the amount of funding allocated to the Program Element. Two sets of targets are requested: one for what will be achieved by 9/30/07, serving as a baseline, and one for what will be achieved with FY2007 resources by 9/30/08. For each Program Element selected, one of three entries is

required for the indicator targets: 1) a number, 2) zero (if there is work specific to that indicator, but results will not be reportable in this timeframe), or 3) N/A (if the indicator does not apply to the work being done).

Please note that performance targets are being set in two places in FACTS, once here by Program Element, and again later under the Implementing Mechanisms section (see page 20). Program Element summary targets refer to expected country, regional, or global level achievements in a given Program Element with the funding requested in a specified fiscal year. These targets represent the combined contribution of partner-level targets in the Program Element or Sub-Element³. Targets set in the Implementing Mechanisms section *may or may not* aggregate to the targets set here – this is dependent on the nature of the activities -- but duplication must be avoided to ensure targets are not double counted.

Second, a narrative box (no more than 800 characters, including spaces) is provided. This narrative box can be used to provide explanation or justification for targets or for articulation of why targets are not shown. The narrative section may also be used to articulate qualitative information that links resources requested to expected results, particularly where the standard indicators do not capture the key results expected.

C. IMPLEMENTING MECHANISMS

Operational Plans will collect information at the level of Implementing Mechanisms. It will define who is getting the funding, how much they receive, what is being done with the funding and what will be achieved. An implementing mechanism is a binding relationship established between a USG agency and an outside party to carry out USG-funded programs, by authorizing the use of USG funds for (1) the acquisition of services or commodities; (2) the provision of assistance (a grant); or (3) to fulfill specific agreements such as cash transfers to host-country governments.

Collecting the information at this level will identify the type and number of partners, including host country governments, local governments, contractors and non-governmental organizations (NGOs), including faith-based (FBOs) and community-based organizations (CBOs), that are either receiving funding directly from the USG (prime partner) or are receiving funds as a sub-partner under an umbrella agreement. Collecting such partner-level data serves multiple purposes. First, achieving the transformational diplomacy goal requires particular focus on increasing the sustainability of interventions and the host country's leadership of its own development. Therefore funding, where appropriate, should be directed to in-country activities carried out by indigenous organizations. In addition, partner-level data is required to provide a basis for evaluating partner performance in the use of USG funds. Finally, recent legislation requires USG agencies to fully identify recipients of USG funding to the sub-partner level.

³ For example, there are two countries trying to increase enrollment in basic education programs. In Country A, all three implementers are each building a school that will house 1000 students. In this case the targets for each Implementing Mechanism added together will produce a Program Element target of 3000. In Country B, however, implementer 1 is printing textbooks, implementer 2 is training teachers, and implementer 3 is developing curriculum all in support of enrolling 3000 students. Each implementer has as its target 3000 students enrolled, but the Program Element target does NOT add to 9000; it is only 3000.

In alignment with our aim to promote sustainable development through investment in host-country capacity, Operational Plans will be reviewed for the number of partners and proportion of funds being directed to indigenous organizations. We are looking to understand under what circumstances the USG provides a preponderance of resources to one partner. To this end, we are asking that justification be provided for any partner receiving more than 15% of the total country budget identified in the Operational Plan. The justification template may be found attached at Annex J.

A unique implementing mechanism has five key characteristics that together make up a unique data entry:

1. Prime partner
2. Implementing mechanism name
3. Implementing mechanism location
4. Implementing mechanism type
5. USG agency

One or more of these key characteristics should be different for each implementing mechanism entry. Examples of implementing mechanisms include contracts, cooperative agreements, grants, inter-agency agreements, and cash transfers to host country governments. USAID Strategic Objective Agreements (SOAGs) are not considered to be implementing mechanisms until the funds are sub-obligated to specific partners with identified activities and planned results. The sub-obligations are the implementing mechanisms. Please also note that *individuals are not to be considered organizations or sub-partners*. Please do not include consultants as organizations or sub-partners. For information on how to account for Personal Services Contractors and others and/or administrative costs paid for with foreign assistance funding, please see the Program Support section below.

Prime partners with multiple contracts will have to be entered into FACTS more than once. Each entry corresponds to a unique combination of the five key characteristics, and therefore, each entry will have a unique identifier in FACTS. You should not, however, have multiple entries for an implementing mechanism if the five key characteristics listed above are the same.

1. Information for each Implementing Mechanism

i. Prime Partner Name

A prime partner is the entity which receives funding directly from, and has a direct contractual relationship (contract, cooperative agreement, grant, etc.) with, the USG agency. The data system already includes a large number of organizations that can be selected from the search menu as you complete this section. If the organization that you are looking for is not already in the system, please follow the steps outlined in Annex K on how to add organizations. We are asking that organizations are added centrally because of the need to maintain consistency and accuracy with the organization names.

There can be **only one prime partner per implementing mechanism**. When implementing mechanisms are awarded to a consortium, the lead partner is the prime, and all other partners in

the consortium should be identified as sub-partners. List the prime partner whether it is active in the country or not. List all sub-partners that are active in the country.

In the case of an identified implementing mechanism (i.e. Recipient or Contractor to be selected through a Request For Application, Request For Proposal, or Annual Program Statement) for which the prime partner has not yet been identified, select "To Be Determined" as the prime partner.

There are a number of circumstances for which USG agencies will be identified as the prime partner for an implementing mechanism. This is expected for such items as management and staffing costs, technical assistance requests from the HQ agency, or technical staffing costs which would fall into one of the Program Elements. USG agencies should only be identified as the prime partner when there are no additional sub-partners under that implementing mechanism.

ii. Implementing Mechanism Name

The Implementing Mechanism Name is the name given to the award. This could also be considered the "project" name. This cell should include the contract/agreement number and the name.

Examples:

- TBD Education Project
- GPO-A-00-04-00026 The Capacity Project
- DFD-I-00-03-00143-00 Anti-Corruption
- DFD-A-00-05-00238 UN FAO Avian Influenza
- EDH-A-00-03-00018-01 Farmer to Farmer Program
- EPP-I-00-03-00014 EPIQ II
- GDG-A-00-02-00004 Basic Education and Policy Support

Please do not confuse implementing mechanism name with prime partner name.

iii. Implementing Mechanism Location

The selection here should answer the question of "Where is the procurement for this specific funding action taking place?" There are four options for the implementing mechanism location:

- Central/Functional
- Central/Regional
- Field/Regional
- Field/Bilateral

For definitions of what is included in each of these Implementing Mechanism Locations, see the Glossary (Annex L).

iv. Implementing Mechanism Type

The Implementing Mechanism Type (or instrument) is a contract, grant, bilateral agreement, or other mechanism that obligates or sub-obligates funds. The list included here is a subset and grouping of the complete list of possible mechanism types. The options are for:

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- Direct Contract
- Direct Grant/Cooperative Agreement
- Cash-Transfers
- Other USG direct
- Host government managed
- Third party managed

For definitions of what is included in each of these Implementing Mechanism Types, please see the Glossary (Annex L).

v. USG Agency

The Operating Unit should select the USG agency that manages the implementing mechanism.

EXAMPLE: Information requested above in sections i-v for each Implementing Mechanism

Prime Partner	Implementing Mechanism Name	Implementing Mechanism Location	Implementing Mechanism Type	USG Agency
Development Alternatives, Inc.	LAG-A-00-04-000XX The BIO Project	Central/Functional	Direct Grant/Cooperative Agreement	USAID/EGAT
ABT	ETA-A-00-05-0000X Healthy Freedonia 2010	Field/Bilateral	Direct Grant/Cooperative Agreement	USAID/Mission
Dyncorp	INL-C-00-03-000XX Civilian Police	Central/Functional	Direct Contract	State/INL
Chemonics	AFR-C-00-05-0000X Regional Agricultural Trade Expansion Support	Field/Regional	Direct Grant/Cooperative Agreement	USAID/East Africa
TBD	TBD, Democracy Promotion	Field/Bilateral	Direct Contract	USAID/Mission
USAID	Support Services	Field/Bilateral	Other USG Direct	USAID/Mission

*Note: It is possible for a given USG agency to also be considered a prime partner. Please see section 1.i, Prime Partner Name, for further details about this.

2. Information on Implementing Mechanisms' Current Year Activities

i. Implementing Mechanism Narrative

In 2-3 paragraphs (no more than 1,200 characters, including spaces) provide enough detail for reviewers to understand what the implementing mechanism entails, and what will be accomplished through this implementing mechanism in the Program Element. The specific items that should be mentioned in each narrative include:

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- A clear statement of the expected result(s);
- How this activity will help you reach the short-term and long-term goals outlined in the Program Element Overview, section V.C.2.i above and address opportunities and challenges;
- How you will reach the specific planned targets;
- Flag new activities as distinct from on-going activities;
- Populations that will be targeted (see sub-section iii, below);
- Key issues that will be addressed (see sub-section iv, below);
- Sub-Elements; and
- Component areas (see sub-section v, below).

Example:

The Implementing Mechanism XX-XX-XX, Training in Energy Related Activities, is implemented by The ChumbaWumba Group (CWG). This is not a new award and in FY07 CWG is planning to conduct energy related training on policy and regulatory practices, business management systems, and technical operations and maintenance. CWG is hopeful they will be able to train over 1,200 individuals (400 in each of the three aforementioned areas). The target populations to be trained include government and business officials and individuals interested in learning the technical field of energy. CWG is hopeful that as least a quarter of all participants attending the training will be women. To ensure women's participation CWG is will work with the Mission and local organization to identify women's groups and advertise the trainings widely.

These trainings are essential in developing the fundamental principles needed to create a sustainable modern energy sector. Furthermore, and in addition the direct benefits, the indirect benefits resulting from these trainings will carry for years to come and could affect other sectors and influence overall social and economic development.

ii. Indicators/Targets

For each implementing mechanism, you are asked to give targets for the indicators that the implementing mechanism will aim to accomplish with FY2007 funding through the time period ending on September 30, 2008. The same standard indicators that appeared in the Program Element section are included here against which to set targets. Possible answers for the targets include:

- Zero (0) – meaning this implementing mechanism is working in this area but it is premature to set targets for FY2007 funding;
- A number – reflecting what the implementing mechanism will be able to accomplish in FY2007 and in FY2008; or
- N/A – meaning that this implementing mechanism is not doing any work that would contribute to this indicator.

If you select N/A for the target to the standard indicators in the drop-down section, then you may use the option to add Operating Unit indicator(s) and targets specific to that implementing mechanism that *will* be used to measure performance. As our objective is to obtain comparable data across Operating Units, this feature should be used *sparingly* and *only* where the standard

indicators do not apply. A justification for why the standard indicator could not be used should be included in the narrative box (see next paragraph). Additionally, when adding indicators, an effort should be made to add indicators that can apply more generally to the work that will be done in that Program Element and to multiple implementing partners.

There will also be an optional narrative box provided for this section. This box should be used to articulate what will be accomplished in FY2007 and in FY2008 by this implementing mechanism in the event that all of the standard indicators/targets are N/A. This box may also be used to articulate qualitative targets or discuss other important information related to the targets.

Please note that this is the second place where performance targets for the Program Element are being identified in FACTS. Implementing mechanism-level targets refer to the expected partner level achievements in a given Program Element with the funding requested for that partner-activity in a specified fiscal year. It is expected and acceptable that the targets selected for different partners may refer to the same individual beneficiaries and at times the same points of service (sites), and the target for a partner or all partners may be the same as for the Program Element as a whole. Overall, however, this work should be well-coordinated across partners and activities to avoid misunderstandings about which partner targets are captured in the Program Element total (see footnote 3).

iii. Target Population

The target population designation should only be used to select those populations which are the **primary, direct target beneficiary** for the activity. In other words, in the design of the activity, these are the intended audiences for this activity. The target populations list is a condensed list of some key target populations of high importance, priority, or interest. This is not a complete list of every possible target population of relevance to foreign assistance. Check the box for all target populations that apply. If none apply (an example might be as in the case of Macroeconomic policy reform), please check the "Other/Not Applicable" box.

iv. Key Issues

The key issues will be used to facilitate responding to Administration and Congressional priorities. It is critically important that they reflect the in-country or global/regional program reality as closely as possible. For each key issue, you will have to include dollar amounts going to those areas.

These key issues include such cross-cutting areas as civil society and counter-terrorism, as well as sectoral focuses such as biodiversity or microenterprise. You should ensure that each selection of a key issue is justifiable, according to the definition provided for that key issue.

For each key issue that is selected, please provide some detail in the Implementing Mechanism Narrative (Section i) which describes what specifically will be undertaken to address that issue. For a definition of what should be included in each of the key issues please see Annex M. It is possible to attach funding to more than one key issue per implementing mechanism. Additionally, the total amount of funding going to key issues can equal more than 100% of the total for the implementing mechanism. For example, if you are providing \$1,000,000 to Academy for Educational Development to undertake economic growth activities with out-of-

school youth in northern Nigeria, you cannot list more than \$1,000,000 as contributing to the Counter-Terrorism key issue. However, you can list \$1,000,000 as contributing to the Counter-Terrorism key issue and \$1,000,000 as contributing to the Africa Education Initiative.

v. Component Areas

Component Areas are defined as the distinct types of work that are undertaken in support of the purpose of an implementing mechanism. The Component Areas will be used to facilitate document searches in responding to both Congressional and media inquiries and therefore it is critically important that they reflect the in-country or global/regional program reality as closely as possible.

A specific implementing mechanism may be characterized by the types of activities it includes. For example, an implementing mechanism working in Basic Education could be working on training of teachers, technical assistance to the Ministry of Education to support curriculum development, and the purchasing of textbooks. Each of these distinct “actions” is what we have termed “component areas”. The list of component areas includes:

- Capital
- Commodities
- Operations Support
- Technical Assistance
- Training
- Construction/Rehabilitation

The definitions of each of these can be found in Annex M.

These component areas are the same across all Program Elements. You are asked to include the estimated percentage of the total implementing mechanisms budget that will be going to each component area. There are four options for the estimated percentage:

- 1-25%
- 26-50%
- 51-75%
- 76-100%

Please select all that apply. You are required to include at least one component area. You are asked to mention in the Implementing Mechanism Narrative (section i) each of the component areas that you check.

vi. Planned Funding

It is important that USG teams in country review pipeline information for their partners prior to requesting additional funding for the partner. USG teams should confirm, barring unusual circumstances, that partners for which additional funding is requested do not have pipelines greater than 12 months beyond the end of the fiscal year of appropriation.

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For each prime partner, you are required to fill in the FY2007 planned funds going to each of the Program Sub-Elements. This funding will automatically add up to fill in the amount of funding for the implementing mechanism, as well as the amount of funding for the Program Element, the Program Area, and the Objective.

vii. Fund Account

The fund account is the list of accounts that your country/Operating Unit has been allocated. From the drop down menu, separately select the fund account that applies to each Sub-Element. A separate entry is needed for each fund account. See Annex N for a full list of accounts.

viii. Benefiting Country

Washington based Operating Units and Regional Platforms are responsible for identifying countries benefiting from their NOA budget. Select countries from the drop-down menu and enter estimated amounts. This must be used where activities and funding are sufficiently discrete to attribute to a country. If the assistance truly transcends a single country's borders, the benefiting country can be left as "Global" or "Regional".

3. Sub-Partner Information

Please provide as much information as possible with respect to sub-partners. Keep in mind that funding and approval of activities is contingent on the identification of sub-partners.

i. Sub-Partner Name

The Operational Plan does not distinguish between sub-partners and sub-sub-partners. All sub-partners are linked with the prime partner. Our intention is to have information on the final recipient organization for the funds.

Subdivisions of an organization: If an organization has one or more subdivisions or sub-offices that are receiving funding, you should not enter each subdivision or sub-office as a sub-partner of the parent organization. You would only enter the subdivision or sub-office if it is receiving the funding directly from a USG Agency prime partner, independently of the parent organization.

ii. Sub-Partner Planned Funding

Enter the amount of FY2007 planned funding requested for the sub-partner. If you do not yet know how much funding will be going to the sub-partner, please select "Funding To Be Determined." Note that the FACTS data system will calculate all sub-partner planned funding for a given implementing mechanism. The total of all sub-partners cannot be greater than the total planned FY2007 funding for that same implementing mechanism.

iii. Sub-Partner Program Sub-Elements

Please check the box next to each Program Sub-Element where that particular sub-partner will be working.

D. PROGRAM SUPPORT

Within the *Foreign Assistance Standardized Program Structure and Definitions*, there is a specific element used to capture 1) activities that strengthen host country strategic information capacity; and 2) the costs of staffing, technical assistance and support needed by the USG for program design, management and oversight, including strategic information activities carried out for the benefit of the USG. Program support has three Sub-Elements:

- Host country strategic information (SI) capacity;
- Program design and learning (PD&L); and
- Personnel.

The SI Sub-Element includes activities to establish or strengthen host country strategic information capacity. The Program Design and Learning Sub-Element includes design and evaluation activities conducted by the USG, such as project design teams or special evaluations. The Personnel Sub-Element includes funding used to provide staff for USG oversight of the program, such as project managers. Complete definitions are available in the *Foreign Assistance Standardized Program Structure and Definitions*.

We recognize that there are many Personal Services Contractors working on behalf of the USG in the field. In addition, there are many small purchase orders and contracts that could help to implement work under the PD&L and Personnel Sub-Elements. We do not expect you to enter the names of Personal Service Contractors as separate prime partners in the FACTS database. Therefore, please bundle small implementing mechanisms into one or just a few implementing mechanisms for these two Sub-Elements, with the U.S. agency as the prime partner. For example, if the US Embassy in your country has 2 program funded PSCs which help to implement the Counter-Terrorism activities, they the costs for these 2 PSCs, along with their associated costs, would be bundled together into one entry with USAID listed as the prime partner.

The USG also contracts with service organizations to provide personnel. For example, if USAID is the USG agency and uses IAP Worldwide Services as a prime partner for the Personnel Sub-Element, in addition to direct hiring by the USG, you would have a separate entry for IAP in addition to the entry for USAID.

The personnel costs that are specifically related to providing direct advisory services to the host country government or other client should not be included in the Personnel Sub-Element. These costs should be captured within the technical Sub-Element which they are supporting. For example, costs for a USG Fellow who is placed at the Ministry of Finance and providing technical assistance related to financial services should be included in the Financial Sector Program Element.

This section should NOT be used for personnel-related costs for implementing partners. These costs should be fully-loaded across the Sub-Elements where the implementing partner is working.

It is possible that some implementing mechanisms are solely used for program support purposes. If this is the case, there is no need to include information on target populations, key issues, component areas, or indicators as none of these apply. However, in the narrative, you should justify the personnel being funded.

Program-Funded Staff (numbers of)

The Operational Plan captures the amount of funding going to personnel and management related costs. Separately we also want to know the number of people funding with foreign assistance resources. Therefore, we ask that you allocate the number of program-funded staff into Program Areas by filling in the down-loadable, Excel staffing template (see Annex O). This table should include ALL program funded staff, regardless of where funding for those positions is included in the Operational Plan (i.e., this should not just include staff included in the program support Sub-Element, but should include all staff hired by the USG that may have been included in other sub-elements.)

An electronic version of this template will be available in the FACTS system.

IV. Operational Plan Additional Requirements

A. ENDORSEMENT BY THE AMBASSADOR

Fast-Track Operational Plans must be reviewed and endorsed by the in-country Ambassador. During the finalization process in the FACTS system the Country Team must submit a memorandum from their Ambassador, not to exceed three pages. Some of the items that would be useful to include in the memo are: addressing critical issues, changing circumstances, and how foreign assistance is being used to support the transformational diplomacy goal. The memo should be written in Word and uploaded in to the FACTS data system.

B. SUPPORT DOCUMENTS

Budget Prioritization:

Due to the fact that the FY2007 appropriation has not been passed, and therefore the budget numbers that are being planned in the FY2007 Operational Plan are not final, we are asking that each country provide a brief prioritization of activities that would be added or removed from the country program assuming an increase or decrease in funding levels of 10 percent. The specific guidelines for information to be included can be found in Annex H.

Optional Classified Annex:

Please ensure that your Operational Plan does NOT contain any information considered to be classified. While the Operational Plans are not intended to be public documents, the system through which the Plans will be submitted is not a classified system and should not be used to transmit classified information. If you feel that you are not able to fully articulate the required information due to it being classified in nature, please submit the requisite information through a Classified Annex to your Operational Plan. The Classified Annex should be submitted to your F Core Team Lead through the ClassNet system. The F Core Team Lead will ensure that the

Classified Annex is reviewed with the Operational Plan, as by those individuals who have appropriate clearance level. The due date for any Classified Annex to your Operational Plan is the same as the document itself: January 31, 2007.

Justifications:

In the event that one or more of the prime partners working in your country has a total budget that exceeds 15% of the countries total Operational Plan funding you are asked to include a justification. The justification does not have to be a long document; no more than one page is encouraged. The specific guidelines for information to be included can be found in Annex J.

C. OPERATIONAL PLAN AMENDMENTS

Operational Plans are evolving documents will require periodic updates to reflect changes proposed by posts to maximize the effectiveness of foreign assistance. Our ability to answer questions about foreign assistance without querying posts on an *ad-hoc* basis depends on keeping the FACTS database up-to-date to reflect the current status of Operational Plans, including all approved changes. Examples of when posts will need to update FACTS might include finalization of budget figures after the signing of the Appropriations Bill, signing a new contract with an implementing partner, major crisis in a country that shifts foreign assistance needs, etc. Specific guidance related to amendments to the Operational Plan will be available later this year.

D. QUALITY ASSURANCE REPORT

Completing the Quality Assurance Report is required prior to submission of the Operational Plan. The Quality Assurance Report will flag any common errors in data entry. A summary of the Quality Assurance Report and possible errors requiring correction prior to submission will be included in the FACTS User's Guide.

V. Review Structure, Process, and Criteria

When the Country Team/Regional Platform has finalized entry of its Operational Plan into FACTS, the Office of the Director of U.S. Foreign Assistance will facilitate the review process. The Operational Plan will be reviewed for substance, coverage of strategic issues, implementation issues, and program synthesis as detailed below. The Core Team will work closely with State and USAID regional bureaus and the Country Team to clarify and resolve any issues. Operational Plans will be reviewed by principals from State and USAID regional and functional bureaus, and ultimately approved by the Director of Foreign Assistance.

Please be aware that the country reviews will be undertaken in a holistic way. This means that all activities identified as going on in a country, regardless of which Operational Plan it appears in, will be included in the review for that country. In other words, those activities identified in Washington Bureau and Regional Platform Operational Plans using the benefiting country feature will be reviewed with the countries Operational Plan.

The review of an Operational Plan will include the following questions:

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Strategic

- Does the Operational Plan adequately address the Foreign Assistance Framework?
- Does it clearly reflect the transformational diplomacy goal?
- Is the plan consistent with the country category designation?
- Are the chosen activities appropriate to fill gaps and to enable the country to advance to a higher country category or graduate from foreign aid?

Implementation

- Is the plan for implementing the FY2007 budget consistent with the Secretary's decisions on the FY2008 budget request?
- What are the implementing mechanisms? Is there a diverse partner list?
- Does the plan strengthen the capacity of indigenous partners to play a role in implementing the programs?
- Are the workforce requirements and management controls consistent with the expected results?
- Does the plan reflect significant results for the funds to be invested?

Synthesis

- Does the plan reflect an integrated cross-Agency approach for Fast-Track countries? What offices or Agencies participated in the drafting of the plan?
- Does the plan incorporate best practices and lessons learned at the country, regional, and global levels?
- Does the plan take into consideration major activities of other USG agencies, donors, and implementing partners working in the same or related areas to ensure coordination and not duplication?
- Does the plan allow for a robust assessment of program performance at all levels? Are indicators and targets appropriate to measure success?
- Does the plan adequately address gender issues?

VI. Additional Information for FY2007 Non-Fast-Track Operational Plans

In addition to the 67 Fast-Track countries, all USAID missions, USAID regional platforms, and USAID Washington bureaus will submit FY2007 Operational Plans for the use of foreign assistance funds. This section provides information on where the guidance for these Operating Units is different from that provided above for Fast-Track countries. With the exception of the specific differences outlined below, all of the above guidance remains in effect for these Operating Units.

A. DEVELOPING A PROGRAMMATIC RESPONSE

All foreign assistance resources managed and/or implemented by USAID must be included in the Operational Plan. This includes programs such as threshold and compact programs of the Millennium Challenge Corporation.

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Even though the FY2007 non-Fast-Track Operational Plans are limited to just one USG agency, it is important to consider the other USG foreign assistance resources being implemented in-country. Those Operating Units developing single-agency Operational Plans for FY2007 should ensure that coordination is being undertaken. Where centrally and regionally-managed activities are proposed to be undertaken in specific countries, such activities should be coordinated in advance with Country Teams to ensure an effective allocation of resources.

B. ENDORSEMENT BY THE APPROPRIATE AUTHORITY

For non-Fast-Track Operating Units, review and endorsement of the Operational Plan remains a requirement. The cover memorandum should be submitted under the signature of the appropriate authority as follows:

- For USAID missions, both the Ambassador and Mission Director must review and endorse the Operational Plan, with the cover memo submitted under the signature of the Ambassador.
- For USAID regional platforms, the Mission Director must review and endorse the Operational Plan prior to submission.
- For USAID Washington bureaus, the USAID Assistant Administrator is required to review and endorse the Operational Plan prior to submission.

C. USAID HEADQUARTERS OPERATING UNITS AND REGIONAL PLATFORMS

Each Operating Unit is responsible for reporting the planned use of all new obligating authority (NOA) in its budget. Some USAID Headquarters and Regional Platforms fund or manage regional, bilateral, and country-specific programs in Fast-Track and non-fast track countries. Headquarters Operating Units and Regional Platforms must identify benefiting countries per page 23, and coordination must be assured as identified below:

- Regional Platforms funding regional or country-specific activities: prepare an Operational Plan articulating the activities planned for the NOA budget given to your Operating Unit. Include information on benefiting countries per page 23. For example:
 - A contract managed by USAID's West Africa Regional Program (WARP) which is using WARP NOA funding to support a pilot program in Ghana intended to test the validity of a more cost effective, community based health care delivery model would be included in WARP's Operational Plan, with Ghana listed as the benefiting country. The plan would be endorsed by the WARP Mission Director and submitted by WARP.
- Regional Platforms managing bilateral programs for non-presence, non-Fast-Track countries: prepare an Operational Plan for the NOA funding going to each non-presence, non-Fast-Track country and have it endorsed by the relevant Ambassador. For example:
 - Burundi is a USAID non-presence country and a non-Fast-Track country for FY2007 that has its own budget. The USAID East Africa Regional Platform,

which manages Burundi's USAID programs, should write an Operational Plan for Burundi. The plan would be endorsed by the USG Ambassador in Burundi and submitted by the regional platform.

- Regional Platforms managing bilateral programs for non-presence, Fast-Track countries, where there is a team at post to draft an Operational Plan: provide necessary information on the NOA funding for the country-specific programs for use in the Fast-Track country's Operational Plan.
 - Vietnam is a USAID non-presence country and a Fast-Track country for FY2007. USAID's Regional Development Mission – Asia, which manages Vietnam's USAID programs, will need to work with the in-country Department of State team to complete a joint Operational Plan for Vietnam. The plan would be endorsed by the USG Ambassador in Vietnam and submitted by Vietnam.
- USAID central/pillar/regional bureaus in Washington: Central/pillar/regional bureaus in Washington are responsible for reporting the planned use of all new obligating authority (NOA) in their budgets. Operating Units must identify benefiting countries per section V.D.2.viii. For example:
 - A contract managed by USAID's Economic Growth, Agriculture and Trade Bureau (EGAT) which is using central EGAT NOA funding to support a community based clean water pilot project in Cameroon would be included in the EGAT Operational Plan, with Cameroon listed as the benefiting country. The EGAT Operational Plan would be endorsed by the EGAT AA and submitted by EGAT.

D. REVIEWS OF WASHINGTON OPERATING UNIT OPERATIONAL PLANS

The procedures for reviewing Operational Plans of State and USAID functional bureaus (and regional bureaus, where appropriate) will be similar to those outlined above for country and Regional Platform Operational Plans. The functional group Core Teams will coordinate the Operational Plan reviews and draft the decision memorandum for the Director of U.S. Foreign Assistance. These reviews will focus on the global and regional versus bilateral concerns that may affect implementation of the Operational Plan.

VII. Annexes

- A. Strategic Framework for U.S. Foreign Assistance
- B. Extended Foreign Assistance Framework
- C. Foreign Assistance Standardized Program Structure and Definitions
- D. List of Operating Units Required to Submit FY2007 Operational Plans
- E. F Regional and Global/Functional Lead Point of Contact Information
- F. Schedule of Operational Plan Training Events
- G. Legacy Systems and Requirements
- H. Guidance on Budget Prioritization
- I. Other USG Agency Resources Table

FY2007 Operational Plan Guidance

- J. Template for Justification for One Partner Receiving More Than 15 Percent of Funds**
- K. Guidance for Adding Organizations to FACTS**
- L. Glossary**
- M. List and Definition of the Drop Down Selections**
- N. List of Accounts**
- O. Program Funded Staffing Table**

FOREIGN ASSISTANCE FRAMEWORK

Goal		"Helping to build and sustain democratic, well-governed states that will respond to the needs of their people and conduct themselves responsibly in the international system."						End Goal of US Foreign Assistance	Graduation Trajectory
Objectives		Peace and Security	Governing Justly and Democratically	Investing in People	Economic Growth	Humanitarian Assistance			
Accounts within State/USAID		FMF, IMET, ESF, INCLE, NADR, PKO, ACI, FSA, SEED	DA, SEED, FSA, DF, ESF, INCLE, IO&P, ACI	DA, TI, CSH, ESF, IDFA, IO&P, FSA, SEED, GHAI, Title II	DA, TI, ESF, SEED, FSA, IO&P, Title II	IDFA, MRA, ERMA, Title II			
Foreign Assistance Program Areas		<ul style="list-style-type: none"> > Counter Terrorism > Combating WMD > Stabilization Operations and Defense Reform > Counternarcotics > Transnational Crime > Conflict Mitigation and Response 	<ul style="list-style-type: none"> > Rule of Law and Human Rights > Good Governance > Political Competition and Consensus-Building > Civil Society 	<ul style="list-style-type: none"> > Health > Education > Social Services and Protection for Vulnerable Populations 	<ul style="list-style-type: none"> > Macroeconomic Foundation for Growth > Trade and Investment > Financial Sector > Infrastructure > Agriculture > Private Sector Competitiveness > Economic Opportunity > Environment 	<ul style="list-style-type: none"> > Protection, Assistance and Solutions > Disaster Readiness > Migration Management 			
Category Definition		Other USG Agency Contributions							
Rebuilding Countries	States in or emerging from and rebuilding after internal or external conflict.	Prevent or mitigate state failure and/or violent conflict.	Assist in creating and/or stabilizing a legitimate and democratic government and a supportive environment for civil society and media.	Start or restart the delivery of critical social services, including health and educational facilities, and begin building or rebuilding institutional capacity.	Assist in the construction or reconstruction of key internal infrastructure and market mechanisms to stabilize the economy.	Address immediate needs of refugees, displaced, and other affected groups.	Stable environment for good governance, increased availability of essential social services, and initial progress to create policies and institutions upon which future progress will rest.	Advance to the Developing or Transforming Category.	
Developing Countries	States with low or lower-middle income, not yet meeting MCC performance criteria, and the criterion related to political rights.	Address key remaining challenges to security and law enforcement.	Support policies and programs that accelerate and strengthen public institutions and the creation of a more vibrant local government, civil society and media.	Encourage social policies that deepen the ability of institutions to establish appropriate roles for the public and private sector in service delivery.	Encourage economic policies and strengthen institutional capacity to promote broad-based growth.	Encourage reduced need for future HA by introducing prevention and mitigation strategies, while continuing to address emergency needs.	Continued progress in expanding and deepening democracy, strengthening public and private institutions, and supporting policies that promote economic growth and poverty reduction.	Advance to the Transforming Category.	
Transforming Countries	States with low or lower-middle income, meeting MCC performance criteria, and the criterion related to political rights.	Nurture progress toward partnerships on security and law enforcement.	Provide limited resources and technical assistance to reinforce democratic institutions.	Provide financial resources and limited technical assistance to sustain improved livelihoods.	Provide financial resources and technical assistance to promote broad-based growth.	Address emergency needs on a short-term basis, as necessary.	Government, civil society and private sector institutions capable of sustaining development progress.	Advance to the Sustaining Partnership Category or graduate from foreign assistance.	
Sustaining Partnership Countries	States with upper-middle income or greater for which U.S. support is provided to sustain partnerships, progress, and peace.	Support strategic partnerships addressing security, CT, WMD, and counter-narcotics.	Address issues of mutual interest.	Address issues of mutual interest.	Create and promote sustained partnerships on trade and investment.	Address emergency needs on a short-term basis, as necessary.	Continued partnership as strategically appropriate where U.S. support is necessary to maintain progress and peace.	Continue partnership or graduate from foreign assistance.	
Restrictive Countries	States of concern where there are significant governance issues.	Prevent the acquisition/proliferation of WMD, support CT and counter narcotics.	Foster effective democracy and responsible sovereignty. Create local capacity for fortification of civil society and path to democratic governance.	Address humanitarian needs.	Promote a market-based economy.	Address emergency needs on a short-term basis, as necessary.	Civil society empowered to demand more effective democracies and states respectful of human dignity, accountable to their citizens, and responsible towards their neighbors.	Advance to other relevant foreign assistance category.	
Global or Regional	Activities that advance the five objectives, transcend a single country's borders, and are addressed outside a country strategy.						Achievement of foreign assistance goal and objectives.	Determined based on criteria specific to the global or regional objective.	

ANNEX B: Extended Foreign Assistance Framework

Rebuilding

State Category	Rebuilding
Goal	"Helping to build and sustain democratic, well-governed states that will respond to the needs of their people and conduct themselves responsibly in the international system."
Category Definition	States in or emerging from and rebuilding after internal or external conflict, which affects: 1) Resources available to meet citizen's needs, and/or 2) Government's ability to move forward on transformational development. Political and economic instability are key constraints. Diplomacy and/or defense have lead roles, with foreign assistance in support.
Objectives for Foreign Assistance	Peace and Security: Prevent or mitigate state failure and/or violent conflict.
	Governing Justly and Democratically: Assist in creating and/or stabilizing a legitimate and democratic government, and a supportive environment for civil society and media.
	Investing in People: Start or restart the delivery of critical social services, including health and educational facilities, and begin building or rebuilding institutional capacity.
	Economic Growth: Assist in the construction or reconstruction of key internal infrastructure and market mechanisms to stabilize the economy.
	Humanitarian Assistance: Address immediate needs of refugee, displaced, and other affected groups.
Graduation Trajectory	Advance to the Developing or Transforming Category by creating a stable environment for good governance, increased availability of essential social services, and initial progress to create policies and institutions upon which future progress will rest.

Recipients Ranked by FY '06 Initial Appropriation*

1	Afghanistan
2	Colombia
3	Haiti
4	Sudan
5	Liberia
6	Kosovo
7	Iraq

Alphabetical Listing

Afghanistan
Colombia
Cote D'Ivoire
Democratic Republic of Congo
Haiti
Iraq
Kosovo

Geographic Representation

Africa	6
East Asia and Pacific	0
Europe and Eurasia	1
Near East	2
South and Central Asia	2
Western Hemisphere	2

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8	Lebanon
9	Democratic Republic of Congo
10	Nepal
11	Cote D'Ivoire
12	Sierra Leone
13	Somalia

Lebanon
Liberia
Nepal
Sierra Leone
Somalia
Sudan

* Does not include supplemental funding or funding from central programs.

Developing

State Category	Developing
Goal	"Helping to build and sustain democratic, well-governed states that will respond to the needs of their people and conduct themselves responsibly in the international system."
Category Definition	States with low or lower-middle income, not yet meeting MCC performance criteria, and the criterion related to political rights.
	Poor government policies and weak institutions are key constraints. Foreign assistance must be intensive.
Objectives for Foreign Assistance	Peace and Security: Address key remaining challenges to security and law enforcement.
	Governing Justly and Democratically: Support the adoption of policies and programs that accelerate the strengthening of public institutions and the creation of a more vibrant local government, civil society and media.
	Investing in People: Encourage the adoption of progressive social policies and deepen the capabilities of key social institutions, which includes establishing the relative roles of public and private sector in service delivery.
	Economic Growth: Encourage the adoption of progressive economic policies and the strengthening of institutional capabilities in the public and private sectors.
	Humanitarian Assistance: Address emergency needs with a view to reducing the need for future humanitarian assistance by introducing prevention and mitigation strategies.
Graduation Trajectory	Advance to the Transforming Category by continued progress in expanding and deepening democracy, social service delivery through public and private organizations, and policies that support economic growth.

Recipients Ranked by FY '06 Initial Appropriation*

1	Egypt
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Alphabetical Listing

Albania

Geographic Representation

Africa	27
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2	Pakistan
3	Jordan
4	Kenya
5	Uganda
6	Ethiopia
7	Nigeria
8	Zambia
9	Indonesia
10	Georgia
11	Peru
12	Armenia
13	Ukraine
14	Rwanda
15	Bangladesh
16	Serbia
17	Malawi
18	Cambodia
19	Bosnia and Herzegovina
20	Guatemala
21	Azerbaijan
22	Macedonia
23	Vietnam
24	Senegal
25	Morocco
26	Romania
27	Kyrgyz Republic
28	Kazakhstan
29	Albania
30	Ecuador
31	Tajikistan
32	Angola
33	Cape Verde
34	Dominican Republic
35	Guyana
36	Yemen
37	Moldova
38	Uzbekistan
39	Guinea

Algeria*
Angola
Armenia
Azerbaijan
Bangladesh
Bosnia and Herzegovina
Burkina Faso
Burundi
Cambodia
Cameroon
Cape Verde
Central African Republic
Chad
Comoros
Djibouti
Dominican Republic
Ecuador
Egypt
Eritrea
Ethiopia
Fiji
Gambia
Georgia
Guatemala
Guinea
Guinea-Bissau
Guyana
Indonesia
Jamaica
Jordan
Kazakhstan
Kenya
Kyrgyz Republic
Laos
Macedonia
Malawi
Maldives
Mauritania

East Asia and Pacific	8
Europe and Eurasia	11
Near East	6
South and Central Asia	8
Western Hemisphere	8

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40	Burundi
41	Jamaica
42	Chad
43	Montenegro
44	Burkina Faso
45	Tunisia
46	Paraguay
47	Djibouti
48	Turkmenistan
49	Laos
50	Niger
51	Gambia
52	Mauritania
53	Algeria
54	Fiji
55	Eritrea
56	Tonga
57	Papua New Guinea
58	Cameroon
59	Suriname
60	Swaziland
61	Sao Tome and Principe
62	Maldives
63	Comoros
64	Solomon Islands
65	Togo
66	Guinea-Bissau
67	Central African Republic
68	Republic of the Congo

Moldova
Montenegro
Morocco
Niger
Nigeria
Pakistan
Papua New Guinea
Paraguay
Peru
Republic of the Congo
Romania
Rwanda
Sao Tome and Principe
Senegal
Serbia
Solomon Islands
Suriname
Swaziland
Tajikistan
Togo
Tonga
Tunisia
Turkmenistan
Uganda
Ukraine
Uzbekistan
Vietnam
Yemen
Zambia

* Does not include supplemental funding or funding from central programs.

Transforming

State Category	Transforming
Goal	“Helping to build and sustain democratic, well-governed states that will respond to the needs of their people and conduct themselves responsibly in the international system.”
Category Definition	States with low or lower-middle income, meeting MCC performance criteria, and the criterion related to political rights.

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	Financial resources and technical assistance can accelerate progress in a less intensive manner.
Objectives for Foreign Assistance	Peace and Security: Nurture progress toward partnership on security and law enforcement.
	Governing Justly and Democratically: Provide limited resources and technical assistance to reinforce and consolidate progress to date.
	Investing in People: Provide financial resources and limited technical assistance to accelerate the achievement of results.
	Economic Growth: Provide financial resources and technical assistance to accelerate growth.
	Humanitarian Assistance: Address emergency needs on a short-term basis, as necessary.
Graduation Trajectory	Advance to the Sustaining Partnerships Category or graduate from foreign assistance due to the flourishing of institutions, civil society, and private sector groups under well-functioning government and economic conditions.

Recipients Ranked by FY '06 Initial Appropriation*

1	Tanzania
2	Bolivia
3	Mozambique
4	India
5	Philippines
6	Honduras
7	Nicaragua
8	Ghana
9	Madagascar
10	Namibia
11	El Salvador
12	Mali
13	Bulgaria
14	East Timor
15	Brazil
16	Benin
17	Sri Lanka
18	Mongolia
19	Thailand
20	Vanuatu

Alphabetical Listing

Benin
Bolivia
Brazil
Bulgaria
East Timor
El Salvador
Ghana
Honduras
India
Lesotho
Madagascar
Mali
Mongolia
Mozambique
Namibia
Nicaragua
Philippines
Samoa
Sri Lanka
Tanzania

Geographic Representation

Africa	8
East Asia and Pacific	6
Europe and Eurasia	1
Near East	0
South and Central Asia	2
Western Hemisphere	6

FY2007 Operational Plan Guidance

21	Lesotho
22	Samoa
23	Uruguay

Thailand
Uruguay
Vanuatu

* Does not include supplemental funding or funding from central programs.

Sustaining Partnerships

State Category	Sustaining Partnerships
Goal	“Helping to build and sustain democratic, well-governed states that will respond to the needs of their people and conduct themselves responsibly in the international system.”
Category Definition	States with upper-middle income or greater for which U.S. support is provided to sustain partnerships, progress, and peace.
	Partnership is not predicated on need or performance.
	Mutual interests on specific issues drive the agenda. Foreign assistance plays a limited role.
Objectives for Foreign Assistance	Peace and Security: Support strategic partnerships addressing security, counterterrorism, weapons of mass destruction and counternarcotics.
	Governing Justly and Democratically: Address issues of mutual interest.
	Investing in People: Address issues of mutual interest.
	Economic Growth: Create and promote sustained partnerships on trade, investment, and resource management.
	Humanitarian Assistance: Address emergency needs on a short-term basis, as necessary.
Graduation Trajectory	Continued partnership as strategically appropriate where U.S. support is provided to maintain progress and peace, or graduate from foreign assistance.

Recipients Ranked by FY '06 Initial Appropriation*

1	Israel
2	South Africa
3	Russia
4	Mexico
5	Botswana
6	Poland
7	Bahrain
8	Turkey
9	Ireland

Alphabetical Listing

Argentina
Bahamas
Bahrain
Barbados
Belize
Botswana
Brunei
Chile
Costa Rica

Geographic Representation

Africa	6
East Asia and Pacific	5
Europe and Eurasia	16
Near East	7
South and Central Asia	0
Western Hemisphere	9

FY2007 Operational Plan Guidance

10	Oman
11	Croatia
12	Cyprus
13	Panama
14	Lithuania
15	Czech Republic
16	Estonia
17	Latvia
18	Slovakia
19	Hungary
20	Malaysia
21	Bahamas
22	Argentina
23	Chile
24	Qatar
25	Mauritius
26	Slovenia
27	Kuwait
28	United Arab Emirates
29	Trinidad and Tobago
30	Barbados
31	Malta
32	Greece
33	Portugal
34	Singapore
35	Taiwan
36	South Korea
37	Belize
38	Gabon
39	Seychelles
40	Saudi Arabia
41	Costa Rica
42	Equatorial Guinea
43	Brunei

Croatia
Cyprus
Czech Republic
Equatorial Guinea
Estonia
Gabon
Greece
Hungary
Ireland
Israel
Kuwait
Latvia
Lithuania
Malaysia
Malta
Mauritius
Mexico
Oman
Panama
Poland
Portugal
Qatar
Russia
Saudi Arabia
Seychelles
Singapore
Slovakia
Slovenia
South Africa
South Korea
Taiwan
Trinidad and Tobago
Turkey
United Arab Emirates

* Does not include supplemental funding or funding from central programs.

Restrictive

State Category	Restrictive
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Goal	“Helping to build and sustain democratic, well-governed states that will respond to the needs of their people and conduct themselves responsibly in the international system.”
Category Definition	States of concern where: 1) There are significant governance issues and/or 2) There may be legislative restrictions on direct U.S. funding.
	Government ideology is the key constraint. Few opportunities exist to apply foreign assistance.
Objectives for Foreign Assistance	Peace and Security: Prevent the acquisition or proliferation of weapons of mass destruction, support counterterrorism and counternarcotics.
	Governing Justly and Democratically: Foster effective democracy and responsible sovereignty. Create local capacity for fortification of civil society and path to democratic governance.
	Investing in People: Address issues of mutual interest.
	Economic Growth: Promote a market-based economy.
	Humanitarian Assistance: Address emergency needs on a short-term basis, as necessary.
Graduation Trajectory	Advance to other relevant foreign assistance category through civil society being empowered to demand more effective democracies and states respectful of human dignity, accountable to their citizens, and responsible towards their neighbors.
Countries	10 countries

ANNEX C: Foreign Assistance Standardized Program Structure and Definitions

PEACE & SECURITY: To help nations effectively establish the conditions and capacity for achieving peace, security, and stability; and for responding effectively against arising threats to national or international security and stability.

SUMMARY

Program Area 1: Counter-Terrorism

- Program Element 1.1: Deny Terrorist Sponsorship, Support and Sanctuary**
 - Program SubElement 1.1.1: Eliminate Safe Havens (Physical and Virtual)**
 - Program SubElement 1.1.2: Restrict Travel**
 - Program SubElement 1.1.3: Deny Terrorist Access to Finance**
- Program Element 1.2: De-Legitimize Terrorist Ideology**
 - Program SubElement 1.2.1: Isolate and Discredit Terrorist Leaders, Facilitators, and Organizations**
 - Program SubElement 1.2.2: Engage At-Risk Populations and Communities**
- Program Element 1.3: Governments' Capabilities**
 - Program SubElement 1.3.1: Collaborative CT Planning, Coordination and Information Sharing**
 - Program SubElement 1.3.2: Counter-Bioterrorism/Biodefense Capabilities**
- Program Element 1.4: Program Support**
 - Program SubElement 1.4.1: Host Country Strategic Information Capacity**
 - Program SubElement 1.4.2: Program Design and Learning**
 - Program SubElement 1.4.3: Personnel**

Program Area 2: Combating Weapons of Mass Destruction (WMD)

- Program Element 2.1: Counter WMD Proliferation and Combat WMD Terrorism**
 - Program SubElement 2.1.1: Strategic Trade/Border Controls for WMD**
 - Program SubElement 2.1.2: Nuclear Safeguards, Safety, Security, and Energy**
 - Program SubElement 2.1.3: Monitoring Nuclear Explosions**
 - Program SubElement 2.1.4: Nonproliferation of WMD-Applicable Expertise**
 - Program SubElement 2.1.5: WMD Destruction/Facility Conversion**
 - Program SubElement 2.1.6: WMD Terrorism**
- Program Element 2.2: Program Support**
 - Program SubElement 2.2.1: Host Country Strategic Information Capacity**
 - Program SubElement 2.2.2: Program Design and Learning**
 - Program SubElement 2.2.3: Personnel**

Program Area 3: Stabilization Operations and Security Sector Reform

- Program Element 3.1: Operations Support**

Program SubElement 3.1.1:	Deployment and Operations
Program SubElement 3.1.2:	Stability Policing and Civilian Policing (CIVPOL)
Program SubElement 3.1.3:	Corrections Assistance
Program SubElement 3.1.4:	Facility and Dignitary/VIP Protection
Program SubElement 3.1.5:	Peacekeeping and Regional Security
Program SubElement 3.1.6:	Armed Physical Security
Program Element 3.2:	Disarmament, Demobilization & Reintegration (DDR)
Program SubElement 3.2.1:	Disarmament
Program SubElement 3.2.2:	Demobilization
Program SubElement 3.2.3:	Reintegration
Program Element 3.3:	Destruction and Security of Conventional Weapons
Program SubElement 3.3.1:	Destruction of At-Risk Conventional Weapons/Munitions
Program SubElement 3.3.2:	Physical Security and Stockpile Management (PSSM)
Program SubElement 3.3.3:	Destruction of Man-Portable Air Defense Systems (MANPADS)
Program Element 3.4:	Explosive Remnants of War (ERW)
Program SubElement 3.4.1:	De-Mining and Mine Risk Education (MRE)
Program SubElement 3.4.2:	Removal/Destruction of Abandoned and Unexploded Ordnance
Program Element 3.5:	Immediate Protection of Civilians in Conflict
Program SubElement 3.5.1:	Monitoring and Documentation of Crimes
Program SubElement 3.5.2:	Combating Impunity
Program SubElement 3.5.3:	Civilian Safety Measures
Program Element 3.6:	Defense, Military, and Border Restructuring, Reform and Operations
Program SubElement 3.6.1:	Territorial Security
Program SubElement 3.6.2:	Military-to-Military Engagement
Program SubElement 3.6.3:	Civil-Military Engagement
Program Element 3.7:	Law Enforcement Restructuring, Reform and Operations
Program SubElement 3.7.1:	Civilian Police Reform
Program SubElement 3.7.2:	Specialized Units
Program SubElement 3.7.3:	Community Security Initiatives/Community Policing
Program Element 3.8:	Program Support
Program SubElement 3.8.1:	Host Country Strategic Information Capacity
Program SubElement 3.8.2:	Program Design and Learning
Program SubElement 3.8.3:	Personnel
Program Area 4:	Counter-Narcotics
Program Element 4.1:	Eradication
Program SubElement 4.1.1:	Forced Eradication
Program SubElement 4.1.2:	Voluntary Eradication
Program SubElement 4.1.3:	Aerial Eradication

Program SubElement 6.1.2:	Peace Dividends
Program Element 6.2:	Peace and Reconciliation Processes
Program SubElement 6.2.1:	Peace Structures
Program SubElement 6.2.2:	Peace Messaging
Program Element 6.3:	Preventive Diplomacy
Program SubElement 6.3.1:	Official Negotiation Processes
Program SubElement 6.3.2:	Ceasefire Agreements/Peace Accords and Monitoring Mechanisms
Program Element 6.4:	Program Support
Program SubElement 6.4.1:	Host Country Strategic Information Capacity
Program SubElement 6.4.2:	Program Design and Learning
Program SubElement 6.4.3:	Personnel

DEFINITIONS

Program Area 1: Counter-Terrorism

Definition: Expand foreign partnerships and foreign partner capacities and strengthen global capabilities to prevent terrorists from acquiring or using resources for terrorism. Institutionalize the U.S. War on Terror strategy abroad.

Program Element 1.1: Deny Terrorist Sponsorship, Support and Sanctuary

Definition: Deny terrorists the tools they need for long-term survival: sustainable leadership; safe havens that provide secure environments for training and operational planning; a steady influx of recruits; equipment; communications, documentation and logistics networks; and effective propaganda capabilities. This includes programs focused specifically on disrupting financial support for terrorists. Broad activities related to financial crime that include terrorist financing as one part should be included under Transnational Crimes.

Program SubElement 1.1.1: Eliminate Safe Havens (Physical and Virtual)

Definition: Assist foreign partners in developing infrastructure to eliminate current safe havens and prevent others from emerging and in addressing non-governmental entities that provide safe havens for terrorists; assist foreign governments in security and stability in targeted, ungoverned territories; and coordinate and synchronize U.S. government assistance programs to enable nations to govern their territories.

Program SubElement 1.1.2: Restrict Travel

Definition: Increase sharing and collection of biometric data with foreign partners; assist foreign partners in the development of compatible biometrics, immigration, and border management screening programs; and help to fight corruption and fraud in foreign government identification and travel document issuance systems.

Program SubElement 1.1.3: Deny Terrorist Access to Finance

Definition: Identify, disrupt, and deny access to sources, means, and mechanisms of terrorist finance including technical assistance to strengthen foreign government legislative, regulatory, law enforcement, and prosecutorial

capabilities and the establishment of multilateral organizations to ensure legal/enforcement standards for formal financial systems.

Program Element 1.2: De-Legitimize Terrorist Ideology

Definition: De-legitimize the use of terror by seeking to highlight the fundamental immorality, costs, and negative impacts of using violence and to emphasize the benefits of using peaceful, tolerant alternatives.

Program SubElement 1.2.1: Isolate and Discredit Terrorist Leaders, Facilitators, and Organizations

Definition: Assist legitimate governments and civil society institutions denying and disrupting the mechanisms and resources that violent extremists use to disseminate their propaganda.

Program SubElement 1.2.2: Engage At-Risk Populations and Communities

Definition: Promote constructive alternatives to political violence internationally; and reach out to community leaders and organizations spreading the message of alternatives to political violence.

Program Element 1.3: Governments' Capabilities

Definition: Create partnerships with foreign governments that build political will, strengthen avenues of cooperation, and create interlocking mechanisms for sustaining partner engagement in the fight against terrorism.

Program SubElement 1.3.1: Collaborative Counter-Terrorism Planning, Coordination and Information Sharing

Definition: Assist foreign partners in developing the capability for counter-terrorism (CT) planning and coordination and commitment to support U.S. CT objectives. This includes coordinating, synchronizing, and expanding U.S. CT training and assistance programs; sharing technology with foreign partners; establishing or strengthening alliances/agreements, regional partnerships, and security assistance programs; promoting inter-agency cooperation among foreign government security and law enforcement forces; and supporting exchange programs.

Program SubElement 1.3.2: Counter-Bioterrorism/Biodefense Capabilities

Definition: Combat bioterrorism and strengthen biodefense by building international awareness, prevention, preparedness, and response capabilities. Foster multi-sectoral coordination; create and capitalize on international relationships to exchange information on vulnerability assessments of food production, agriculture and distribution mechanisms; and apply methodologies to counter deliberate introduction of diseases into crops and livestock populations, contamination of food supplies, or cause disease outbreaks. Support biosurveillance techniques and infrastructure, cooperative laboratory networks, medical surge capacity, mass decontamination, threat identification and epidemiology, biological incident command and control, and infection control interventions.

Program Element 1.4: Program Support

Definition: This is a special element that is used to support: 1) activities that strengthen the ability of host country institutions and the USG to use strategic information for

decision-making, program performance assessment, and learning; and 2) the staffing and tools needed by the USG for program management and oversight under this area.

Program SubElement 1.4.1: Host Country Strategic Information Capacity

Definition: Establish and/or strengthen host country institutions' management information systems (MIS) and their development and use of tools and models to collect, analyze and disseminate a variety of information related to the program area. These may include, but are not limited to MIS for government ministries or other host country institutions, needs assessments, baseline studies, censuses and surveys, targeted evaluations, special studies, routine surveillance, data quality assessments, and operational research. This sub-element may also include developing and disseminating best practices and lessons learned and testing demonstration and/or pilot models. Related training, supplies, equipment, and non-USG personnel are included.

Program SubElement 1.4.2: Program Design and Learning

Definition: Develop and conduct needs assessments, baseline studies, targeted evaluations, special studies or other information-gathering efforts specifically for the design, monitoring and evaluation of USG-funded programs. This sub-element may also include developing and disseminating best practices and lessons learned, testing demonstration and/or pilot models, or the preparation of strategic plans and other short-term programming tasks. Note: All such activities that are carried out by partners as an integral part of their monitoring and evaluation efforts for programs funded under other sub-elements should be included within those sub-elements.

Program SubElement 1.4.3: Personnel

Definition: Provide staff to help manage, administer and support programs in this area including related salaries, travel, housing, office space, equipment, training, and other personnel-related expenses (e.g. ICASS costs).

Program Area 2: Combating Weapons of Mass Destruction

Definition: Strengthen the global community's ability to safely destroy, store, apply safeguards to, and transport weapons of mass destruction (WMD) and secure related facilities and materials; control borders and territory to prevent illicit movement of WMD and related materials and technology and to prosecute and punish violators; prevent the proliferation of WMD and related materials, technology, and expertise to states or non-state actors of concern or to potential terrorists; comply fully with international obligations concerning arms control, nonproliferation, and WMD terrorism; deter and prevent WMD terrorism; and respond to a WMD terrorism event.

Program Element 2.1: Counter WMD Proliferation and Combat WMD Terrorism

Definition: Provide assistance to governments for destroying, storing, or transporting WMD and related materials, technologies, and WMD-applicable expertise; in ensuring that their laws and regulations meet international standards for controlling borders and engaging in strategic trade; and that they have the appropriate technologies and techniques for interdicting illegally or illicitly traded WMD-related materials and technologies. This also covers assistance for detecting nuclear explosions to assist in the monitoring of nuclear testing moratoria, and supports partner and partnership capacity-building to develop a defense-in-depth to combat WMD terrorism, including managing and mitigating the consequences of a WMD terrorism incident.

Program SubElement 2.1.1: Strategic Trade/Border Controls for WMD

Definition: Strengthen countries' ability to control strategic trade in WMD-relevant technologies by improving legal and regulatory frameworks, licensing processes, border control and other enforcement capabilities; their outreach to industry to promote corporate compliance; and their participation in or adherence to nonproliferation regimes. This assistance also helps countries meet their obligations under UNSCRs 1540 and 1673.

Program SubElement 2.1.2: Nuclear Safeguards, Safety, Security, and Energy

Definition: Provide assistance to the International Atomic Energy Agency (IAEA) to support nuclear safeguards and promote the safe and secure development of nuclear energy, as well as to strengthen the physical protection of nuclear material, control radioactive materials, combat illicit trafficking of materials, and improve nuclear safety.

Program SubElement 2.1.3: Monitoring Nuclear Explosions

Definition: Provide assistance to the Technical Secretariat of the Comprehensive Nuclear Test Ban Treaty Organization to establish an International Monitoring System and a global network of seismic, hydroacoustic and other types of sensing stations that will enable international monitoring of nuclear explosions, and will supplement U.S. national capabilities for detecting nuclear explosions anywhere in the world.

Program SubElement 2.1.4: Nonproliferation of WMD-Applicable Expertise

Definition: Engage personnel with WMD or WMD-applicable expertise in peaceful, civilian, sustainable work to prevent the proliferation of their expertise to states of concern or terrorists. This also includes security assistance, particularly in the area of bio-security.

Program SubElement 2.1.5: WMD Destruction/Facility Conversion

Definition: Destroy, right-size, and/or reconfigure former WMD facilities to civilian, commercially-viable enterprises and destroy WMD and related materials and components.

Program SubElement 2.1.6: Combating WMD Terrorism

Definition: Support partner and partnership capacity-building to develop a defense-in-depth to combat WMD terrorism, including managing and mitigating the consequences of a WMD terrorism incident. Assist countries to assess the risks they face from WMD in the hands of terrorists, their capabilities to deny terrorists access to WMD, and to deter, detect, and interdict the movement of WMD by or to terrorists. Ensure the safety and security of any seized weapons or materials. Develop partner nations' capacity to respond to WMD attacks or incidents in areas subject to their jurisdiction through appropriate consequence management, attribution measures, and destruction of WMD and related materials and components. This could also cover assistance in training for the Proliferation Security Initiative.

Program Element 2.2: Program Support

Definition: This is a special element that is used to support: 1) activities that strengthen the ability of host country institutions and the USG to use strategic information for

decision-making, program performance assessment, and learning; and 2) the staffing and tools needed by the USG for program management and oversight under this area.

Program SubElement 2.2.1: Host Country Strategic Information Capacity

Definition: Establish and/or strengthen host country institutions' management information systems (MIS) and their development and use of tools and models to collect, analyze and disseminate a variety of information related to the program area. These may include, but are not limited to MIS for government ministries or other host country institutions, needs assessments, baseline studies, censuses and surveys, targeted evaluations, special studies, routine surveillance, data quality assessments, and operational research. This sub-element may also include developing and disseminating best practices and lessons learned and testing demonstration and/or pilot models. Related training, supplies, equipment, and non-USG personnel are included.

Program SubElement 2.2.2: Program Design and Learning

Definition: Develop and conduct needs assessments, baseline studies, targeted evaluations, special studies or other information-gathering efforts specifically for the design, monitoring and evaluation of USG-funded programs. This sub-element may also include developing and disseminating best practices and lessons learned, testing demonstration and/or pilot models, or the preparation of strategic plans and other short-term programming tasks. Note: All such activities that are carried out by partners as an integral part of their monitoring and evaluation efforts for programs funded under other sub-elements should be included within those sub-elements.

Program SubElement 2.2.3: Personnel

Definition: Provide staff to help manage, administer and support programs in this area including related salaries, travel, housing, office space, equipment, training, and other personnel-related expenses (e.g. ICASS costs).

Program Area 3: Stabilization Operations and Security Sector Reform

Definition: Support for USG and civilian partners' participation in ongoing, existing, or potential operations, to include peacekeeping, humanitarian, coalition/multinational, and peace support operations. Support security sector reform through training and operational support. A host nation's security forces include military, paramilitary, law enforcement (including civilian police, specialized units, border security, maritime security, etc). Security Sector Reform activities are not limited to post-conflict situations.

Program Element 3.1: Operations Support

Definition: Develop the capacity of partners' security forces (to include military, paramilitary, counterterrorism units, etc) to enable them to deploy to peacekeeping operations, respond to humanitarian crises, or support coalition/multinational operations, as well as to directly support ongoing/existing operations. Includes strategic and tactical level capacity-building; USG management of civilian stabilization operations (e.g. peacekeeping operations, responding to humanitarian crises, or coalition/multinational operations); as well as direct support to ongoing/existing operations.

Program SubElement 3.1.1: Deployment and Operations

Definition: Direct support to develop the capacity of partners' security forces (to include military, paramilitary, counterterrorism units, etc) to enable them to

deploy to peacekeeping operations, respond to humanitarian crises, or support coalition/multinational operations, as well as to directly support ongoing/existing operations. Includes strategic and tactical level capacity-building for deployment (headquarters, logistics) and USG management of civilian stabilization operations (e.g. peacekeeping operations, responding to humanitarian crises, or coalition/multinational operations) as well as direct support to ongoing/existing operations.

Program SubElement 3.1.2: Stability Policing and CIVPOL

Definition: Support to international stabilization missions, including the deployment of U.S. and foreign personnel and support to military, paramilitary, gendarme, police, special police units and other forces required to (re-)establish public order.

Program SubElement 3.1.3: Corrections Assistance

Definition: Provide detention facilities, systems and personnel required in stabilization missions and post-conflict environments. Activities conducted herein should be linked to the longer term development of effective, transparent and accountable penal systems (described under the Governing Justly and Democratically (GJD) objective).

Program SubElement 3.1.4: Facility and Dignitary/VIP Protection

Definition: Assist partner security forces to provide country dignitaries, key government officials, and internationals with personal protection.

Program SubElement 3.1.5: Peacekeeping and Regional Security

Definition: Direct support for international and regional organizations that are actors in existing operations (examples are: African Union, Multinational Force and Observers, Economic Community of West African States, Organization for Security and Cooperation in Europe).

Program SubElement 3.1.6: Armed Physical Security

Definition: Provide armed, physical security for civilians (especially women and children) caught in conflict and to secure humanitarian access to populations in need, including physical security for refugee, IDP, or humanitarian assistance camps, and physical security to humanitarian supplies (including convoy security, physical security for aid workers, and security for infrastructure, such as roads or airfields). Security budgets are often integrated into program budgets; when interagency programs require dedicated security, however, this sub-element is the appropriate way to capture such programs. Element 3.5 provides unarmed physical security.

Program Element 3.2: Disarmament, Demobilization & Reintegration (DDR)

Definition: DDR programs generally constitute integral components of war-to-peace transitions in post-conflict environments. DDR activities are designed to reduce or eliminate belligerent armed forces and the supply of armed weapons. In particular, USG interventions seek to facilitate the return of ex-combatants, including women and children associated with armed forces, to sustainable civilian livelihoods and ease their transition to civilian communities to secure sustainable peace.

Program SubElement 3.2.1: Disarmament

Definition: Disarm belligerents through negotiating agreements; establishing and enforcing weapons control; reducing the availability of unauthorized weapons;

securing, storing and disposing of weapons; and developing indigenous arms control.

Program SubElement 3.2.2: Demobilization

Definition: Demobilize belligerents as well as undertake rightsizing efforts in non-warring countries. Activities might include the following: establishing and decommissioning demobilization camps; ensuring adequate health, food provisions, and security for ex-belligerents; identifying, gathering and disbanding structural elements of belligerent groups; monitoring and verifying demobilization; and ensuring safety of quartered personnel and families.

Program SubElement 3.2.3: Reintegration

Definition: Reintegrate belligerents back into their communities, and women and children associated with armed groups, by: supporting infrastructure, quartering and civic training for ex-combatants; providing temporary jobs; funding education and vocational training for ex-combatants and their families; providing funding for income-generation; and offering remedial schooling, trauma counseling and family reintegration. It may also include family tracing and reunification of former child combatants, both boys and girls. Such programs are normally community based, and activities conducted herein should be integrated whenever possible with their sectoral counterparts, e.g. "Investing in People/Education" or "Economic Growth/Economic Opportunity." They should also be connected to the Durable Solutions activities undertaken as part of Humanitarian Assistance.

Program Element 3.3: Destruction and Security of Conventional Weapons

Definition: Assist countries to destroy their excess stocks and/or to improve the security of their remaining conventional weapons (e.g. man-portable air defense systems [MANPADS], machine guns, man-portable anti-tank missiles, rocket-propelled grenade launchers, and light mortars) thereby reducing the risk that they will be illicitly diverted to terrorists, criminals and insurgents.

Program SubElement 3.3.1: Destruction of At-Risk Conventional Weapons/Munitions

Definition: Provide assistance in the destruction of surplus and illegal arms.

Program SubElement 3.3.2: Physical Security and Stockpile Management (PSSM)

Definition: Assess a state's internal processes and infrastructure at the operational level and train stockpile managers to develop effective procedures. Provide resources for security upgrades of weapons' storage facilities and the destruction of obsolete or excess weapons.

Program SubElement 3.3.3: Destruction of Man-Portable Air Defense Systems (MANPADS)

Definition: Support multi-lateral initiatives in the G-8, Wassenaar Arrangement, and elsewhere including the following: provide assistance and technical expertise for the destruction of excess MANPADS; adopt stringent national export controls on MANPADS and their essential components; ban transfers to non-state actors; exchange information on uncooperative countries and entities; and examine for new MANPADS the feasibility of adding specific technical performance or launch control features that preclude their unauthorized use. Support bilateral efforts focused on regions and countries where there is a combination of excess

MANPADS stocks, poor control, and a demonstrable risk of proliferation to terrorist groups or other undesirable end-users. This includes the destruction of obsolete weapons which have little military value, but could be lethal against civil aviation in the hands of terrorist organizations; improve safety and security of those weapons which may be needed for legitimate self-defense purposes; and improve standards of inventory control and accountability.

Program Element 3.4: Explosive Remnants Of War

Definition: Reduce the harmful global effects of conventional weapons, including developing host nation capacity to address these problems, and expand the funding base for mine action through private sector engagement. Support for demining and destruction of abandoned and unexploded ordnance comprises an integral part a comprehensive post-conflict strategy.

Program SubElement 3.4.1: De-Mining and Mine Risk Education (MRE)

Definition: Help host nations develop an indigenous cadre of de-miners and mine risk educators. Provide training and equipment, such as tools and vehicles and mine-detecting dogs, as well as funds to cover their maintenance and upkeep. Includes development and provision of appropriate educational material for men and women, different age groups and communities.

Program SubElement 3.4.2: Removal/Destruction of Abandoned and Unexploded Ordnance

Definition: Secure or destroy unexploded or abandoned ordnance and train host nation teams to do so.

Program Element 3.5: Immediate Protection of Civilians in Conflict

Definition: Encompasses non-armed interventions to promote the security and fundamental rights of civilians caught in conflict. Includes rapid-response mechanisms to monitor and document violations and to counter impunity.

Program SubElement 3.5.1: Monitoring and Documentation of Crimes

Definition: Deploy fact-finders/investigators; train and support local NGOs to investigate, photograph, record, and organize evidence; and support rapid-response mechanisms, advocacy, and media (radio, print, etc). Monitoring and documentation of crimes against humanity/war crimes, grave human rights violations, and related abuses

Program SubElement 3.5.2: Combating Impunity

Definition: Support quick-impact interventions aimed at preventing or mitigating ongoing grave human rights violations, such as rape as a weapon of war and other acts of gender-based violence, by holding perpetrators accountable. This sub-element involves urgent stop-gap measures rather than medium- or long-term support to judicial structures; however, these interventions may pave the way for the establishment of transitional justice mechanisms or other Rule of Law programming under the Governing Justly and Democratically objective and accordingly require coordination. Illustrative programming includes: witness protection, safeguarding of evidence such as mass grave sites, bolstering complaint mechanisms (traditional or formal), and emergency legal aid/public defenders.

Program SubElement 3.5.3: Civilian Safety Measures

Definition: Provide alternatives to high-risk activities that place civilians in vulnerable and dangerous situations (e.g. firewood gathering); identify potential flashpoints for violence and design/implement rapid preventative interventions (e.g. safeguard contested documents, protect symbolic buildings, encourage dialogue); and enhance community-peacekeeper relations.

Program Element 3.6: Defense, Military, and Border Security Restructuring, Reform, and Operations

Definition: Develop the capacity of partners' security forces (including military, paramilitary, gendarmes, maritime security, border security, counterterrorism units, specialty units, etc.) to maintain a country's territorial integrity, including self-defense against external threats, securing ungoverned/remote spaces, participating in regional defense, protecting borders, providing essential and/or emergency disaster response services, and providing force protection for coalition/U.S. forces.

Program SubElement 3.6.1: Territorial Security

Definition: Develop the capacity and supporting operations of partners' security forces (to include military, paramilitary, gendarmes, specialized units, etc.) to conduct legitimate self-defense operations to maintain or regain sovereign control over national territory, including coastal waters. Professionalization of these actors should also seek to promote transparency and accountability (see Security Sector Governance in GJD). Develop the capacity and support the operations of specialized border police and customs officials to ensure the integrity of the borders and the legitimate flow of goods and people across the borders.

Program SubElement 3.6.2: Military-To-Military Engagement

Definition: Develop professional relationships with partner nations to provide U.S. access and influence, to enhance interoperability, and to further defense cooperation and understanding between the U.S. and foreign countries.

Program SubElement 3.6.3: Civil-Military Cooperation

Definition: Support effective coordination between civilian actors and uniformed personnel. This sub-element includes financial or in-kind support to enhance combined civil-security force operational planning. It may also include the establishment of joint operations centers (JOCs) for short-term or enduring missions. Activities conducted under this element should be linked to defense reform and Security Sector Governance sub-elements.

Program Element 3.7: Law Enforcement Reform, Restructuring, and Operations

Definition: Assist to establish and sustain effective, professional and accountable law enforcement services (civilian police, stability/formed police units, and specialized units trained and equipped for specific issues such as port and maritime security, border security, gangs or kidnapping). Improve state capacity to protect persons, property, and democratic institutions against criminal and other extralegal elements. Law enforcement programs should be conceived as part of the criminal justice system, described in detail in the GJD objective.

Program SubElement 3.7.1: Civilian Police Reform

Definition: Develop police forces through capacity-building (training and education both in the classroom and in the field); organizational development; civil service reform (pay and rank reform); management and leadership; equipping, infrastructure, aviation, and public affairs, among other activities. As

the foundation for such a service is fundamentally rooted in the rule of law and respect for human rights, activities conducted in support of this sub-element should be coordinated with programs under the Rule of Law elements in GJD.

Program SubElement 3.7.2: Specialized Units

Definition: Build and support special law enforcement units such as police reaction groups (SWAT), special investigation units, riot/crowd control, special operation detachments, and intelligence units.

Program SubElement 3.7.3: Community Security Initiatives/Community Policing

Definition: Mobilize communities and individuals (women as well as men) to prevent or reduce crime, violence or insecurity singly or through community-police coordination. Provide safety and security services – via both state and non-state providers – to outlying areas. Assist communities and individuals to work with governments and police to reassert control over ungoverned spaces, militia strongholds, and/or ganglands in urban, peri-urban and rural environments and may include the expansion of essential services.

Program Element 3.8: Program Support

Definition: This is a special element that is used to support: 1) activities that strengthen the ability of host country institutions and the USG to use strategic information for decision-making, program performance assessment, and learning; and 2) the staffing and tools needed by the USG for program management and oversight under this area.

Program SubElement 3.8.1: Host Country Strategic Information Capacity

Definition: Establish and/or strengthen host country institutions' management information systems (MIS) and their development and use of tools and models to collect, analyze and disseminate a variety of information related to the program area. These may include, but are not limited to MIS for government ministries or other host country institutions, needs assessments, baseline studies, censuses and surveys, targeted evaluations, special studies, routine surveillance, data quality assessments, and operational research. This sub-element may also include developing and disseminating best practices and lessons learned and testing demonstration and/or pilot models. Related training, supplies, equipment, and non-USG personnel are included.

Program SubElement 3.8.2: Program Design and Learning

Definition: Develop and conduct needs assessments, baseline studies, targeted evaluations, special studies or other information-gathering efforts specifically for the design, monitoring and evaluation of USG-funded programs. This sub-element may also include developing and disseminating best practices and lessons learned, testing demonstration and/or pilot models, or the preparation of strategic plans and other short-term programming tasks. Note: All such activities that are carried out by partners as an integral part of their monitoring and evaluation efforts for programs funded under other sub-elements should be included within those sub-elements.

Program SubElement 3.8.3: Personnel

Definition: Provide staff to help manage, administer and support programs in this area including related salaries, travel, housing, office space, equipment, training, and other personnel-related expenses (e.g. ICASS costs).

Program Area 4: Counter-Narcotics

Definition: Combat international narcotics production and trafficking; reduce the cultivation and production of drugs; prevent the resurgence of drug production; and limit the collateral effects of the drug trade through international drug control and demand reduction projects.

Program Element 4.1: Eradication

Definition: Provide logistical and technical assistance aimed at the reduction of illicit crop cultivation, either through manual crop destruction, or through the use of aerially delivered herbicide, including training for pilots, mechanics, and other technical and support personnel for each program aspect; procure vehicles, equipment, fuel and related equipment/materials; and support activities focusing on guaranteeing the safety and security of assets and personnel involved in these activities.

Program SubElement 4.1.1: Forced Eradication

Definition: Destroy illicit drug crops under cultivation, without the cooperation of farmers/owners.

Program SubElement 4.1.2: Voluntary Eradication

Definition: Destroy illicit drug crops under cultivation, with the cooperation and consent of owners/farmers as a result of incentives provided.

Program SubElement 4.1.3: Aerial Eradication

Definition: Use aircraft to spray herbicide on illicit drug crops to destroy them. Often involves accompanying security escort and Search and Rescue (SAR) helicopters.

Program SubElement 4.1.4: Aerial Reconnaissance and Support

Definition: Use aircraft to identify and survey illicit drug crops, assess the results of eradication operations, and to transport personnel and cargo to facilitate and logistically support eradication operations.

Program SubElement 4.1.5: Support for Host Country Eradication Policy and Legislation

Definition: Provide legal, policy, and technical assistance as required to identify the sector most appropriate for alternative livelihoods. Includes procurement of vehicles, equipment, fuel and related equipment/materials related to such research and garnering host government support of alternative livelihoods. U.S. foreign policy and foreign assistance crop reduction strategies.

Program Element 4.2: Alternative Development and Alternative Livelihoods

Definition: Encourage the adoption of alternative livelihoods by providing technical, legal, and policy assistance as required; procuring vehicles, fuel and related equipment/materials; training professional, technical and support personnel; providing security experts and personnel; supporting promoters to form and work with groups that eradicate drug crops; carrying out scientific studies and market research; developing the private sector, entrepreneurs or small enterprises; and providing support to financial markets and credit assistance.

Program SubElement 4.2.1: National Support

Definition: Finance productive infrastructure and investments, such as roads and bridges, as selected and identified by participating local communities in drug

growing areas where eradication is taking place. Expand the presence of the state by improving participation in and access to local government institutions in coca or poppy growing areas where eradication is taking place. Improve general social conditions through social investment in areas such as health and education in drug growing areas where eradication is taking place.

Program SubElement 4.2.2: Municipal Support

Definition: Strengthening citizen participation in local government while simultaneously strengthening the administrative capabilities, efficiency, transparency, and accountability of municipalities and other local government units. Examples of other assistance or services that communities may request in exchange for remaining drug-free include: education, health, land titling; electrification, potable water, sewers, road maintenance, or other services that municipalities or communities identify as their top priorities for alternative development assistance. These activities should be captured here when specifically contributing to an Alternative Development and Alternative Livelihoods program rather than in the Investing in People Objective.

Program SubElement 4.2.3: Farmer/Community Group Support

Definition: Provide licit income alternatives. Develop sustainable farm-level production and marketing systems to increase licit employment opportunities and incomes in coca or poppy growing areas where eradication is taking place.

Program SubElement 4.2.4: Corporate/Private Group Support

Definition: Identify constraints that limit growth of private firms and help firms overcome these constraints. Develop sustainable market linkages to increase licit employment opportunities and incomes in coca or poppy growing regions where eradication is taking place.

Program Element 4.3: Interdiction

Definition: Prevent, interrupt, capture, or eliminate illegal drug production, movement or trafficking activities. These actions include, but are not limited to, the interception of drug trafficking aircraft, destruction of laboratories, destruction of precursor chemicals needed for production of illegal drugs, seizing drugs in transit or storage, and apprehending traffickers. Includes technical, legal, and policy assistance as required; procurement of vehicles, equipment, fuel, and related equipment/materials; training for pilots, professional, technical, and support personnel for each program aspect; and security equipment and personnel.

Program SubElement 4.3.1: Aviation Support

Definition: Transport law enforcement or military personnel for the conduct of interdiction or to intercept trafficking aircraft.

Program SubElement 4.3.2: Support Host Nation Operations

Definition: Strengthen the capacity of host nation partners, and increase the costs and risks associated with trafficking lanes to make suppliers unreliable. This is achieved through coordinated operations and intelligence sharing among law enforcement, and by supporting all facets of air bridge denial, ground and riverine interdiction programs. This includes adopting tactics to counter the exploitation of ports, coastal waters, and commercial shipping by transnational criminal organizations and promoting the development and implementation of maritime

cooperation agreements while enhancing maritime interdiction capacity in source and transit countries.

Program SubElement 4.3.3: Criminal Organization Investigative Assistance

Definition: Improve coordination and enhance drug and crime interdiction capabilities and capacities of host nation law enforcement. It continues institution building in law enforcement countries to combat trafficking and to counter possible spillover of cultivation and/or processing operations from another country as a result of increased counter-narcotics activities there. Develop host nation law enforcement capabilities to assert the rule of law in drug cultivation and terrorist-occupied areas.

Program Element 4.4: Drug Demand Reduction

Definition: Reduce worldwide use and abuse of, and demand for narcotic drugs and psychotropic substances.

Program SubElement 4.4.1: Drug Prevention Programs

Definition: Prevent the initial/first time use of drugs and prevent destructive behaviors associated with drug use. Techniques can include school and community programs that teach drug resistance skills through interactive methods (discussion, group feedback, role-playing, etc) and/or teach social competence (communication, life skills, assertiveness, etc).

Program SubElement 4.4.2: Drug Treatment Programs

Definition: Treat drug addiction and prevent relapse through behavioral therapy/counseling, medications, or their combination with the aim of getting individuals to stop using drugs and modify the destructive behaviors that could lead to other problems such as STD transmission, criminal activity, and violence. Activities should be linked to Investing in People/Health.

Program SubElement 4.4.3: Drug Demand Research

Definition: Use empirical and science-based approaches to measuring and interpreting information on the prevention and treatment of drug use. This research includes identifying best practices and promising model programs to develop and improve demand reduction programs.

Program Element 4.5: Program Support

Definition: This is a special element that is used to support: 1) activities that strengthen the ability of host country institutions and the USG to use strategic information for decision-making, program performance assessment, and learning; and 2) the staffing and tools needed by the USG for program management and oversight under this area.

Program SubElement 4.5.1: Host Country Strategic Information Capacity

Definition: Establish and/or strengthen host country institutions' management information systems (MIS) and their development and use of tools and models to collect, analyze and disseminate a variety of information related to the program area. These may include, but are not limited to MIS for government ministries or other host country institutions, needs assessments, baseline studies, censuses and surveys, targeted evaluations, special studies, routine surveillance, data quality assessments, and operational research. This sub-element may also include developing and disseminating best practices and lessons learned and testing

demonstration and/or pilot models. Related training, supplies, equipment, and non-USG personnel are included. (Drug Demand Research should be captured in 4.4.3)

Program SubElement 4.5.2: Program Design and Learning

Definition: Develop and conduct needs assessments, baseline studies, targeted evaluations, special studies or other information-gathering efforts specifically for the design, monitoring and evaluation of USG-funded programs. This sub-element may also include developing and disseminating best practices and lessons learned, testing demonstration and/or pilot models, or the preparation of strategic plans and other short-term programming tasks. Note: All such activities that are carried out by partners as an integral part of their monitoring and evaluation efforts for programs funded under other sub-elements should be included within those sub-elements.

Program SubElement 4.5.3: Personnel

Definition: Provide staff to help manage, administer and support programs in this area including related salaries, travel, housing, office space, equipment, training, and other personnel-related expenses (e.g. ICASS costs).

Program Area 5: Transnational Crime

Definition: Minimize the adverse effects of criminal activities on the United States and its citizens, particularly when these criminal activities involve cross-border connections or have cross-border affects. Promote international cooperation and coordination, and provide training and other technical assistance to help build institutional capacity for combating international criminal activities such as corruption, alien smuggling, trafficking in persons, financial crimes (including money laundering), violations of intellectual property law, and cyber crime.

Activities may be linked to Conflict Resources in EG, element 8.2.1.

Program Element 5.1: Financial Crimes and Money Laundering

Definition: Assist in drafting comprehensive legislation and implementing regulations; and training bank regulators and examiners, financial investigators, prosecutors, and judges. Establishing a Financial Intelligence Unit (FIU) that receives, analyzes and disseminates suspicious transaction reports with domestic law enforcement and foreign analogs is a necessary activity that enables the jurisdiction to share vital financial information with other countries.

Program SubElement 5.1.1: Deny Criminals Access to Finance

Definition: Build the capacity to combat criminal financing, or to engage the country in countering criminal financing efforts (either domestic or transnational), by means of training, investigative technical assistance, or building the hard and soft infrastructures for this purpose. This includes narco-traffickers. This does not include specific programs targeting terrorists or terrorist organizations which should be included under CT Program Sub-element 1.1.3, but these can be included if part of a larger finance program.

Program Element 5.2: Intellectual Property Theft, Corporate Espionage, and Cyber Security

Definition: Build the capacity of foreign governments to detect, investigate, prosecute, and prevent violations of laws designed to protect intellectual property, including the unlawful use and appropriation of such property. Build the capacity of foreign

governments to identify, investigate, prosecute, and prevent crimes committed through the criminal misuse of information technology.

Program SubElement 5.2.1: Deter Cyber Crime

Definition: Provide training and other technical assistance and outreach to help build the capacity of prosecutors, investigators, judges, policymakers, and other foreign partners to identify, investigate, prosecute, and prevent crimes committed through the criminal misuse of information technology.

Program SubElement 5.2.2: Prevent Intellectual Property Theft

Definition: Provide training and other technical assistance and outreach to help build the capacity of prosecutors, investigators, judges, policymakers, customs officials, and other foreign partners to identify, investigate, prosecute and prevent violations of laws designed to protect intellectual property, including the unlawful use and appropriation of such property.

Program SubElement 5.2.3: Protect Critical Information

Definition: Provide training and other technical assistance and outreach to help build the capacity of foreign governments to identify, investigate and prevent threats to critical infrastructure and technology.

Program Element 5.3: Trafficking-In-Persons and Migrant Smuggling

Definition: Supports the Trafficking Victims Protection Act (see Act if more information is needed) 22 U.S.C. § 7102.; Migrant Smuggling as defined in article 3 of the UN Convention Against Transnational Organized Crime's Migrant Smuggling Protocol, as well as in the International Labor Organization Convention 29. Activities may be linked to those included in Humanitarian Assistance, elements 3.1 and 3.2.

Program SubElement 5.3.1: Protection

Definition: Provide/support protection for trafficking victims--most of whom are women and children—which includes, but is not limited to: hotlines; safe housing; medical, psychological and legal assistance services; safe and voluntary repatriation; reintegration and economic assistance; and training and technical assistance for social workers, psychologists, medical personnel, non-governmental organization personnel, and legal advocates.

Program SubElement 5.3.2: Prosecution

Definition: Develop comprehensive anti-trafficking and anti-smuggling laws to include strong penalties against traffickers and smugglers and protections for trafficking victims; training and technical assistance to law enforcement officers, prosecutors, labor inspectors, judges, and immigration and border officials; and provision of equipment (such as vehicles, motorcycles, bicycles, radios, computers and software, flashlights, and forensic kits) to assist in investigation, arrest, prosecution and conviction of traffickers and smugglers.

Program SubElement 5.3.3: Prevention

Definition: Increase public awareness of trafficking and its dangers through public information and education campaigns in source, transit and destination countries including: educating the private sector about trafficking for child labor, offering educational messages and outreach to communities that are particularly vulnerable to trafficking, supporting local and regional NGO networks and faith-based institutions that are fighting trafficking, and increasing respect for girls and women through media, formal education, and youth-focussed activities.

Program Element 5.4: Organized and Gang-related Crime

Definition: Supports activities that link domestic and international partners, and their associated investigative and enforcement actions in tackling organized and gang-related crime.

Program SubElement 5.4.1: Disruption and Dismantlement

Definition: Systematically dismantle organized and gang criminal networks (both vertically and horizontally) so as to make them impotent or ineffective, and dismantle their organizations and operations permanently so as to eliminate them. Work with host nations to not permit safe-havens for criminal organizations operating across borders.

Program SubElement 5.4.2: Extradition

Definition: Support the extradition of members of organized and/or gang-related networks who break international laws, the laws within their domestic operations, or laws of other countries in which their organizations operate.

Program Element 5.5: Program Support

Definition: This is a special element that is used to support: 1) activities that strengthen the ability of host country institutions and the USG to use strategic information for decision-making, program performance assessment, and learning; and 2) the staffing and tools needed by the USG for program management and oversight under this area.

Program SubElement 5.5.1: Host Country Strategic Information Capacity

Definition: Establish and/or strengthen host country institutions' management information systems (MIS) and their development and use of tools and models to collect, analyze and disseminate a variety of information related to the program area. These may include, but are not limited to MIS for government ministries or other host country institutions, needs assessments, baseline studies, censuses and surveys, targeted evaluations, special studies, routine surveillance, data quality assessments, and operational research. This sub-element may also include developing and disseminating best practices and lessons learned and testing demonstration and/or pilot models. Related training, supplies, equipment, and non-USG personnel are included.

Program SubElement 5.5.2: Program Design and Learning

Definition: Develop and conduct needs assessments, baseline studies, targeted evaluations, special studies or other information-gathering efforts specifically for the design, monitoring and evaluation of USG-funded programs. This sub-element may also include developing and disseminating best practices and lessons learned, testing demonstration and/or pilot models, or the preparation of strategic plans and other short-term programming tasks. Note: All such activities that are carried out by partners as an integral part of their monitoring and evaluation efforts for programs funded under other sub-elements should be included within those sub-elements.

Program SubElement 5.5.3: Personnel

Definition: Provide staff to help manage, administer and support programs in this area including related salaries, travel, housing, office space, equipment, training, and other personnel-related expenses (e.g. ICASS costs).

Program Area 6: Conflict Mitigation and Reconciliation

Definition: Reduce the threat or impact of violent conflict and promote the peaceful resolution of differences, mitigate violence if it has already broken out, or establish a framework for peace and reconciliation. This is done by identifying the causes of conflict and state failure; supporting early responses that address the causes and consequences of instability and conflict; and developing long lasting solutions to the problems that drive conflict. This includes support for processes and mechanisms for reconciliation and conflict mitigation no matter what the source of the conflict may be, though this may require integration with other elements.

Program Element 6.1: Conflict Mitigation

Definition: Reduce the threat or impact of violent conflict and promote peaceful resolution of differences, mitigate violence if it has already broken out, or establish a framework for peace and reconciliation that includes both men and women.

Program SubElement 6.1.1: Early Warning and Response Mechanisms

Definition: Develop and support early warning and response mechanisms such as early warning models and response protocols; monitoring mechanisms and peace structures at different levels; confidence-building measures; crisis-response planning and management skills at the local and national levels; and means for rapid and effective response in the event of crisis.

Program SubElement 6.1.2: Peace Dividends

Definition: Support quick-impact, results-based activities required to demonstrate the positive impact of a peace process, operation or other event, such as mobilizing small grants for communities and local/national governments; ensuring delivery of services (e.g. "ministry in a box"); bringing local and national government authorities closer to their constituencies (e.g. town hall meetings, consultations, production and dissemination of information); generating employment for potential spoilers; and managing expectations.

Program Element 6.2: Peace and Reconciliation Processes

Definition: Support and strengthen the negotiation process and implement peace and reconciliation processes, accords and ceasefire agreements at track levels 1, 2 and 3, including support to indigenous peacebuilding efforts. For a peace/negotiations process to have a chance of success, it must entail building trust in the process, between parties, and among their constituents, with a special focus on including women. Illustrative activities include negotiation training; platform development; public opinion polling; facilitation activities; elder statesmen engagement; provision of international expert advice and knowledge; financial support to parties; multi-stakeholder dialogues; assistance with the design of peacebuilding training programs; support and maintenance of agreed verification mechanisms; support to complaint tracking mechanisms; and work with local and national government representatives to bring them closer to their constituencies.

Program SubElement 6.2.1: Peace Structures

Definition: Create substitute mechanisms in the absence of formal peace and in the midst of peace processes in order to meet the needs of people affected by conflict. Provide capacity building and training support to the parties in conflict; develop knowledge, attitudes and practices surveys; engage local communities in the peace process; and serve as a catalyst and connector between the national process and people. Support informal - most often civil society driven - multi-stakeholder confidential or public dialogues that facilitate dialogue and stimulate

the exchange of ideas between the nation's political stakeholder groups including civil society and community actors in a constructive, inclusive forum.

Program SubElement 6.2.2: Peace Messaging

Definition: Support the media during peace processes in order to ensure balance, transparency, and accountability. Includes: supporting innovative media programs that inform and prepare people to accept the outcome of credible negotiations; creating better understanding between parties and their followers – including providing forums for dialogue; educating the public about the process and issues involved in the negotiations; and facilitating important attitude and behavioral changes towards a more just and peaceable society.

Program Element 6.3: Preventive Diplomacy

Definition: Establish and/or support official negotiations and agreements between parties to prevent the escalation of conflicts between or within other nations.

Program SubElement 6.3.1: Official Negotiation Process

Definition: Support initiatives related to direct negotiation between the parties in conflict that support and strengthen the negotiation process and stakeholders' ability to negotiate lasting and acceptable agreements. Provide technical and logistical support to the negotiators and facilitators.

Program SubElement 6.3.2: Ceasefire Agreements/Peace Accords and Monitoring Mechanism

Definition: Secure negotiations and peace process through establishing and maintaining a ceasefire or peace accord and establishing monitoring mechanisms and peace structures at different levels.

Program Element 6.4: Program Support

Definition: This is a special element that is used to support: 1) activities that strengthen the ability of host country institutions and the USG to use strategic information for decision-making, program performance assessment, and learning; and 2) the staffing and tools needed by the USG for program management and oversight under this area.

Program SubElement 6.4.1: Host Country Strategic Information Capacity

Definition: Establish and/or strengthen host country institutions' management information systems (MIS) and their development and use of tools and models to collect, analyze and disseminate a variety of information related to the program area. These may include, but are not limited to MIS for government ministries or other host country institutions, needs assessments, baseline studies, censuses and surveys, targeted evaluations, special studies, routine surveillance, data quality assessments, and operational research. This sub-element may also include developing and disseminating best practices and lessons learned and testing demonstration and/or pilot models. Related training, supplies, equipment, and non-USG personnel are included.

Program SubElement 6.4.2: Program Design and Learning

Definition: Develop and conduct needs assessments, baseline studies, targeted evaluations, special studies or other information-gathering efforts specifically for the design, monitoring and evaluation of USG-funded programs. This sub-element may also include developing and disseminating best practices and lessons learned, testing demonstration and/or pilot models, or the preparation of strategic

plans and other short-term programming tasks. Note: All such activities that are carried out by partners as an integral part of their monitoring and evaluation efforts for programs funded under other sub-elements should be included within those sub-elements.

Program SubElement 6.4.3: Personnel

Definition: Provide staff to help manage, administer and support programs in this area including related salaries, travel, housing, office space, equipment, training, and other personnel-related expenses (e.g. ICASS costs).

GOVERNING JUSTLY & DEMOCRATICALLY: To promote and strengthen effective democracies in recipient states and move them along a continuum toward democratic consolidation.

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DEFINITIONS:

Program Area 1: Rule of Law and Human Rights

Rule of law is a principle under which all persons, institutions and entities, public and private, including the State itself, are accountable to laws that are publicly promulgated, equally enforced, and independently adjudicated, and which are consistent with international human rights law. It also requires measures to ensure adherence to the principles of supremacy of law, equality before the law, accountability to the law, fairness in the application of the law, separation of powers, participation in decision-making, legal certainty, avoidance of arbitrariness and procedural and legal transparency. Human rights derive from the inherent dignity of the individual and are to be enjoyed by all without distinction as to race, color, sex, language, religion, national or social origin, property, birth or other status. They include fundamental freedoms of expression, association, peaceful assembly and religion set out in the International Covenant on Civil and Political Rights and the Universal Declaration of Human Rights. They also include rights in labor conventions and provisions of national civil rights legislation. They reflect a common sense of decency, fairness and justice; and states have a duty to respect and ensure these rights and incorporate them into the processes of government and law.

Program Element 1.1: Constitutions, Laws, and Legal Systems

Definition: Support the development of constitutions, laws, and legal systems that are derived through democratic processes and are consistent with international human rights standards. Ensure that the public participates in the legal process as appropriate, perceives laws as legitimate and worthy of adherence, and respects the authority of law and legal institutions. Includes efforts to end impunity and enable peaceful transitions to democracy, as well as efforts to harmonize customary or religious law with state-based legal systems.

Program SubElement 1.1.1: Constitutions, Laws, and Legal Frameworks

Definition: Develop democratically-derived constitutions and legal and regulatory frameworks, including participatory processes; support for public and private research and debate on justice systems, including analysis and dissemination of jurisprudence, innovations, and best practices.

Program SubElement 1.1.2: Public Knowledge and Understanding of the Rule of Law

Definition: Foster and maintain a culture that is generally law-abiding, including through legal literacy, public awareness, constituency building, and citizen engagement in legal processes.

Program SubElement 1.1.3: Transitional Justice

Definition: Address past war crimes and human rights violations through retributive or restorative justice mechanisms, including vetting, truth and reconciliation commissions; international, local or hybrid tribunals; community-based approaches, and customary/traditional practices.

Program SubElement 1.1.4: Non-State Legal Systems

Definition: Harmonize customary, traditional, or religious legal systems with state legal systems to ensure appropriate linkages and human rights protections.

Program Element 1.2: Judicial Independence

Definition: Strengthen judicial independence as a means to maintain separation of powers and check excessive power in any branch or level of government. This element helps to ensure that government is bound by law, and government decision-making is in accordance with law. Work to create an independent and impartial judiciary through institutional and behavioral change, and also to promote public respect for the judiciary and judicial decision-making.

Program SubElement 1.2.1: Judicial Review

Definition: Enhance the judiciary's ability to check abuses of power by any branch or level of government through creating and strengthening constitutional or judicial review, whether by Constitutional, Supreme, or other Courts, and ensuring enforcement of judicial decisions.

Program SubElement 1.2.2: Independence and Accountability

Definition: Increase independence and reduce improper influences on the judiciary through: open and participatory processes for judicial selection and appointment; security of tenure; budget allocations to ensure adequate infrastructure, training, and working conditions; judicial self-governance including management of administrative, budgetary, ethics, and disciplinary processes; and transparent court operations and judicial processes.

Program SubElement 1.2.3: Public Awareness and Advocacy

Definition: Foster public confidence and demand for an independent judiciary through judicial outreach, fair and accountable judicial processes, and external monitoring by legal professionals, civil society, academics, and the media.

Program Element 1.3: Justice System

Definition: Improve the capacity and sustainability of civil and criminal justice sector actors and institutions, enhance coordination amongst them, develop citizen demand for an effective and accountable justice system, and develop associations to advocate for all citizens. Justice sector actors and institutions include: police, border security,

prosecutors, forensics experts, judges, court personnel, public defenders, corrections personnel, private bar, law schools, legal professional associations, and training institutions for each of them. Work towards an equitable justice system by ensuring equality before the law, fair trial standards, and other elements of procedural fairness. Ensure more equitable access to justice through innovations within and beyond the state system and through improvements in the quality and quantity of justice services, with a particular focus on women, youth, the poor, and other marginalized or vulnerable groups. Programs primarily focused on trafficking in persons or migrant smuggling should be included in element 5.3 under the Transnational Crime area in the Peace and Security Objective.

Program SubElement 1.3.1: Justice System Actors

Definition: Support educational and training institutions and programs for all justice system actors, to include reform of pedagogy and curricula, continuing and in-service training, and international partnerships; support of attestation, certification, and other standard-setting mechanisms; support of legal professional associations to promote professionalism, dignity, and public service; and strengthen oversight, including through institutions (judicial councils, inspectors general, ombudsmen, and disciplinary bodies), policies (ethics, internal integrity, and whistleblowers), and procedures (citizen oversight).

Program SubElement 1.3.2: Operations of Institutions and Actors

Definition: Improve administrative systems (including management, strategic planning, budget and finance, procurement, and personnel); improve operational systems and capacities to carry out core functions (including case management, client relations, advocacy, judicial decision-making, enforcement of decisions, protecting life and property, criminal investigations and prosecutions, victim/witness assistance and protection, crime prevention, humane and secure prison services, and offender parole, probation, and reintegration), and improve coordination among justice sector actors and institutions where appropriate, including harmonization of policies, procedures, and systems, and public/private partnerships relating to crime, violence, and other issues.

Program SubElement 1.3.3: Fairness and Equity

Definition: Develop and implement legal regimes to ensure equal protection of the law and fair process, to include non-discrimination laws and policies, civil and criminal procedures consistent with international fair trial standards, effective administrative law systems to guard against arbitrary government action, and observance by all justice system actors and institutions of international human rights standards. Support monitoring and advocacy by justice sector NGOs, including strategic lawyering, trial monitoring, and policy dialogue.

Program SubElement 1.3.4: Access to Justice

Definition: Expand access to state and non-state dispute-resolution fora, including court re-distribution and mobile courts. Support the removal of language, gender, cultural, and physical barriers; circulation of laws and legal decisions; and alternative dispute resolution systems. Expand access to legal services, including public defenders' offices, legal aid and legal services, labor law services, justice or legal resources centers, and strengthen the private bar.

Program Element 1.4: Human Rights

Definition: Advance protection of international human rights, including labor rights, not covered under other elements. This element supports governmental and nongovernmental organizations created to protect, promote, and enforce human rights. Support programs to educate governments on incorporating human rights standards and practices into all government activity.

Program SubElement 1.4.1: Human Rights Advocacy

Definition: Support governmental and non-governmental human rights advocates, including human rights defenders, NGOs, ombudsmen, and human rights commissions, whether addressing human rights issues relating to justice or other sectors.

Program SubElement 1.4.2: Human Rights Systems and Policies

Definition: Support systems to prevent and address human rights violations through early warning, monitoring, investigating, and reporting, and through national, regional, and international legal systems for human rights protection and enforcement. Harmonize domestic laws and policies with international human rights standards; and promote the adoption and implementation of human rights standards, including core labor standards.

Program SubElement 1.4.3: Human Rights Education and Training

Definition: Integrate human rights into all education and training programs, develop quality human rights courses and materials, and promote research and learning.

Program Element 1.5: Program Support

Definition: This is a special element that is used to support: 1) activities that strengthen the ability of host country institutions and the USG to use strategic information for decision-making, program performance assessment, and learning; and 2) the staffing and tools needed by the USG for program management and oversight under this area.

Program SubElement 1.5.1: Host Country Strategic Information Capacity

Definition: Establish and/or strengthen host country institutions' management information systems (MIS) and their development and use of tools and models to collect, analyze and disseminate a variety of information related to the program area. These may include, but are not limited to MIS for government ministries or other host country institutions, needs assessments, baseline studies, censuses and surveys, targeted evaluations, special studies, routine surveillance, data quality assessments, and operational research. This sub-element may also include developing and disseminating best practices and lessons learned and testing demonstration and/or pilot models. Related training, supplies, equipment, and non-USG personnel are included.

Program SubElement 1.5.2: Program Design and Learning

Definition: Develop and conduct needs assessments, baseline studies, targeted evaluations, special studies or other information-gathering efforts specifically for the design, monitoring and evaluation of USG-funded programs. This sub-element may also include developing and disseminating best practices and lessons learned, testing demonstration and/or pilot models, or the preparation of strategic plans and other short-term programming tasks. Note: All such activities that are carried out by partners as an integral part of their monitoring and evaluation

efforts for programs funded under other sub-elements should be included within those sub-elements.

Program SubElement 1.5.3: Personnel

Definition: Provide staff to help manage, administer and support programs in this area including related salaries, travel, housing, office space, equipment, training, and other personnel-related expenses (e.g. ICASS costs).

Program Area 2: Good Governance

Support avenues for meaningful public participation and oversight, as well as for substantive separation of powers through institutional checks and balances. Transparency and integrity are also vital to government effectiveness and political stability.

Program Element 2.1: Legislative Function and Processes

Definition: Improve the way the legislature and legislative processes and procedures work to uphold democratic practices. Focus on the quality and effectiveness of legislation, including the constitution, codes, laws, and regulations applying to various development sectors. Increase the legislature's capacity to be responsive to the people it serves, enhance public participation, engage in policy-making, hold itself and the executive accountable, and oversee the implementation of government programs, budgets, and laws.

Program SubElement 2.1.1: Legislative Strengthening and Legal Reform

Definition: Support more effective and efficient legislative processes and procedures through activities designed to strengthen, among others, legislative drafting, legal reform efforts, rules of procedure, committee processes, research capacity, and access to policy analysis and expertise.

Program SubElement 2.1.2: Representation

Definition: Build the capacity of legislatures to reach out to constituents, civil society, and marginalized groups to better represent the interests of people, respond to citizen grievances, provide for public services, and engage and inform the public on critical policy issues and priorities.

Program SubElement 2.1.3: Oversight and Budget Capacity

Definition: Strengthen the capacity and ability of the legislature to engage in monitoring and oversight of government policies, programs, actions, and budgets through committee investigations and hearings, greater interaction with government officials, questioning of government representatives, and increased engagement in budget formulation, review, and oversight.

Program SubElement 2.1.4: Citizen Participation

Definition: Train and support citizen groups and organizations to participate in legislative proceedings and engage in advocacy with legislative members and committees.

Program Element 2.2: Public Sector Executive Function

Definition: Assist executive offices, ministries, and independent governmental bodies to operate more efficiently and effectively; and assist executive branch offices and citizens to incorporate democratic structures and principles into state building, their ongoing systems of governance, and public administration services. Assist with policies, procedures, and skill sets (including leadership and strategic management) to guide operations; implementation and enforcement of laws, regulations and policies; linkages between and among branches, levels and functions of government; international relations;

financial management systems; civil service reforms; public/private partnerships; and working with citizens as customers of the government.

Program SubElement 2.2.1: State Formation and Democratic Legitimacy

Definition: Support the reconstruction of state institutions and systems (to include indigenous and international transitional administrations) to match the role of the state to its citizens' preferences and institutional and fiscal capability; and to incorporate democratic principles. It supports voice, negotiation/problem solving, and consensus building in the establishment and in the workings of government.

Program SubElement 2.2.2: Strategic Planning and Policy Making

Definition: Strengthen skills in planning, policy making, implementation, and leadership; strategic communication; availability of and access to information; offices of the president, prime minister, cabinet, and policy analysis units; and strengthen inter- and intra-governmental relations (linkages among branches and levels).

Program SubElement 2.2.3: Civil Service and Public Administration

Definition: Support civil service reform and develop human capacity. Improve organizational structures, systems and procedures that guide performance, including service delivery and provision, financial management systems, government engagement of citizens, public-private partnerships to serve public needs, e-government reform, and infrastructure

Program SubElement 2.2.4: Oversight of the Executive Branch

Definition: Ensure effective oversight of executive branch functions by citizens, other non-state actors, and within and among branches and levels of government (e.g., inspectors general, ombudsmen, task forces, commissions).

Program Element 2.3: Local Government and Decentralization

Definition: Provide technical assistance and training to strengthen sub-national government functions, including development of budgets, local revenue raising, provision of local public services, community planning, participation, and implementation of laws, regulations, policies, and programs. Develop and/or strengthen associations of local governments and/or local government officials.

Program SubElement 2.3.1: Representative and Responsive Local Governance

Definition: Support the interaction of civil society groups and local government officials in representative and participative processes designed to effectively reveal and respond to citizens' preferences for local government services and policy positions. Reduce the barriers that limit participation of civil society, including the participation of women and marginalized populations.

Program SubElement 2.3.2: Delivery of Local Goods and Services

Definition: Build the capacities of local governments and local government officials to plan, manage, deliver, and account for local public goods and services.

Program SubElement 2.3.3: Local Government Revenue Generation through Economic Development

Definition: Ensure that local governments are entrusted with and effectively promote local economic development to ensure robust "own source" revenues and consequent local political autonomy from national authorities.

Program SubElement 2.3.4: Fiscal Decentralization

Definition: Support fiscal decentralization with appropriate sub-national revenue generation, inter-governmental fiscal transfers, and development of the necessary planning, management, and accounting skills that must accompany it.

Program SubElement 2.3.5: Decentralization Enabling Environment

Definition: Create a legislative/regulatory environment for decentralized governance with appropriate devolution of authority and resources to sub-national levels.

Program SubElement 2.3.6: Local Public Sector Associations

Definition: Develop and/or strengthen associations of local governments and/or local government officials to include prosecutorial and police/investigatory associations.

Program Element 2.4: Anti-Corruption Reforms

Definition: Promote governance institutions, processes, and policies that are transparent and accountable across all development sectors. Support non-governmental as well as governmental institutions (including enforcement and investigation entities, independent audit agencies, anti-corruption commissions, procurement agencies, legislatures, line ministries, independent agencies, political parties, judicial actors, as well as civil society organizations, academia, press and the private sector). Support civic education and advocacy for reform of laws and practices or directly improving accountability and transparency of governance processes covering various development sectors.

Program SubElement 2.4.1: Diplomatic Initiatives

Definition: Support treaty negotiation and implementation, which includes UNCAC, OECD, APEC-ADB, OAS Convention, GRECO, and G-8 anticorruption compacts.

Program SubElement 2.4.2: Governmental Reform

Definition: Support public administration reform, civil service reform, local government transparency, e-government, financial management systems and audits, government ethics regimes, regulatory reform/administrative law, public procurement reform, privatization, and tax and customs administration to reduce corruption.

Program SubElement 2.4.3: Transparency and Oversight

Definition: Support political party and candidate finance reform (transparency and disclosure regimes), electoral transparency, inspector general/ombudsmen/anticorruption agencies, legislative oversight, public-private partnerships to combat corruption, administration of justice, offices of professional responsibility, and administrative and regulatory sanctions. Also support civil society advocacy and oversight (incl. social auditing), complaint mechanisms and whistleblower protections, corruption surveys, access to information and Freedom of Information legislation, investigative journalism, open budget processes, and public education campaigns.

Program SubElement 2.4.4: Anticorruption Enforcement

Definition: Support rule of law/justice institutions including integrity and internal oversight mechanisms, tax and customs enforcement, anti-money laundering reforms, asset forfeiture, financial intelligence units, and specialized and vetted law enforcement units. Money laundering and terrorist financing can

be addressed as part of a comprehensive program, but activities targeted specifically at money laundering and terrorism financing are covered in Peace and Security.

Program Element 2.5: Security Sector Governance

Definition: Support the development of effective, legitimate, and democratically accountable security systems (within the statutory restrictions on providing support to law enforcement forces). Illustrative activities include the following: public sector reform and public management; strategic planning, policy, and budget formulation; building ministry capacity; civilian and civic capacity building; formal oversight (legislative, fiscal, human rights); and informal oversight (civil society watchdog groups).

Program SubElement 2.5.1: Legal and Regulatory Framework for Security

Definition: Support drafting of laws and codes of conduct, constitutional reform, public finance management (national budgets), anticorruption and transparency measures related to the Security Sector.

Program SubElement 2.5.2: Civilian Management and Oversight

Definition: Support public sector reform (Ministry of Defense, Ministry of Intelligence, and Intelligence services), civil service reform, financial management systems, management and leadership development, human capacity development, internal oversight mechanisms (e.g., inspectors general, ombudsmen), defense and security reviews and plans, and local government capacity building (ability to oversee police/military units operating within local jurisdictions). Also support inter-ministerial policy/strategy coordination and decision-making (e.g., national security councils), national security strategies and papers, legislative oversight, access to information and civilian review boards.

Program SubElement 2.5.3: Civil Society Capacity to Engage the Security Sector

Definition: Public engagement advocacy, media and information sharing, networking and coalition-building, human rights monitoring, outside expertise (think tanks, academia), public-private partnerships, service delivery through non-state actors (traditional, religious, customary actors, citizen patrols, militia), community responses to crime (community policing, safe streets).

Program Element 2.6: Program Support

Definition: This is a special element that is used to support: 1) activities that strengthen the ability of host country institutions and the USG to use strategic information for decision-making, program performance assessment, and learning; and 2) the staffing and tools needed by the USG for program management and oversight under this area.

Program SubElement 2.6.1: Host Country Strategic Information Capacity

Definition: Establish and/or strengthen host country institutions' management information systems (MIS) and their development and use of tools and models to collect, analyze and disseminate a variety of information related to the program area. These may include, but are not limited to MIS for government ministries or other host country institutions, needs assessments, baseline studies, censuses and surveys, targeted evaluations, special studies, routine surveillance, data quality assessments, and operational research. This sub-element may also include

developing and disseminating best practices and lessons learned and testing demonstration and/or pilot models. Related training, supplies, equipment, and non-USG personnel are included.

Program SubElement 2.6.2: Program Design and Learning

Definition: Develop and conduct needs assessments, baseline studies, targeted evaluations, special studies or other information-gathering efforts specifically for the design, monitoring and evaluation of USG-funded programs. This sub-element may also include developing and disseminating best practices and lessons learned, testing demonstration and/or pilot models, or the preparation of strategic plans and other short-term programming tasks. Note: All such activities that are carried out by partners as an integral part of their monitoring and evaluation efforts for programs funded under other sub-elements should be included within those sub-elements.

Program SubElement 2.6.3: Personnel

Definition: Provide staff to help manage, administer and support programs in this area including related salaries, travel, housing, office space, equipment, training, and other personnel-related expenses (e.g. ICASS costs).

Program Area 3: Political Competition and Consensus-Building

Support peaceful political competition and negotiation of disputes through a democratic and representative political process. Create and support vehicles for people to debate public priorities, air alternative solutions, win support for proposed remedies and provide input to decisions that affect their lives.

Program Element 3.1: Consensus-Building Processes

Definition: Promote peaceful agreement on democratic reform, rules, and frameworks. Promote peaceful, broad-based participation in determining, defining, and negotiating changes to governing structures. Illustrative examples include promoting inclusive consensus-building processes related to peace agreements, national dialogues, referenda on key issues, and constitutional development or reform. Programs are designed to incorporate and support mechanisms that advance conflict mediation, resolution and negotiation of disputes in the context of these processes.

Program SubElement 3.1.1: Consensus Building and Dialogue Processes

Definition: Support consensus building political processes at national, sub-national and/or local levels that incorporate views of all stakeholders including political parties and groupings, citizens, and formerly warring factions to establish a national consensus on the political structures of the state. These processes can be directly related to broader peace agreements or may occur in the narrower context of a political transition. Support citizen knowledge of and participation in consensus building forums, including marginalized groups and vulnerable populations.

Program SubElement 3.1.2: Advocacy and Oversight

Definition: Advocacy for and oversight of the consensus-building processes.

Program Element 3.2: Elections and Political Processes

Definition: Promote legitimate contestation for ideas and political power through democratic political processes that reflect the will of the people. Establish or develop competitive multiparty systems through improving the legal and regulatory framework under which political parties and political entities operate.

Program SubElement 3.2.1: Legal and Institutional Framework

Definition: Develop impartial legal frameworks for elections and political processes including the laws, regulations, and constitutional provisions that govern them (election system design, boundary delimitation, election laws). It includes the development of laws and regulatory frameworks for a competitive, representative, multi-party system including laws, regulations, and constitutional provisions governing political parties and other political entities.

Program SubElement 3.2.2: Election Management

Definition: Support electoral management bodies to conduct elections, formal adjudication of electoral disputes, and security for elections

Program SubElement 3.2.3: Public Awareness, Transparency, and Turnout

Definition: Dissemination of information and education through the media, civil society groups and labor unions for all citizens/voters about the election, political process, and/or specific issues and to improve transparency of the process and the quality of debate.

Program SubElement 3.2.4: Enfranchisement, Access, and Participation of Marginalized Groups

Definition: Support broad and inclusive participation of all citizens in electoral and political processes, particularly by women and other disenfranchised groups including ethnic and religious minorities, internally displaced persons, and people with disabilities.

Program SubElement 3.2.5: Observation, Monitoring and Oversight

Definition: Observation, monitoring, and external oversight by local and international organizations including the use of parallel vote tabulations, quick counts, exit polling, media monitoring, and other related oversight tools.

Program Element 3.3: Democratic Political Parties

Definition: Establish and/or develop viable political parties and political entities that are effective and accountable, that represent and respond to citizens' interests, and that govern responsibly and effectively.

Program SubElement 3.3.1: Political Party Organizational Development

Definition: Support organizational capacity of political parties and political entities including, internal democracy, expanded and more inclusive membership to include underrepresented groups, improved party discipline, transparent management of finances, and constituency relations.

Program SubElement 3.3.2: Governing Capacity

Definition: Strengthen the capacity of elected officials, democratic political parties, and political entities to govern responsibly and effectively, including efforts to achieve a peaceful and effective transfer of power from one government to another; build capacity of newly elected or re-elected leaders; develop skills in negotiation and dispute resolution, communications and media.

Program SubElement 3.3.3: Representation and Outreach

Definition: Support the ability of political parties and political entities to represent and aggregate member interests, as well as research, identify, and articulate policy positions and ideas. Strengthen communication, contact, and

interaction with voters/constituents and civil society groups, and among political parties.

Program SubElement 3.3.4: Political Party Participation in Elections

Definition: Strengthen the ability of political parties and political entities to compete effectively in elections political processes, including campaigning, fund-raising, mobilizing voter turn-out, and monitoring voting processes.

Program Element 3.4: Program Support

Definition: This is a special element that is used to support: 1) activities that strengthen the ability of host country institutions and the USG to use strategic information for decision-making, program performance assessment, and learning; and 2) the staffing and tools needed by the USG for program management and oversight under this area.

Program SubElement 3.4.1: Host Country Strategic Information Capacity

Definition: Establish and/or strengthen host country institutions' management information systems (MIS) and their development and use of tools and models to collect, analyze and disseminate a variety of information related to the program area. These may include, but are not limited to MIS for government ministries or other host country institutions, needs assessments, baseline studies, censuses and surveys, targeted evaluations, special studies, routine surveillance, data quality assessments, and operational research. This sub-element may also include developing and disseminating best practices and lessons learned and testing demonstration and/or pilot models. Related training, supplies, equipment, and non-USG personnel are included.

Program SubElement 3.4.2: Program Design and Learning

Definition: Develop and conduct needs assessments, baseline studies, targeted evaluations, special studies or other information-gathering efforts specifically for the design, monitoring and evaluation of USG-funded programs. This sub-element may also include developing and disseminating best practices and lessons learned, testing demonstration and/or pilot models, or the preparation of strategic plans and other short-term programming tasks. Note: All such activities that are carried out by partners as an integral part of their monitoring and evaluation efforts for programs funded under other sub-elements should be included within those sub-elements.

Program SubElement 3.4.3: Personnel

Definition: Provide staff to help manage, administer and support programs in this area including related salaries, travel, housing, office space, equipment, training, and other personnel-related expenses (e.g. ICASS costs).

Program Area 4: Civil Society

Provide mediums (media, civil society organizations, advocacy groups/ associations) through which citizens can freely organize, advocate, and communicate with their government and with each other; strengthen a democratic political culture that values citizen and civic engagement, tolerance, and respect for human rights; empower citizens to participate in decision-making on matters affecting them; and mobilize constituencies to advocate for political reform, good governance, and strengthened democratic institutions and processes.

Program Element 4.1: Civic Participation

Definition: Strengthen the legal, regulatory, institutional, and information environment which protects and enables the growth in associational life and the development of independent and sustainable civil society organizations (CSOs). Build the capacity of civil society organizations to act as agents for reform and support their participation in democratic decision-making through articulating and representing their members' interests, engaging in service delivery, and advocating for issues which become part of the public agenda and are reflected in public policies. Encourage the strengthening of a civic culture which supports democratic institutions and processes, active participation in political and civic life, and the civic virtues of tolerance, pluralism, compromise, trust, and respect for individual rights, including gender equality.

Program SubElement 4.1.1: Civil Society Legal and Regulatory Frameworks

Definition: Establish legal and regulatory frameworks that protect and promote civil society and civic participation. This includes but is not limited to ensuring that frameworks are in place that enable CSOs to form and operate freely (e.g., NGO registration/incorporation laws, laws protecting freedom of association and collective bargaining), promoting the sustainability of the civil society sector (e.g., tax benefits for NGOs), and supporting public participation and social accountability (e.g., public hearings, instructional seminars, and conferences). This aspect also includes strengthening advocacy, networking, grassroots coalitions, and public support for reforms related to the enabling environment.

Program SubElement 4.1.2: Civil Society Capacity for Democratic Processes

Definition: Strengthen the capacity of CSOs for policy analysis, advocacy, coalition-building, internal governance, membership representation and services, and engage in other activities aimed at fostering more peaceful and democratic societies. CSOs include, but are not limited to, human rights organizations, women's groups, labor unions, business and professional associations, youth movements, religious organizations, indigenous organizations, think tanks, and organizations representing vulnerable populations. Areas of capacity building may include, but are not limited to, technical expertise (e.g. human rights, legal reform); CSO self-regulation (e.g. establishing NGO Codes of Conduct); organizational capacity (e.g. strategic planning, financial management and accountability, public relations, issue management, and outreach, revenue generation, accountable fundraising); and targeted advocacy training and technical assistance.

Program SubElement 4.1.3: Citizen Participation and Oversight

Definition: Increase citizen participation in policy and decision-making processes, service delivery, resource allocation, the oversight of public institutions and in broader initiatives aimed at creating more peaceful, democratic, and pluralistic societies. Activities within this subelement may include, but are not limited to, CSO and citizen advocacy efforts; establishing and building public-private partnerships; multi-stakeholder civic fora; web-based NGO resources; political participation of marginalized and vulnerable groups and populations, such as women, youth and children; and citizen engagement in human rights, anticorruption, and peace building initiatives.

Program SubElement 4.1.4: Civic Education and Democratic Culture

Definition: Strengthen a political and civic culture which is supportive of democratic institutions and processes; active citizen participation; civic virtues, such as tolerance and gender equality; and other civic skills, attitudes, and behaviors. This includes, but is not limited to, informal civic education initiatives as well as the expansion of civic education in formal education systems. Includes community-based civic actions.

Program SubElement 4.1.5: Democratic Trade Unions

Definition: Develop and strengthen independent and democratic trade/labor unions and federations to promote international core labor standards through organizing and advocacy efforts, and to contribute to workforce development and health initiatives. This includes, but is not limited to, protecting and promoting laws and legal environments which guarantee the rights of freedom of association and collective bargaining; building unions' capacities as incubators of democratic processes and values; supporting, training, and mentoring leaders of democratic trade unions and labor movements; promoting the understanding and use of tripartite mechanisms for worker participation in the policy processes of public institutions; and strengthening collective bargaining mechanisms at all levels.

Program Element 4.2: Media Freedom and Freedom of Information

Definition: Establish and/or develop a broadly functioning independent media sector, which is a crucial factor in democratic governance. Building this sector is accomplished through such activities as providing infrastructure and equipment to ensure access to information, shaping the media legal and regulatory environment, boosting professional capacity of the media sector, promoting sustainability through encouraging media-related business development and sound financial/management practices, and supporting advocacy and networking among media sector organizations.

Program SubElement 4.2.1: Enabling Environment for Independent Media

Definition: Strengthen the media-related legal and regulatory framework, and associated advocacy and other sector skills, in order to, for instance, enable the growth of independent media through legal and other means; protect media professionals and outlets who are being harassed, intimidated, imprisoned, and/or shut down for reporting on sensitive subjects; promote media sector business development; and/or reform state media into private or public service systems.

Program SubElement 4.2.2: Professional and Institutional Capacity

Definition: Boost professional capacity of the media sector through a variety of training, consulting, and mentoring methods, including, but not limited to, the use of media production support as a training mechanism, building of host country training institutions and capacities, production and distribution of training materials, and other educational approaches.

Program SubElement 4.2.3: Media Sustainability

Definition: Build a financially sustainable media sector through activities such as management training, advertising sector development, the development of audience research and/or circulation audit capacities, market research, outreach methods to potential advertising clients, business planning, facilitation of capital infusions and loans, network development and promotion of information

exchanges, exploring innovative sponsorships/partnerships, and other methods/activities to enhance both the economic viability of media enterprises and an overall environment that supports the development of sustainable media.

Program SubElement 4.2.4: Media-Sector CSOs and Other Support Institutions

Definition: Support independent media by strengthening media sector civil society organizations and related groups/activities (including but not limited to internet-based networking initiatives and regional initiatives).

Program SubElement 4.2.5: Private, Public and/or Community Media Outlets and Infrastructure

Definition: Establish and/or develop community radio, newspapers, and/or multi-media community centers, in countries where needed. In addition, engage in infrastructure and equipment provision and maintenance, and restoration/cataloguing of archival media materials, as appropriate.

Program SubElement 4.2.6: Government Communications

Definition: Assist with government public information campaigns and other related activities. Also, in the context of sensitizing government officials to the role of independent media, assist governments in improving their press and public relations capacities, including training of press officers on free media systems and interaction with the media, promotion of e-government capacities, restoration/recovery/cataloguing of archival media materials, and building other communications capacities.

Program Element 4.3: Program Support

Definition: This is a special element that is used to support: 1) activities that strengthen the ability of host country institutions and the USG to use strategic information for decision-making, program performance assessment, and learning; and 2) the staffing and tools needed by the USG for program management and oversight under this area.

Program SubElement 4.3.1: Host Country Strategic Information Capacity

Definition: Establish and/or strengthen host country institutions' management information systems (MIS) and their development and use of tools and models to collect, analyze and disseminate a variety of information related to the program area. These may include, but are not limited to MIS for government ministries or other host country institutions, needs assessments, baseline studies, censuses and surveys, targeted evaluations, special studies, routine surveillance, data quality assessments, and operational research. This sub-element may also include developing and disseminating best practices and lessons learned and testing demonstration and/or pilot models. Related training, supplies, equipment, and non-USG personnel are included.

Program SubElement 4.3.2: Program Design and Learning

Definition: Develop and conduct needs assessments, baseline studies, targeted evaluations, special studies or other information-gathering efforts specifically for the design, monitoring and evaluation of USG-funded programs. This sub-element may also include developing and disseminating best practices and lessons learned, testing demonstration and/or pilot models, or the preparation of strategic plans and other short-term programming tasks. Note: All such activities that are

carried out by partners as an integral part of their monitoring and evaluation efforts for programs funded under other sub-elements should be included within those sub-elements.

Program SubElement 4.3.3: Personnel

Definition: Provide staff to help manage, administer and support programs in this area including related salaries, travel, housing, office space, equipment, training, and other personnel-related expenses (e.g. ICASS costs).

INVESTING IN PEOPLE: To help nations achieve sustainable improvements in the well-being and productivity of their populations through effective and accountable investments in education, health, and other social services.

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DEFINITIONS:

Program Area 1: Health

To contribute to improvements in the health of people, especially women, children, and other vulnerable populations in countries of the developing world, through expansion of basic health services, including family planning; strengthening national health systems, and addressing global issues and special concerns such as HIV/AIDS and other infectious diseases

Program Element 1.1: HIV/AIDS

Definition: Reduce the transmission and impact of HIV/AIDS through support for prevention, care and treatment programs.

Program SubElement 1.1.1: Preventing Mother-to-Child Transmission

Definition: Prevent mother-to-child HIV transmission (PMTCT) including counseling and testing for pregnant women, ARV prophylaxis for HIV-infected

pregnant women and newborns, counseling and support for maternal nutrition and safe infant feeding practices. PMTCT-plus ARV-treatment activities should be coded under Sub-Element 1.1.10 (HIV/AIDS Treatment and Anti-Retroviral Drugs) and Sub-Element 1.1.11 (HIV/AIDS Treatment and Anti-Retroviral Services).

Program SubElement 1.1.2: Abstinence/Be Faithful

Definition: Promote abstinence, fidelity, delay of sexual activity, partner-reduction messages, and related social and community norms.

Program SubElement 1.1.3: Medical Transmission/Blood Safety

Definition: Support a nationally coordinated blood program, which includes policies; infrastructure, equipment and supplies; donor-recruitment activities; blood collection, distribution, testing and transfusion; training; and management to ensure a safe and adequate blood supply.

Program SubElement 1.1.4: Medical Transmission/Injection Safety

Definition: Support policies, training, waste-management systems, advocacy and other activities to promote (medical) injection safety, including distribution/supply chain, cost and appropriate disposal of injection equipment and other related equipment and supplies.

Program SubElement 1.1.5: Condoms and Other Prevention Activities

Definition: Support other activities aimed at preventing HIV transmission including purchase and promotion of condoms, sexually transmitted infection (STI) management (if not in palliative care settings/context), messages/programs to reduce injecting drug use and related risks.

Program SubElement 1.1.6: Palliative Care: Basic Health Care and Support

Definition: Basic health care and support, which includes: all clinic-based and home/community-based activities for HIV-infected adults, children, and their families that are aimed at optimizing the quality of life for HIV-infected clients and their families throughout the continuum of illness by the means of symptom diagnosis and relief, psychological and spiritual support, clinical monitoring, related laboratory services and management of opportunistic infections (excluding TB) and other HIV/AIDS-related complications (including pharmaceuticals), and culturally-appropriate end-of-life care. Basic health care and support also includes clinic-based and home/community-based support, social and material support such as nutrition support, legal aid, and housing, and training and support of caregivers. Clinic-based and home/community-based care and support activities for HIV-positive children within programs for orphans and other vulnerable children affected by HIV/AIDS would fall under sub-element 1.1.8 (Orphans and Vulnerable Children). ARV treatment should be coded under sub-element 1.1.10 (HIV/AIDS Treatment and Anti-Retroviral Drugs) and sub-element 1.1.11 (HIV/AIDS Treatment and Anti-Retroviral Services).

Program SubElement 1.1.7: Palliative Care: TB/HIV

Definition: Exams, clinical monitoring, related laboratory services, treatment and prevention of tuberculosis in HIV basic health care settings (including pharmaceuticals), as well as screening and referral for HIV testing, and clinical care related to TB clinical settings. If TB programs provide other basic health care

and support services such as clinical or psychosocial services, these services would be coded under sub-element 1.1.6 (Basic Health Care and Support). If TB programs expand to provide clients with anti-retroviral treatment (ART), such services would fall under Sub-Element 1.1.10 (HIV/AIDS Treatment and Anti-Retroviral Drugs) and Sub-Element 1.1.11 (HIV/AIDS Treatment and Anti-Retroviral Services). Note: General TB treatment, prevention, and related programming must be funded with CSH/Infectious Diseases funds directed for TB, not with HIV/AIDS funds.

Program SubElement 1.1.8: Orphans and Vulnerable Children

Definition: Improve the lives of orphans and other vulnerable children and families affected by HIV/AIDS. Strengthen communities to meet the needs of orphans and other vulnerable children affected by HIV/AIDS, supporting community-based responses, helping children and adolescents to meet their own needs, creating a supportive social and policy environment. Activities could include training caregivers, increasing access to education, economic support, targeted food and nutrition support, and legal aid. Institutional responses would also be included. ARV treatment of children is excluded from this category and should be coded under Sub-Element 1.1.10 (HIV/AIDS Treatment and Anti-Retroviral Drugs) and Sub-Element 1.1.11 (HIV/AIDS Treatment and Anti-Retroviral Services). Palliative care, including basic health care and support and TB/HIV prevention, management and treatment, as well as their related laboratory services and pharmaceuticals, when delivered within programs for orphans and other vulnerable children affected by HIV/AIDS, should be coded under this aspect. Other health care associated with the continuum of HIV/AIDS illness, including HIV/TB services, when delivered outside a program for orphans and other vulnerable children affected by HIV/AIDS, should be coded under Sub-Element 1.1.6 (Basic Health Care and Support) or Sub-Element 1.1.7 (TB/HIV).

Program SubElement 1.1.9: Counseling and Testing

Definition: Provide HIV counseling and testing are provided for those who seek to know their HIV status (as in traditional voluntary counseling and testing) or as indicated in other contexts (e.g., STI clinics). Counseling and testing in the context of preventing mother-to-child transmission is coded under sub-element 1.1.1 PMTCT.

Program SubElement 1.1.10: HIV/AIDS Treatment/ARV Drugs

Definition: Distribution, supply chain, logistics, pharmaceutical management, and cost of ARV drugs.

Program SubElement 1.1.11: HIV/AIDS Treatment/ARV Services

Definition: Infrastructure, training clinicians, and other providers, exams, clinical monitoring, related laboratory services, and community-adherence activities. Clinical monitoring and management of opportunistic infections is classified under palliative care either Sub-Element 1.1.6 (Basic Health Care and Support) or Sub-Element 1.1.7 (TB/HIV)

Program SubElement 1.1.12: Laboratory Infrastructure

Definition: Develop and strengthen laboratory facilities to support HIV/AIDS-related activities including purchase of equipment and commodities, provision of quality assurance, staff training, and other technical assistance. Specific

laboratory services supporting testing (e.g., under Sub-Element 1.1.9 [Counseling and Testing], Sub-Element 1.1.1 [PMTCT] or Sub-Element 1.1.3 [Blood Safety]), palliative care (Sub-Element 1.1.6 [Basic Health Care and Support] or Sub-Element 1.1.7 [TB/HIV]), and treatment (Sub-Element 1.1.11 [ARV Services]) should be included under the codes for those activities.

Program SubElement 1.1.13: Other/Policy Analysis and System Strengthening

Definition: Further other HIV/AIDS-related activities to support national prevention, care, and treatment efforts. This includes strengthening national and organizational policies and systems to address human resource capacity development, stigma, and discrimination, and gender issues; and other cross-cutting activities to combat HIV/AIDS including activities to support the implementation of Global Fund programs.

Program SubElement 1.1.14: Host Country Strategic Information Capacity

Definition: Establish and/or strengthen host country institutions' management information systems (MIS) and their development and use of tools and models to collect, analyze and disseminate a variety of information related to the program area. These may include, but are not limited to MIS for government ministries or other host country institutions, needs assessments, baseline studies, censuses and surveys, targeted evaluations, special studies, routine surveillance, data quality assessments, and operational research. This sub-element may also include developing and disseminating best practices and lessons learned and testing demonstration and/or pilot models. Related training, supplies, equipment, and non-USG personnel are included.

Program SubElement 1.1.15: Program Design and Learning

Definition: Develop and conduct needs assessments, baseline studies, targeted evaluations, special studies or other information-gathering efforts specifically for the design, monitoring and evaluation of USG-funded programs. This sub-element may also include developing and disseminating best practices and lessons learned, testing demonstration and/or pilot models, or the preparation of strategic plans and other short-term programming tasks. Note: All such activities that are carried out by partners as an integral part of their monitoring and evaluation efforts for programs funded under other sub-elements should be included within those sub-elements.

Program SubElement 6.4.4: Personnel

Definition: Provide staff to help manage, administer and support programs in this element including related salaries, travel, housing, office space, equipment, training, and other personnel-related expenses (e.g. ICASS costs).

Program Element 1.2: Tuberculosis

Definition: Reduce the number of deaths caused by TB by increasing detection of cases of TB and by successfully treating detected cases, as well as addressing issues of multi-drug resistant TB, TB and HIV, and investing in new tools for TB.

Program SubElement 1.2.1: DOTS Expansion and Enhancement

Definition: Support political commitment and sustained financing for TB control; case detection through quality assured bacteriology; standardized

treatment with supervision and patient support; reliable supply of quality-assured drugs; monitoring and evaluation; interventions to improve DOTS quality; and engagement of all public and private providers in DOTS.

Program SubElement 1.2.2: Increasing Availability of Drugs for the Treatment of TB

Definition: Procurement of drugs to treat TB.

Program SubElement 1.2.3: Improve Management of TB/HIV

Definition: Build capacity for joint TB/HIV planning, monitoring, and evaluation; surveillance of HIV prevalence in TB patients; active TB case finding in people living with HIV/AIDS (PLWHA); HIV counseling and testing in TB patients; cotrimoxazole preventive therapy; referral of HIV+ TB patients to ARV treatment services; isoniazid preventive therapy; and TB infection control in health facilities and congregate settings.

Program SubElement 1.2.4: Multi Drug Resistant TB

Definition: Introduce and expand DOTS Plus for MDR TB including detection, diagnosis, and treatment of drug resistant TB; drug resistance surveillance.

Program SubElement 1.2.5: Care and Support

Definition: Support for men and women on TB treatment; provides food for TB patients as needed; empowers TB patient communities; and encourages community participation in TB care, with attention to stigma and discrimination.

Program SubElement 1.2.6: Development of New Tools and Improved Approaches

Definition: Support Phase IIB clinical trials and beyond in the areas of new drugs, diagnostics, vaccines; development of clinical trial capacity; operations research to improve approaches to treatment and care.

Program SubElement 1.2.7: Health Governance and Finance (TB)

Definition: Promote sustainable improvements in health outcomes for men/boys and women/girls by reducing key governance and financing constraints to the achievement of multiple health element objectives and the health goal overall. These include activities that reduce corruption; increase equity; improve efficiency and increase financial protection (especially for underserved populations), including in the context of financing, organization of services, facility construction/renovation, human resources and pharmaceutical management, and strategic information. Note: Operating Units should make efforts to report activities that address specific earmarks under other sub-elements, reserving the use of the health governance and finance sub-element for overarching activities that support multiple health elements.

Program SubElement 1.2.8: Host Country Strategic Information Capacity

Definition: Establish and/or strengthen host country institutions' management information systems (MIS) and their development and use of tools and models to collect, analyze and disseminate a variety of information related to the program area. These may include, but are not limited to MIS for government ministries or other host country institutions, needs assessments, baseline studies, censuses and surveys, targeted evaluations, special studies, routine surveillance, data quality assessments, and operational research. This sub-element may also include

developing and disseminating best practices and lessons learned and testing demonstration and/or pilot models. Related training, supplies, equipment, and non-USG personnel are included.

Program SubElement 1.2.9: Program Design and Learning

Definition: Develop and conduct needs assessments, baseline studies, targeted evaluations, special studies or other information-gathering efforts specifically for the design, monitoring and evaluation of USG-funded programs. This sub-element may also include developing and disseminating best practices and lessons learned and testing demonstration and/or pilot models or the preparation of strategic plans and other programming tasks.

Program SubElement 1.2.10: Personnel

Definition: Provide staff to help manage, administer and support programs in this area, including related salaries, travel, housing, training, and other personnel-related expenses.

Program Element 1.3: Malaria

Definition: Support the implementation of the President's Malaria Initiative (PMI), related malaria control programs, and malaria research activities to reduce malaria-related mortality. Develop effective malaria vaccines, new malaria treatment drugs, and targeted operations research.

Program SubElement 1.3.1: Treatment with Artemisinin-Based Combination Therapies

Definition: Improve equitable access to and appropriate use of artemisinin-based combination therapies (ACTs) to treat malaria, including provision of drugs; logistic support for the delivery of drugs; informing and educating communities and health providers about using and prescribing ACTs; improved diagnostic capacity; training of health providers; and monitoring of adverse effects.

Program SubElement 1.3.2: Insecticide-Treated Nets (ITNs) to Prevent Malaria

Definition: Improve access to and use of ITNs to prevent malaria, including provision of nets and re-treatment kits; logistic support for the delivery of ITNs; behavior change about use of ITNs; improved access to long-lasting nets and net treatment technology; and private sector marketing of ITNs.

Program SubElement 1.3.3: Indoor Residual Spraying (IRS) to Prevent Malaria

Definition: Expand the use of indoor residual spraying to prevent malaria, including purchase of insecticide and spraying equipment; logistic support; information/education for communities on upcoming spray campaigns; environmental assessments; and capacity to conduct entomological and epidemiologic monitoring.

Program SubElement 1.3.4: Intermittent Preventive Treatment (IPT) of Pregnant Women with Sulfadoxine Pyrimethanine

Definition: Expand access to and use of IPT with sulfadoxine pyrimethanine (SP) via antenatal services in order to address malaria in pregnancy. Activities will include provision of SP; training of service providers; information, education,

and communication (IEC) for women and their partners and for providers on IPT; and logistic support for the delivery of SP.

Program SubElement 1.3.5: Epidemic Preparedness and Response

Definition: Help countries forecast, prepare for, detect, and respond to epidemics of malaria including entomologic and epidemiologic surveillance; procurement and equitable distribution of insecticide, sprayers, and ITNs; and training of service providers.

Program SubElement 1.3.6: Malaria Research

Definition: Further the research and development of improved or new malaria interventions, including new malaria vaccine candidates and new malaria drugs. Also, targeted operations research will be supported.

Program SubElement 1.3.7: Health Governance and Finance (Malaria)

Definition: Promote sustainable improvements in health outcomes for men/boys and women/girls by reducing key governance and financing constraints to the achievement of multiple health element objectives and the health goal overall. These include activities that reduce corruption; increase equity; improve efficiency and increase financial protection (especially for underserved populations), including in the context of financing, organization of services, facility construction/renovation, and human resources and pharmaceutical management. Note: Operating Units should make efforts to report activities that address specific earmarks under other sub-elements, reserving the use of the health governance and finance sub-element for overarching activities that support multiple health elements.

Program SubElement 1.3.8: Antimicrobial Resistance (Malaria)

Definition: Address anti-malarial drug resistance, especially related to artemisinin-based combination therapies and other WHO-approved anti-malarial drugs. Multi-drug resistance is a particular threat in the Mekong Region and the Amazon Basin. Activities include, helping countries to update and implement new malaria treatment policies, ongoing monitoring of malaria drug efficacy, addressing sub-standard and counterfeit drugs, and information and education for both consumers and health workers.

Program SubElement 1.3.9: Host Country Strategic Information Capacity

Definition: Establish and/or strengthen host country institutions' management information systems (MIS) and their development and use of tools and models to collect, analyze and disseminate a variety of information related to the program area. These may include, but are not limited to MIS for government ministries or other host country institutions, needs assessments, baseline studies, censuses and surveys, targeted evaluations, special studies, routine surveillance, data quality assessments, and operational research. This sub-element may also include developing and disseminating best practices and lessons learned and testing demonstration and/or pilot models. Related training, supplies, equipment, and non-USG personnel are included. This does not include anything captured under 1.3.6.

Program SubElement 1.3.10: Program Design and Learning

Definition: Develop and conduct needs assessments, baseline studies, targeted evaluations, special studies or other information-gathering efforts specifically for the design, monitoring and evaluation of USG-funded programs. This sub-element may also include developing and disseminating best practices and lessons learned, testing demonstration and/or pilot models, or the preparation of strategic plans and other short-term programming tasks. Note: All such activities that are carried out by partners as an integral part of their monitoring and evaluation efforts for programs funded under other sub-elements should be included within those sub-elements.

Program SubElement 1.3.11: Personnel

Definition: Provide staff to help manage, administer and support programs in this element including related salaries, travel, housing, office space, equipment, training, and other personnel-related expenses (e.g. ICASS costs).

Program Element 1.4: Avian Influenza

Definition: Limit the spread of avian influenza (AI) in animals and help to prevent it from becoming a human influenza pandemic.

Program SubElement 1.4.1: Planning and Preparedness for Outbreak Response

Definition: Design national multi-sectoral AI plans and coordination mechanisms. Support will also be provided to ensure adequate response to contain animal outbreaks and plans for the possibility of future human cases.

Program SubElement 1.4.2: Animal and Human Disease Surveillance

Definition: Support passive and active surveillance for animal AI outbreaks, including enhancing in-country laboratory capacity, updating national surveillance strategies, linking animal and human surveillance efforts, and monitoring the health of wild bird and domestic poultry populations. Human surveillance also includes reporting incidence of human infections, researching primary modes of viral transmission, and strengthening communication and reporting pathways.

Program SubElement 1.4.3: Commodity Stockpile

Definition: Determine essential commodities, establish release triggers for mobilizing the stockpile, procure commodities, develop commodity deployment strategies, and replenish stockpiles.

Program SubElement 1.4.4: Behavior Change Communications

Definition: Mobilize communication networks to prioritize AI efforts, design and implement communication strategies, broadcast AI awareness and behavior change messages, and provide accurate material to communicators.

Program SubElement 1.4.5: Response to Disease Outbreak

Definition: Respond to animal outbreaks, including: establishing rapid response teams; implementing incentive schemes to report outbreaks, and implementing bio-security measures. This sub-element also includes collecting and transporting samples, and implementing containment measures (e.g., culling, vaccination, quarantine). Human response also includes training health workers about appropriate care models, implementing social distancing policies, and promoting infection control.

Program SubElement 1.4.6: Health Governance and Finance (AI)

Definition: Promote sustainable improvements in health outcomes for men/boys and women/girls by reducing key governance and financing constraints to the achievement of multiple health element objectives and the health goal overall. These include activities that reduce corruption; increase equity; improve efficiency and increase financial protection (especially for underserved populations), including in the context of financing, organization of services, facility construction/renovation, and human resources and pharmaceutical management. Note: Operating Units should make efforts to report activities that address specific earmarks under other sub-elements, reserving the use of the health governance and finance sub-element for overarching activities that support multiple health elements.

Program SubElement 1.4.7: Host Country Strategic Information Capacity

Definition: Establish and/or strengthen host country institutions' management information systems (MIS) and their development and use of tools and models to collect, analyze and disseminate a variety of information related to the program area. These may include, but are not limited to MIS for government ministries or other host country institutions, needs assessments, baseline studies, censuses and surveys, targeted evaluations, special studies, routine surveillance, data quality assessments, and operational research. This sub-element may also include developing and disseminating best practices and lessons learned and testing demonstration and/or pilot models. Related training, supplies, equipment, and non-USG personnel are included.

Program SubElement 1.4.8: Program Design and Learning

Definition: Develop and conduct needs assessments, baseline studies, targeted evaluations, special studies or other information-gathering efforts specifically for the design, monitoring and evaluation of USG-funded programs. This sub-element may also include developing and disseminating best practices and lessons learned, testing demonstration and/or pilot models, or the preparation of strategic plans and other short-term programming tasks. Note: All such activities that are carried out by partners as an integral part of their monitoring and evaluation efforts for programs funded under other sub-elements should be included within those sub-elements.

Program SubElement 6.4.5: Personnel

Definition: Provide staff to help manage, administer and support programs in this element including related salaries, travel, housing, office space, equipment, training, and other personnel-related expenses (e.g. ICASS costs).

Program Element 1.5: Other Public Health Threats

Definition: Address public health threats posed by infectious diseases not targeted elsewhere in the Framework as well as significant non-communicable health threats of major public health importance.

Program SubElement 1.5.1: Neglected Tropical Diseases and Other Infectious Diseases

Definition: Control and reduce the burden of targeted neglected tropical diseases (onchocerciasis, schistosomiasis, soil-transmitted helminthes, lymphatic filariasis,

and trachoma) and other infectious diseases of public health importance (e.g. Japanese encephalitis, dengue hemorrhagic fever), including diagnosis treatment and other proven interventions.

Program SubElement 1.5.2: Non-Communicable Public Health Threats Including Injuries

Definition: Support cost-effective, evidence-based interventions that address health conditions that have very significant negative impact on morbidity of men and women in the workforce, mortality, and productivity and that are not addressed in other health program elements. These may include cardiovascular disease, diabetes, cancers, mental health, birth disabilities, sexual and domestic violence, environmental and occupational health and safety, and injuries, such as auto accidents and drowning, with attention to differing susceptibility of and impact on men and women, boys and girls.

Program SubElement 1.5.3: Health Governance and Finance (Other Health)

Definition: Promote sustainable improvements in health outcomes for men/boys and women/girls by reducing key governance and financing constraints to the achievement of multiple health element objectives and the health goal overall. These include activities that reduce corruption; increase equity; improve efficiency and increase financial protection (especially for underserved populations), including in the context of financing, organization of services, facility construction/renovation, and human resources and pharmaceutical management. Note: Operating Units should make efforts to report activities that address specific earmarks under other sub-elements, reserving the use of the health governance and finance sub-element for overarching activities that support multiple health elements.

Program SubElement 1.5.4: Host Country Strategic Information Capacity

Definition: Establish and/or strengthen host country institutions' management information systems (MIS) and their development and use of tools and models to collect, analyze and disseminate a variety of information related to the program area. These may include, but are not limited to MIS for government ministries or other host country institutions, needs assessments, baseline studies, censuses and surveys, targeted evaluations, special studies, routine surveillance, data quality assessments, and operational research. This sub-element may also include developing and disseminating best practices and lessons learned and testing demonstration and/or pilot models. Related training, supplies, equipment, and non-USG personnel are included.

Program SubElement 1.5.5: Program Design and Learning

Definition: Develop and conduct needs assessments, baseline studies, targeted evaluations, special studies or other information-gathering efforts specifically for the design, monitoring and evaluation of USG-funded programs. This sub-element may also include developing and disseminating best practices and lessons learned, testing demonstration and/or pilot models, or the preparation of strategic plans and other short-term programming tasks. Note: All such activities that are

carried out by partners as an integral part of their monitoring and evaluation efforts for programs funded under other sub-elements should be included within those sub-elements.

Program SubElement 1.5.6: Personnel

Definition: Provide staff to help manage, administer and support programs in this element including related salaries, travel, housing, office space, equipment, training, and other personnel-related expenses (e.g. ICASS costs).

Program Element 1.6: Maternal and Child Health

Definition: Increase the availability and use of proven life-saving interventions that address the major killers of mothers and children and improve their health and nutrition status, including effective maternity care and management of obstetric complications; prevention services including newborn care, routine immunization, polio eradication, safe water and hygiene, and micronutrients; improved maternal, infant and young child feeding; and treatment of life-threatening childhood illnesses.

Program SubElement 1.6.1: Birth Preparedness and Maternity Services

Definition: Support registration of pregnancies, infection prevention, nutrition, education about need for a skilled birth attendant and recognition of complications, identification and discouragement of harmful practices such as inadequate provision of food during pregnancy, development of individualized birth plans, constructive engagement of partners and families in support of pregnant women, community based-financing of deliveries, and organization for transport. Support facility-based and outreach services, improving the quality and equitable coverage of antenatal, delivery and postpartum care services, including periodic evaluation of the progress of pregnancy, labor support, use of the partogram, clean delivery, and active management of the third stage of labor.

Program SubElement 1.6.2: Treatment of Obstetric Complications and Disabilities

Definition: Promote recognition and treatment of obstetric complications by women, their partners and the community, such as post-abortion care, management of hypertension, induction or augmentation of labor, assisted delivery, blood transfusion, surgery (including cesarean section, repair of lacerations, and management of postpartum hemorrhage); and management of pregnancy-related disabilities including case identification, medical management of chronic problems such as anemia, and surgical repair and postoperative rehabilitation of obstetric fistula.

Program SubElement 1.6.3: Newborn Care and Treatment

Definition: Improve care of male and female newborns by identifying and treating serious infections and other neonatal complications, including immediate care at birth (resuscitation, thermal stabilization, cord care, breastfeeding), the provision of routine essential care, special care for low birth weight and premature infants, increasing family and health worker recognition of newborn danger signs, and increasing access to appropriate treatment when required.

Program SubElement 1.6.4: Immunization, Including Polio

Definition: Strengthen the delivery of immunization services, increase equitable coverage, and contribute to disease control strategies when appropriate, including improvement of planning, vaccine forecasting and management, cold chain and

logistics, vaccine-preventable disease surveillance, lab capacity and quality, injection safety, and non-polio immunization campaigns. Support introduction of Immunization Days (NIDs), Special Immunization Days (SNIDs), mop-ups, and other special polio immunization approaches, Acute Flaccid Paralysis (AFP) surveillance, laboratory support, and eradication certification activities.

Program SubElement 1.6.5: Maternal and Young Child Nutrition, Including Micronutrients

Definition: Deliver maternal and child iron, zinc, vitamin A, iodine, and other key micronutrients through supplementation, fortification, and other delivery approaches. Support breastfeeding promotion, infant and young child feeding, community-based growth promotion, activities to increase partners'/fathers' knowledge and support, management of acute and severe child malnutrition, nutrition of pregnant and lactating mothers and adolescent girls, monitoring the nutrition status of maternal and child populations, and targeted supplemental feeding.

Program SubElement 1.6.6: Treatment of Child Illness

Definition: Increase boys' and girls' access to and utilization of appropriate treatment for diarrhea, pneumonia, and other potentially life-threatening childhood illnesses, including improved recognition of serious illness, community and facility-based treatment of uncomplicated pneumonia, recognition and treatment of severe and complicated pneumonia, Oral Rehydration Therapy, introduction of new formulation ORS, introduction and evaluation of zinc treatment, antibiotic treatment of dysentery, and management of persistent diarrhea. (Malaria detection in children should be budgeted here, but treatment and prevention in the malaria element.)

Program SubElement 1.6.7: Household Level Water, Sanitation, Hygiene and Environment

Definition: Encourage household-level actions to prevent disease regardless of the state of public service infrastructure, including point-of-use water treatment, safe water storage and handling, sanitation marketing and promotion, promotion of hand washing with soap, reduction of exposure to indoor smoke from cooking and to local sources of environmental toxins such as lead. (Note that this sub-element addresses behavior, while Element 1.8 addresses other sub-elements to Water and Sanitation.)

Program SubElement 1.6.8: Health Governance and Finance (MCH)

Definition: Promote sustainable improvements in health outcomes for men/boys and women/girls by reducing key governance and financing constraints to the achievement of multiple health element objectives and the health goal overall. These include activities that reduce corruption; increase equity; improve efficiency and increase financial protection (especially for underserved populations), including in the context of financing, organization of services, facility construction/renovation, and human resources and pharmaceutical management. Note: Operating Units should make efforts to report activities that address specific earmarks under other sub-elements, reserving the use of the health governance and finance sub-element for overarching activities that support multiple health elements.

Program SubElement 1.6.9: Antimicrobial Resistance (MCH)

Definition: Slow the emergence of antimicrobial resistance in child and maternal health. Improving pharmaceutical management will increase access to and the correct use of quality essential medicines for MCH priorities. This sub-element will also strengthen quality assurance of essential medicines, community case management for childhood illnesses, and development of treatment guidelines for priority childhood diseases.

Program SubElement 1.6.10: Host Country Strategic Information Capacity

Definition: Establish and/or strengthen host country institutions' management information systems (MIS) and their development and use of tools and models to collect, analyze and disseminate a variety of information related to the program area. These may include, but are not limited to MIS for government ministries or other host country institutions, needs assessments, baseline studies, censuses and surveys, targeted evaluations, special studies, routine surveillance, data quality assessments, and operational research. This sub-element may also include developing and disseminating best practices and lessons learned and testing demonstration and/or pilot models. Related training, supplies, equipment, and non-USG personnel are included.

Program SubElement 1.6.11: Program Design and Learning

Definition: Develop and conduct needs assessments, baseline studies, targeted evaluations, special studies or other information-gathering efforts specifically for the design, monitoring and evaluation of USG-funded programs. This sub-element may also include developing and disseminating best practices and lessons learned, testing demonstration and/or pilot models, or the preparation of strategic plans and other short-term programming tasks. Note: All such activities that are carried out by partners as an integral part of their monitoring and evaluation efforts for programs funded under other sub-elements should be included within those sub-elements.

Program SubElement 1.6.12: Personnel

Definition: Provide staff to help manage, administer and support programs in this element including related salaries, travel, housing, office space, equipment, training, and other personnel-related expenses (e.g. ICASS costs).

Program Element 1.7: Family Planning and Reproductive Health

Definition: Expand access to high-quality voluntary family planning (FP) services and information, and reproductive health (RH) care. This element contributes to reducing unintended pregnancy and promoting healthy reproductive behaviors of men and women, reducing abortion, and reducing maternal and child mortality and morbidity.

Program SubElement 1.7.1: Service Delivery

Definition: Expand sustainable provision of family planning services in clinical and non-clinical programs including those in the public, private, NGO, and PVO sectors, and at the community level; activities that help improve the quality of the services and care provided, including pre- and in-service training of providers and application of evidence-based service-delivery norms and standards; and availability of a wide range of contraceptive options (temporary, fertility awareness methods, and long-acting and permanent methods) for men and

women. Improve responsiveness to client needs, including the FP/RH needs of youth and men, women and girls affected by violence, refugees/IDP, and other underserved populations. Also included are activities that integrate FP and related RH care, including integrated FP/MCH services, especially provision of post-partum family planning, FP information within the ANC setting, and post-abortion care; FP, as appropriate, in the context of HIV/AIDS/STI prevention, treatment, care and support; fistula prevention and repair; prevention and mitigation of gender-based violence in the context of FP/RH programs; and programs that encourage abandonment of female genital cutting and other harmful traditional practices that are associated with negative RH outcomes.

Program SubElement 1.7.2: Communication

Definition: Increase awareness of the availability of services, including through mass media, community mobilization, outreach, and/or national campaigns; behavior change interventions to encourage constructive engagement of men, equitable gender norms and adoption of healthy reproductive behaviors by women/girls and men/boys; and provision of information on family planning options, benefits, and side-effects to enable male and female clients to make an informed choice. Also included are synthesis and dissemination of best practices and lessons learned.

Program SubElement 1.7.3: Policy Analysis & System Strengthening

Definition: Create an enabling environment for effective FP/RH programs, including policy interventions (advocacy, dialogue, analysis, planning, finance, implementation, multisectoral engagement, attention to equity); organizational capacity building in human and financial resource management, and management and leadership of FP/RH programs. Also included are activities that aim to ensure the near- and long-term availability of high quality temporary and long-acting contraceptives including condoms for family planning and STI prevention, including direct financing, procurement, delivery, quality assurance, and strengthening country supply chains to manage and deliver contraceptives and condoms for public and private services.

Program SubElement 1.7.4: Health Governance and Finance (FP)

Definition: Promote sustainable improvements in health outcomes for men/boys and women/girls by reducing key governance and financing constraints to the achievement of multiple health element objectives and the health goal overall. These include activities that reduce corruption; increase equity; improve efficiency and increase financial protection (especially for underserved populations), including in the context of financing, organization of services, facility construction/renovation, and human resources and pharmaceutical management. Note: Operating Units should make efforts to report activities that address specific earmarks under other sub-elements, reserving the use of the health governance and finance sub-element for overarching activities that support multiple health elements.

Program SubElement 1.7.5: Host Country Strategic Information Capacity

Definition: Establish and/or strengthen host country institutions' management information systems (MIS) and their development and use of tools and models to

collect, analyze and disseminate a variety of information related to the program area. These may include, but are not limited to MIS for government ministries or other host country institutions, needs assessments, baseline studies, censuses and surveys, targeted evaluations, special studies, routine surveillance, data quality assessments, and operational research. This sub-element may also include developing and disseminating best practices and lessons learned and testing demonstration and/or pilot models. Related training, supplies, equipment, and non-USG personnel are included.

Program SubElement 1.7.6: Program Design and Learning

Definition: Develop and conduct needs assessments, baseline studies, targeted evaluations, special studies or other information-gathering efforts specifically for the design, monitoring and evaluation of USG-funded programs. This sub-element may also include developing and disseminating best practices and lessons learned, testing demonstration and/or pilot models, or the preparation of strategic plans and other short-term programming tasks. Note: All such activities that are carried out by partners as an integral part of their monitoring and evaluation efforts for programs funded under other sub-elements should be included within those sub-elements.

Program SubElement 1.7.7: Personnel

Definition: Provide staff to help manage, administer and support programs in this element including related salaries, travel, housing, office space, equipment, training, and other personnel-related expenses (e.g. ICASS costs).

Program Element 1.8: Water and Sanitation Services

Definition: Ensure broadly accessible, reliable and economically sustainable water and sanitation services for health, security, and prosperity. (Note that this element does not include the behavior aspects found in sub-element 1.6.7 and water issues directly relating to Agriculture – found in the EG Objective.)

Program SubElement 1.8.1: Safe Water Access

Definition: Increase access to water of appropriate quality for household and industrial/commercial uses through protection of existing water sources, sustainable development of new sources (e.g., well drilling and spring capping), and the rehabilitation and expansion of water infrastructure.

Program SubElement 1.8.2: Basic Sanitation

Definition: Increase access to and use of sanitation services for safe human waste disposal to protect human health and environmental quality. Support innovative approaches to building demand for sanitation-related products and services. Facilitate private sector participation in providing sanitation products and services. Where applicable, promote sustainable solutions for wastewater treatment and reuse.

Program SubElement 1.8.3: Water and Sanitation Sector Reform

Definition: Improve policy, laws, and regulations to expand service delivery and treatment, and to ensure national standards for tariff setting, licensing, benchmarking, and performance monitoring. Restructuring of the water and sanitation utility sector to achieve economies of scale, as well as, responsiveness to users.

Program SubElement 1.8.4: Sustainable Financing for Water & Sanitation Services

Definition: Increase mobilization of domestic public and private sector financing for water and sanitation sector development and increased access to services. Develop financially sustainable options for wastewater treatment.

Program SubElement 1.8.5: Water Resources Productivity

Definition: Increase efficiency and promote productive, multiple use of water in domestic and industrial sectors. Promote appropriate involvement of various users of water (domestic supply, industrial users, agriculture) in decision-making so that all sectoral interests have access to and ownership of water resource management decisions.

Program SubElement 1.8.6: Science and Technology Cooperation

Definition: Build the scientific, technological and information capacity necessary for science-based decision-making in water resources conservation and management.

Program SubElement 1.8.7: Host Country Strategic Information Capacity

Definition: Establish and/or strengthen host country institutions' management information systems (MIS) and their development and use of tools and models to collect, analyze and disseminate a variety of information related to the program area. These may include, but are not limited to MIS for government ministries or other host country institutions, needs assessments, baseline studies, censuses and surveys, targeted evaluations, special studies, routine surveillance, data quality assessments, and operational research. This sub-element may also include developing and disseminating best practices and lessons learned and testing demonstration and/or pilot models. Related training, supplies, equipment, and non-USG personnel are included.

Program SubElement 1.8.8: Program Design and Learning

Definition: Develop and conduct needs assessments, baseline studies, targeted evaluations, special studies or other information-gathering efforts specifically for the design, monitoring and evaluation of USG-funded programs. This sub-element may also include developing and disseminating best practices and lessons learned, testing demonstration and/or pilot models, or the preparation of strategic plans and other short-term programming tasks. Note: All such activities that are carried out by partners as an integral part of their monitoring and evaluation efforts for programs funded under other sub-elements should be included within those sub-elements.

Program SubElement 1.8.9: Personnel

Definition: Provide staff to help manage, administer and support programs in this element including related salaries, travel, housing, office space, equipment, training, and other personnel-related expenses (e.g. ICASS costs).

Program Area 2: Education

Promote effective, accountable, and sustainable formal and non-formal education systems.

Program Element 2.1: Basic Education

Definition: Improve early childhood education, primary education, and secondary education, delivered in formal or non-formal settings. It includes literacy, numeracy, and other basic skills programs for youth and adults.

Program SubElement 2.1.1: Pre-Primary Education

Definition: Introduce very young children, generally aged at least 3 years, to pre-academic readiness. A structured and purposeful set of learning activities are provided either in a formal institution or as part of a non-formal child development program.

Program SubElement 2.1.2: Primary Education

Definition: Provide children an education in reading, writing, and mathematics, and the basic skills of problem-solving, cooperative learning, and communication to develop pupils' ability to obtain and use information they need about their home, community, and country. Activities typically utilize a formal school curriculum in or outside of a school. Primary education is also sometimes called elementary education.

Program SubElement 2.1.3: Lower Secondary Education

Definition: Provide more advanced basic learning and basic skills that include critical thinking, assessing solutions, team cooperation, and effective communication, beyond the primary level. The teaching is typically more subject-focused, requiring more specialized teachers and materials for each subject area. The end of this level often coincides with the end of compulsory education. Lower secondary education is sometimes referred to as junior high school, middle school, or junior secondary school.

Program SubElement 2.1.4: Learning for Out-of-School Youth

Definition: Provide learners, generally 13 to 24 year olds, an alternative education that integrates reading, writing, and mathematics with basic skills such as critical thinking, problem-solving, team building, and effective communication. These complementary learning activities are typically designed to reintegrate youth back into a formal school setting or provide an equivalent primary or secondary school diploma.

Program SubElement 2.1.5: Literacy and Numeracy for Adults

Definition: Provide individuals, 18 years or older, basic skills in reading, writing, and mathematics. It requires a unique set of learning activities with specialized instruction. Activities may be formal or non-formal, but are typically outside of the formal school setting.

Program SubElement 2.1.6: Upper Secondary Education

Definition: Continue basic subject area learning and skills, including critical analysis, problem solving, and complex communication, beyond lower secondary level. The instruction is highly organized along subject lines, as are textbooks, and teachers need a higher level of subject-specific qualifications. In most countries, this level is the final stage of basic education. Upper Secondary Education is sometimes referred to as high school, senior high school, or senior secondary school.

Program SubElement 2.1.7: Education Systems

Definition: Contribute to sustained improvements in education quality, efficiency, and equity through strengthened education policy, governance,

financing, facilities, human resources, public information, and management of education services. A range of activities may target the national, regional, district, and community levels of the education system; pre-primary, primary, lower-secondary, upper secondary, and non-formal education; and public or private education.

Program SubElement 2.1.8: Host Country Strategic Information Capacity

Definition: Establish and/or strengthen host country institutions' management information systems (MIS) and their development and use of tools and models to collect, analyze and disseminate a variety of information related to the program area. These may include, but are not limited to MIS for government ministries or other host country institutions, needs assessments, baseline studies, censuses and surveys, targeted evaluations, special studies, routine surveillance, data quality assessments, and operational research. This sub-element may also include developing and disseminating best practices and lessons learned and testing demonstration and/or pilot models. Related training, supplies, equipment, and non-USG personnel are included.

Program SubElement 2.1.9: Program Design and Learning

Definition: Develop and conduct needs assessments, baseline studies, targeted evaluations, special studies or other information-gathering efforts specifically for the design, monitoring and evaluation of USG-funded programs. This sub-element may also include developing and disseminating best practices and lessons learned, testing demonstration and/or pilot models, or the preparation of strategic plans and other short-term programming tasks. Note: All such activities that are carried out by partners as an integral part of their monitoring and evaluation efforts for programs funded under other sub-elements should be included within those sub-elements.

Program SubElement 2.1.10: Personnel

Definition: Provide staff to help manage, administer and support programs in this element including related salaries, travel, housing, office space, equipment, training, and other personnel-related expenses (e.g. ICASS costs).

Program Element 2.2: Higher Education

Definition: Strengthen institutional capacities of public and private higher education institutions (including research institutes, teacher-training colleges and institutes, universities, community colleges, and the relevant officials, departments, and ministries responsible for higher education) to teach, train, conduct research, and provide community service; to contribute to development; and to promote professional development opportunities, institutional linkages, and exchange programs.

Program SubElement 2.2.1: Policy Development and Reform

Definition: Foster collaboration among higher education institutions and relevant local government institutions and ministries; U.S. and local institutions of higher education; and NGOs and private sector to discuss and develop policies and laws addressing higher education; and policies and laws in other sectors.

Program SubElement 2.2.2: Institutional Capacity Development

Definition: Increase higher education institution's ability to contribute to social and economic development by strengthening their organizational effectiveness.

Organizational effectiveness includes, but is not limited to, improving management and administration, research capacity and methods, facilities, degree programs, curricula, and pedagogy.

Program SubElement 2.2.3: Regional, National, and Local Development

Definition: Engage higher education institutions in addressing social and economic development challenges. Programs include, but are not limited to, applied research, community outreach, and service delivery.

Program SubElement 2.2.4: Professional Development

Definition: Broaden and increase access of individuals to higher education opportunities relevant to professional development. Participant training not directly involved in Higher Education is captured under the appropriate and relevant elements in education and other technical areas.

Program SubElement 2.2.5: Host Country Strategic Information Capacity

Definition: Establish and/or strengthen host country institutions' management information systems (MIS) and their development and use of tools and models to collect, analyze and disseminate a variety of information related to the program area. These may include, but are not limited to MIS for government ministries or other host country institutions, needs assessments, baseline studies, censuses and surveys, targeted evaluations, special studies, routine surveillance, data quality assessments, and operational research. This sub-element may also include developing and disseminating best practices and lessons learned and testing demonstration and/or pilot models. Related training, supplies, equipment, and non-USG personnel are included.

Program SubElement 2.2.6: Program Design and Learning

Definition: Develop and conduct needs assessments, baseline studies, targeted evaluations, special studies or other information-gathering efforts specifically for the design, monitoring and evaluation of USG-funded programs. This sub-element may also include developing and disseminating best practices and lessons learned, testing demonstration and/or pilot models, or the preparation of strategic plans and other short-term programming tasks. Note: All such activities that are carried out by partners as an integral part of their monitoring and evaluation efforts for programs funded under other sub-elements should be included within those sub-elements.

Program SubElement 2.2.7: Personnel

Definition: Provide staff to help manage, administer and support programs in this element including related salaries, travel, housing, office space, equipment, training, and other personnel-related expenses (e.g. ICASS costs).

Program Area 3: Social Services and Protection for Especially Vulnerable Populations

Address factors that place individuals at risk for poverty, exclusion, neglect, or victimization. Help populations manage their risks and gain access to opportunities that support their full and productive participation in society. Help populations rebound from temporary adversity, cope with chronic poverty, reduce vulnerability, and increase self-reliance

Program Element 3.1: Policies, Regulations and Systems

Definition: Address society-wide norms, policies, laws, and capacities to develop or reform safety nets. Build the frameworks for identifying populations in need or at-risk;

devise criteria for eligibility; direct resources to public and private organizations for program administration; set standards for the delivery of effective assistance and services; and track the impact on target populations.

Program SubElement 3.1.1: Social Policy Governance

Definition: Create or improve legislation essential to the operation of effective safety nets. It includes supporting laws on behalf of specific groups to protect their rights; reducing intentional acts of discrimination, exploitation or exclusion; and improving their access to programs that meet basic needs. It also strengthens government capacity to deliver essential assistance, services, and insurance, including formulating financing and outsourcing guidelines; acquiring the technology needed to carry out means testing and improved targeting; developing accreditation standards and regulations for service providers; administering oversight mechanisms to ensure quality, control costs, and reduce the incidence of malfeasance or corruption. Promote policies and increase public awareness aimed at decreasing temporary or chronic poverty by addressing underlying causal factors for vulnerability.

Program SubElement 3.1.2: Research Capacity

Definition: Develop or strengthen the quantity and quality of host country capacity to measure the incidence and depth of poverty and factors contributing to social exclusion; to identify groups most adversely affected; to assess the effectiveness of interventions to rehabilitate, protect, promote, or integrate vulnerable and at-risk groups; and to develop innovative programs for early warning to reduce vulnerability and mitigate risk factors.

Program SubElement 3.1.3: Host Country Strategic Information Capacity

Definition: Establish and/or strengthen host country institutions' management information systems (MIS) and their development and use of tools and models to collect, analyze and disseminate a variety of information related to the program area. These may include, but are not limited to MIS for government ministries or other host country institutions, needs assessments, baseline studies, censuses and surveys, targeted evaluations, special studies, routine surveillance, data quality assessments, and operational research. This sub-element may also include developing and disseminating best practices and lessons learned and testing demonstration and/or pilot models. Related training, supplies, equipment, and non-USG personnel are included.

Program SubElement 3.1.4: Program Design and Learning

Definition: Develop and conduct needs assessments, baseline studies, targeted evaluations, special studies or other information-gathering efforts specifically for the design, monitoring and evaluation of USG-funded programs. This sub-element may also include developing and disseminating best practices and lessons learned, testing demonstration and/or pilot models, or the preparation of strategic plans and other short-term programming tasks. Note: All such activities that are carried out by partners as an integral part of their monitoring and evaluation efforts for programs funded under other sub-elements should be included within those sub-elements.

Program SubElement 3.1.5: Personnel

Definition: Provide staff to help manage, administer and support programs in this element including related salaries, travel, housing, office space, equipment, training, and other personnel-related expenses (e.g. ICASS costs).

Program Element 3.2: Social Services

Definition: Assist special populations which may be vulnerable or at-risk on a temporary or chronic basis whose needs are not addressed under emergency humanitarian assistance or other programs. These include groups such as the disabled; orphans, children and at-risk youth; victims of trafficking; victims of gender-based violence; refugees, returnees, ethnic minorities, internally displaced or other socially excluded groups; the elderly; and female heads of household. Depending on circumstances, services may intend to protect groups; mitigate adverse conditions they face, or to remove barriers to help integrate them into society. Components may include measures to increase the capacity of local service and advocacy NGOs and/or professional social workers; to establish public/private service delivery partnerships as well as family and community focused service models; to establish effective referral networks; to develop appropriate service protocols and methods for screening prospective recipients; or to improve public understanding and sensitivity to the needs of the vulnerable. While services provided should not exclude victims of trafficking in persons, programs designed specifically for this group fall under the Peace and Security Objective under the Transnational Crime Area and the Trafficking in Persons and Migrant Smuggling Element.

Program SubElement 3.2.1: Vulnerable Children

Definition: Strengthen the capacity of families, communities and host-country governments to provide care, support, and protection for orphans, unaccompanied minors, and war-affected children. Note: activities aimed at care and support for HIV/AIDS orphans and vulnerable children should be included under the Orphans and Vulnerable Children sub-element of the HIV/AIDS program element.

Program SubElement 3.2.2: Victims of War

Definition: Remove barriers to enable the full participation of victims of war in supportive communities. Help people obtain prosthetics and rehabilitation as well as training to return as functioning members of society and to be able to provide for themselves and their families after suffering injuries caused by conflict or the remnants of conflict, including landmines and other unexploded ordnance (which may be linked to the Peace and Security Objective, specifically the Explosive Remnants of War Element).

Program SubElement 3.2.3: Victims of Torture

Definition: Address the physical and psychological effects of torture on victims, families and communities. Activities will be cross-cutting and include treatment, rehabilitation, re-integration, and advocacy.

Program SubElement 3.2.4: Other Targeted Vulnerable Groups

Definition: Remove barriers to enable the full participation of vulnerable people in supportive communities. Activities will be cross-cutting and range from community advocacy and strengthening family reunification/foster care, to supporting disability-appropriate infrastructure modifications and apprenticeship programs, and the integration of disabled or socially excluded workers into the workforce.

Program SubElement 3.2.5: Host Country Strategic Information Capacity

Definition: Establish and/or strengthen host country institutions' management information systems (MIS) and their development and use of tools and models to collect, analyze and disseminate a variety of information related to the program area. These may include, but are not limited to MIS for government ministries or other host country institutions, needs assessments, baseline studies, censuses and surveys, targeted evaluations, special studies, routine surveillance, data quality assessments, and operational research. This sub-element may also include developing and disseminating best practices and lessons learned and testing demonstration and/or pilot models. Related training, supplies, equipment, and non-USG personnel are included.

Program SubElement 3.2.6: Program Design and Learning

Definition: Develop and conduct needs assessments, baseline studies, targeted evaluations, special studies or other information-gathering efforts specifically for the design, monitoring and evaluation of USG-funded programs. This sub-element may also include developing and disseminating best practices and lessons learned, testing demonstration and/or pilot models, or the preparation of strategic plans and other short-term programming tasks. Note: All such activities that are carried out by partners as an integral part of their monitoring and evaluation efforts for programs funded under other sub-elements should be included within those sub-elements.

Program SubElement 3.2.7: Personnel

Definition: Provide staff to help manage, administer and support programs in this element including related salaries, travel, housing, office space, equipment, training, and other personnel-related expenses (e.g. ICASS costs).

Program Element 3.3: Social Assistance

Definition: Cash or in-kind transfers to the poor or to those suffering from temporary shocks.

Program SubElement 3.3.1: Targeted Assistance to Meet Basic Needs for the Poorest

Definition: Provide financial or technical support for programs that provide income transfers (cash, food rations or vouchers, supplementary feeding) to the neediest households, including the chronically poor, to maintain their survival.

Program SubElement 3.3.2: Conditional Cash Transfers

Definition: Provide financial or technical support for programs that provide poor households with cash, food, or other benefits on condition that they keep children in school, attend health clinics, or make other desired behavioral changes. Paying for school uniforms and school fees is not captured here, but directly under the Basic Education element.

Program SubElement 3.3.3: Targeted Subsidies for Low-Income Households

Definition: Provide poor households access to key services such as water, power, or housing at subsidized "lifeline" rates.

Program SubElement 3.3.4: Self-Help Programs

Definition: Provide financial or technical support for food-for-work or cash-for-work programs that provide temporary employment to workers suffering transitional unemployment in post-conflict or post-disaster settings, economic recession, and shifts in labor demand resulting from economic reform, while at the same time contributing to road construction and maintenance, irrigation works, reforestation, soil conservation. Ex-belligerents and their families are covered in the Peace and Security Objective under the Reintegration sub-element under the Disarmament, Demobilization, and Reintegration element.

Program SubElement 3.3.5: Host Country Strategic Information Capacity

Definition: Establish and/or strengthen host country institutions' management information systems (MIS) and their development and use of tools and models to collect, analyze and disseminate a variety of information related to the program area. These may include, but are not limited to MIS for government ministries or other host country institutions, needs assessments, baseline studies, censuses and surveys, targeted evaluations, special studies, routine surveillance, data quality assessments, and operational research. This sub-element may also include developing and disseminating best practices and lessons learned and testing demonstration and/or pilot models. Related training, supplies, equipment, and non-USG personnel are included.

Program SubElement 3.3.6: Program Design and Learning

Definition: Develop and conduct needs assessments, baseline studies, targeted evaluations, special studies or other information-gathering efforts specifically for the design, monitoring and evaluation of USG-funded programs. This sub-element may also include developing and disseminating best practices and lessons learned, testing demonstration and/or pilot models, or the preparation of strategic plans and other short-term programming tasks. Note: All such activities that are carried out by partners as an integral part of their monitoring and evaluation efforts for programs funded under other sub-elements should be included within those sub-elements.

Program SubElement 3.3.7: Personnel

Definition: Provide staff to help manage, administer and support programs in this element including related salaries, travel, housing, office space, equipment, training, and other personnel-related expenses (e.g. ICASS costs).

ECONOMIC GROWTH: To generate rapid, sustained, and broad-based economic growth.

SUMMARY

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- Program Element 1.1:** Fiscal policy
 - Program SubElement 1.1.1:** Revenue Structure and Administration
 - Program SubElement 1.1.2:** Expenditure Structure and Management
- Program Element 1.2:** Monetary policy
 - Program SubElement 1.2.1:** Interest Rate Regime
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 - Program SubElement 1.2.3:** Exchange Rate Regime
 - Program SubElement 1.2.4:** Net Foreign Assets Management
 - Program SubElement 1.2.5:** Debt Management
- Program Element 1.3:** Program Support
 - Program SubElement 1.3.1:** Host Country Strategic Information Capacity
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- Program Element 2.1:** Trade and Investment Enabling Environment
 - Program SubElement 2.1.1:** Mainstreaming Trade for Growth and Poverty Reduction
 - Program SubElement 2.1.2:** Trade Liberalization and Agreements
 - Program SubElement 2.1.3:** Trade Facilitation
 - Program SubElement 2.1.4:** Support for International Standards
- Program Element 2.2:** Trade and Investment Capacity
 - Program SubElement 2.2.1:** Trade Communication and Technologies
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 - Program SubElement 2.2.3:** Non-Agricultural Standards Compliance
- Program Element 2.3:** Program Support
 - Program SubElement 2.3.1:** Host Country Strategic Information Capacity
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 - Program SubElement 3.1.4:** Accounting and Financial Transparency
- Program Element 3.2:** Financial Services
 - Program SubElement 3.2.1:** Banking
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- Program Element 4.2:** Communications Services
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- Program Element 5.2:** Agricultural Sector Productivity
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 - Program SubElement 6.1.1:** Property Rights
 - Program SubElement 6.1.2:** Business and Organizations
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 - Program Element 6.2:** Private Sector Productivity
 - Program SubElement 6.2.1:** Business Management, Marketing, and Governance Practices
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 - Program SubElement 6.2.3:** Research and Technology Development and Application
 - Program SubElement 6.2.4:** Business, Trade Unions, and Professional Association Development
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 - Program SubElement 6.3.1:** Systemic Reform
 - Program SubElement 6.3.2:** Partnership Development
 - Program SubElement 6.3.3:** Workforce Readiness
 - Program SubElement 6.3.4:** Technical/Vocational Training for Employment
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 - Program SubElement 6.4.1:** Host Country Strategic Information Capacity
 - Program SubElement 6.4.2:** Program Design and Learning
 - Program SubElement 6.4.3:** Personnel
- Program Area 7: Economic Opportunity**
 - Program Element 7.1:** Inclusive Financial Markets

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Program SubElement 7.1.2:	Investments in Microfinance
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Program SubElement 8.3.3: Personnel

DEFINITIONS:

Program Area 1: Macroeconomic Foundation for Growth

Establish a stable and predictable macroeconomic environment that encourages the private sector to make productivity- and growth-enhancing investments. A solid macroeconomic foundation for growth consists of stable fiscal and monetary policies and institutions and the ability of the government to utilize these tools, in concert, to manipulate the economy.

Program Element 1.1: Fiscal Policy

Definition: Encourage and help countries to apply sustainable and efficient fiscal policies, which consist of establishing revenue and expenditure structures and develop management techniques that allow a government to manage the economy through the expansion and contraction of government spending. All support for fiscal policy should be decentralized to the appropriate level of government, and seek to eliminate the potential for corruption.

Program SubElement 1.1.1: Revenue Structure and Administration

Definition: Develop revenue/tax systems and administrations that generate the resources needed to support key public functions. These systems and administrations need to be fair, easy to administer, and minimize distortions to economic activity.

Program SubElement 1.1.2: Expenditure Structure and Management

Definition: Design and administer public expenditure systems that are transparent, lend themselves to equitable and timely budget formulation, and plan for the needs of the entire population.

Program Element 1.2: Monetary Policy

Definition: Monetary policy consists of various mechanisms, such as interest rates, to allow the government to manage the economy by expanding or contracting the money supply. Programs must encourage and help host countries to apply monetary policies that keep inflation low in the short- and long-term, establish the basis for financial stability, and are properly coordinated with fiscal policy to maintain internal and external balance.

Program SubElement 1.2.1: Interest Rate Regime

Definition: Strengthen the central bank's ability to utilize interest rates to affect the money supply and control inflation.

Program SubElement 1.2.2: Net Domestic Credit Management

Definition: Manage and control the level of the net domestic credit component of the money supply.

Program SubElement 1.2.3: Exchange Rate Regime

Definition: Strengthen the capacity of a government to manage its currency with respect to foreign currencies and the foreign exchange market. Regimes include: floating, pegged, and fixed. This includes policies related to the exchange rate per se, current account issues and capital account issues.

Program SubElement 1.2.4: Net Foreign Assets Management

Definition: Manage and control the level of the net foreign assets component of the money supply.

Program SubElement 1.2.5: Debt Management

Definition: Manage and control both domestic and foreign borrowing and debt.

Program Element 1.3: Program Support

Definition: This is a special element that is used to support: 1) activities that strengthen the ability of host country institutions and the USG to use strategic information for decision-making, program performance assessment, and learning; and 2) the staffing and tools needed by the USG for program management and oversight under this area.

Program SubElement 1.3.1: Host Country Strategic Information Capacity

Definition: Establish and/or strengthen host country institutions' management information systems (MIS) and their development and use of tools and models to collect, analyze and disseminate a variety of information related to the program area. These may include, but are not limited to MIS for government ministries or other host country institutions, needs assessments, baseline studies, censuses and surveys, targeted evaluations, special studies, routine surveillance, data quality assessments, and operational research. This sub-element may also include developing and disseminating best practices and lessons learned and testing demonstration and/or pilot models. Related training, supplies, equipment, and non-USG personnel are included.

Program SubElement 1.3.2: Program Design and Learning

Definition: Develop and conduct needs assessments, baseline studies, targeted evaluations, special studies or other information-gathering efforts specifically for the design, monitoring and evaluation of USG-funded programs. This sub-element may also include developing and disseminating best practices and lessons learned, testing demonstration and/or pilot models, or the preparation of strategic plans and other short-term programming tasks. Note: All such activities that are carried out by partners as an integral part of their monitoring and evaluation efforts for programs funded under other sub-elements should be included within those sub-elements.

Program SubElement 1.3.3: Personnel

Definition: Provide staff to help manage, administer and support programs in this area including related salaries, travel, housing, office space, equipment, training, and other personnel-related expenses (e.g. ICASS costs).

Program Area 2: Trade and Investment

The institution of international agreements and trade facilitation techniques allows countries to exchange goods and services and make financial investments without fear of loss. This is done through supporting public and private sector efforts to participate effectively in international trade and investment agreements and institutions, implement international agreements, adjust to changing trade conditions, and take full advantage of trade and investment to generate economic growth and reduce poverty.

Program Element 2.1: Trade and Investment Enabling Environment

Definition: The policies, laws, regulations, and administrative practices affecting international trade and investment and the public and private sector institutions that support sustained, locally driven improvements in the trade environment that are fair to men and women.

Program SubElement 2.1.1: Mainstreaming Trade for Growth and Poverty Reduction

Definition: Coordinate trade and investment policies, and related assistance programs, with national poverty reduction and development strategies, including through participation in the Integrated Framework for Trade-Related Technical Assistance to Least Developed Countries.

Program SubElement 2.1.2: Trade Liberalization and Agreements

Definition: Build public and private sector capacity to analyze the impact of trade and investment agreements on economic growth, productivity, employment, poverty, gender equity, fiscal revenues, and other national and individual male and female stakeholders' interests. Support trade liberalization. Build the capacity of the public sector to meet requirements for accession to the WTO and participating effectively in the WTO system and to meet other international agreements such as the U.S. Free Trade Area agreements and Bilateral Investment Treaties.

Program SubElement 2.1.3: Trade Facilitation

Definition: Remove unnecessary "red tape," control corruption, and simplify and consolidate import and export licensing, regulation of foreign investment and trade in services, and other policies, laws, regulations, and administrative practices governing international trade of goods and services.

Program SubElement 2.1.4: Support for International Standards

Definition: Build and/or strengthen the policies, laws, regulations, administrative practices, and public and private sector institutions not governed by international treaty that support the development, dissemination, and implementation of non-agricultural international business and product standards.

Program Element 2.2: Trade and Investment Capacity

Definition: The collection of services, technologies, equipment, and techniques used to enhance private sector response to international trade and investment opportunities.

Program SubElement 2.2.1: Trade Communication and Technologies

Definition: Enhance the information and communication technologies employed by both men and women to improve goods and services suppliers' capacity to identify specific commercial opportunities and establish contacts with potential international business partners.

Program SubElement 2.2.2: Trade Knowledge and Skills

Definition: Provide the necessary training, information, data, and other inputs, equally accessible to men and women, to improve suppliers' understanding of international market demand and competitive conditions, and the regulatory standards and other requirements for accessing specific markets.

Program SubElement 2.2.3: Non-Agricultural Standards' Compliance

Definition: Enhance suppliers' capacity to meet regulatory and market-driven standards that are required to access and effectively compete in international markets for non-agricultural goods and services, including process standards like ISO-9000 and ISO-14000 and product standards like those governing electrical safety.

Program Element 2.3: Program Support

Definition: This is a special element that is used to support: 1) activities that strengthen the ability of host country institutions and the USG to use strategic information for

decision-making, program performance assessment, and learning; and 2) the staffing and tools needed by the USG for program management and oversight under this area.

Program SubElement 2.3.1: Host Country Strategic Information Capacity

Definition: Establish and/or strengthen host country institutions' management information systems (MIS) and their development and use of tools and models to collect, analyze and disseminate a variety of information related to the program area. These may include, but are not limited to MIS for government ministries or other host country institutions, needs assessments, baseline studies, censuses and surveys, targeted evaluations, special studies, routine surveillance, data quality assessments, and operational research. This sub-element may also include developing and disseminating best practices and lessons learned and testing demonstration and/or pilot models. Related training, supplies, equipment, and non-USG personnel are included.

Program SubElement 2.3.2: Program Design and Learning

Definition: Develop and conduct needs assessments, baseline studies, targeted evaluations, special studies or other information-gathering efforts specifically for the design, monitoring and evaluation of USG-funded programs. This sub-element may also include developing and disseminating best practices and lessons learned, testing demonstration and/or pilot models, or the preparation of strategic plans and other short-term programming tasks. Note: All such activities that are carried out by partners as an integral part of their monitoring and evaluation efforts for programs funded under other sub-elements should be included within those sub-elements.

Program SubElement 2.3.3: Personnel

Definition: Provide staff to help manage, administer and support programs in this area including related salaries, travel, housing, office space, equipment, training, and other personnel-related expenses (e.g. ICASS costs).

Program Area 3: Financial Sector

Support the establishment of a sound private, well-functioning, equitable financial sector that fulfills critical roles in a market economy, most importantly financial intermediation – the efficient generation and allocation of savings to their most productive use.

Program Element 3.1: Financial Sector Enabling Environment

Definition: Support the establishment of expert regulators and professional bodies that constantly improve laws, regulations, standards, and administrative practices that shape the sector.

Program SubElement 3.1.1: Sector Liberalization and Strengthening

Definition: Improve policies, laws, and regulations affecting the performance of the financial sector, providing for appropriately sequenced liberalization of financial markets that expand the role of the private sector in providing services; that enlarge the range, improve the quality, and enhance the equitable accessibility of financial services; maintain the stability of the financial sector; and, optimize coordinated, unified, and effective supervision across all sub-sectors of the financial system.

Program SubElement 3.1.2: Supervision

Definition: Create a competent set of regulators for the financial sector, including supervision of banking, capital markets, insurance, private pension funds, and other non-bank financial institutions in a unified framework that optimizes coordination, shared resources, and professional development. Enhance their capacity to advance policy and administer international best practices of regulation including self-regulation in the industry. Support private sector initiatives in policy setting and regulatory compliance by promoting self-regulation in institutions such as stock exchanges, accounting standard setting bodies, broker-dealer and insurance associations. Enhance regulators' capacity to gather and analyze information from the financial sector, inform monetary policy, move to risk based management of the financial system, and share information with the industry and the public.

Program SubElement 3.1.3: Corporate Governance

Definition: Promote public and investor confidence in the financial system and beyond by implementing and enforcing sound, equitable corporate governance policy for financial institutions, enterprises, municipalities, and entities using the financial system. Increase the transparency of disclosure of information important to investors, creditors, and regulators. Activities conducted herein should be linked to the GJD objective.

Program SubElement 3.1.4: Accounting and Financial Transparency

Definition: Support the establishment of international accounting and auditing standards in the financial sector and throughout the economy. Advance independent, broad-based, highly professional standard-setting bodies for accountants and auditors; and, strengthen the profession of accountants and auditors through the development of education and certification programs in academe and trade associations that will provide professionals qualified at international standards.

Program Element 3.2: Financial Services

Definition: Advance the capacity of all public and private institutions to adopt modern management practices, strengthen their professionalism, and improve their systems, including providing equal access to both men and women.

Program SubElement 3.2.1: Banking

Definition: Increase the capacity of banks and non-bank credit institutions serving the private sector; strengthen the sub-sector through privatization and restructuring; and advance its capacity to conduct operations in full compliance with international and national norms of corporate governance, transparency, and stakeholder accountability. Increase public confidence through development of deposit insurance; widen credit and savings products; increase accessibility to both men and women; increase tenors, term finance and leasing; enlarge financial services to select targeted sectors (e.g., SMEs, rural business, agriculture, business in conflict or recovery zones); advance banks' capacity to address the challenges of money laundering and other financial crimes; and, increases banks' ability to attract credit and capital for their expansion. Note: activities specifically targeting money laundering as a financial crime should be included in the Financial Crimes element of the Peace and Security/Transnational Crimes area.

Program SubElement 3.2.2: Systems and Risk Management

Definition: Encourage use of the formal financial system for trade settlements through efficient inter-bank payment and settlement systems; encourage the reduction of credit risk evaluation costs; enable good borrowers to expand their access to finance by creating and strengthening credit bureaus for use throughout the entire financial system; and support the development of property valuation, expeditious loan recovery, and effective creditor claim recovery.

Program SubElement 3.2.3: Equity and Debt Markets

Definition: Enhance the capacity of financial intermediaries to generate debt, equity, pooled, and securitized products for sale and resale; to create and modernize trading systems, registries, depositories, clearance and settlement systems for these products; and, to conduct their intermediation in full compliance with international and national norms for financial intermediation, transparency, and stakeholder accountability.

Program SubElement 3.2.4: Insurance and Private Pension Funds

Definition: Support the advancement of insurance and the development of private pension funds by enhancing the capacity of regulators, trade associations, and professional bodies (e.g., insurance brokers, actuaries, pension fund managers) in the provision of a wide range of contract savings and risk-management products to the public including the insurance of other financial products, annuities, and private pension funds. Support bringing operations to full compliance with international and national norms, and expanding and modernizing industry statistical and actuarial systems for more effective product development and broader service to the public.

Program SubElement 3.2.5: Special Fund Programs

Definition: Support the creation of special fund programs (e.g., enterprise funds and small enterprise assistance funds) that provide credit and capital to small and medium-sized enterprises (SMEs) and other priority entities in the developmental context when funding is scarce. Advocate through these special funds for improvements in the legal and regulatory framework that affect business and the finance of business; demonstrate through these funds to developing financial markets the best practices in the conduct of “hands-on” investment, corporate governance, product and service development; and support the mentoring of other financial institutions, real sector entities as well as SMEs to accelerate economic growth.

Program SubElement 3.2.6: Credit Guarantees

Definition: Enhance financial sector development and the development of sectors targeted by the USG within its development agenda with technical assistance and modestly subsidized guarantees to private financial institutions that are able to provide the sought-after market-based services on a sustained basis. It also trains local USG officials, as well as the financial institutions, in the benefits and responsibilities of guarantee programs and their key role as a catalyst for the expansion of access to finance within a larger financial sector development program.

Program Element 3.3: Program Support

Definition: This is a special element that is used to support: 1) activities that strengthen the ability of host country institutions and the USG to use strategic information for

decision-making, program performance assessment, and learning; and 2) the staffing and tools needed by the USG for program management and oversight under this area.

Program SubElement 3.3.1: Host Country Strategic Information Capacity

Definition: Establish and/or strengthen host country institutions' management information systems (MIS) and their development and use of tools and models to collect, analyze and disseminate a variety of information related to the program area. These may include, but are not limited to MIS for government ministries or other host country institutions, needs assessments, baseline studies, censuses and surveys, targeted evaluations, special studies, routine surveillance, data quality assessments, and operational research. This sub-element may also include developing and disseminating best practices and lessons learned and testing demonstration and/or pilot models. Related training, supplies, equipment, and non-USG personnel are included.

Program SubElement 3.3.2: Program Design and Learning

Definition: Develop and conduct needs assessments, baseline studies, targeted evaluations, special studies or other information-gathering efforts specifically for the design, monitoring and evaluation of USG-funded programs. This sub-element may also include developing and disseminating best practices and lessons learned, testing demonstration and/or pilot models, or the preparation of strategic plans and other short-term programming tasks. Note: All such activities that are carried out by partners as an integral part of their monitoring and evaluation efforts for programs funded under other sub-elements should be included within those sub-elements.

Program SubElement 3.3.3: Personnel

Definition: Provide staff to help manage, administer and support programs in this area including related salaries, travel, housing, office space, equipment, training, and other personnel-related expenses (e.g. ICASS costs).

Program Area 4: Infrastructure

Support the creation, improvement and sustainability of physical infrastructure, and related services, in both urban and rural areas, to enhance the economic environment and improve economic productivity, including for women. The main infrastructures include energy; telecom and ICT; and transport, including roads, airports, railways, and ports. Water and sanitation services are included under the Investing in People, Health area.

Program Element 4.1: Modern Energy Services

Definition: Increase the efficiency, reliability, and transparency of energy services and promote investment in the development, transport, processing, and utilization of indigenous energy sources and imported fuels.

Program SubElement 4.1.1: Basic Energy Infrastructure Project Financing

Definition: Assist in financing and implementing physical energy infrastructure, e.g. electricity, particularly to rehabilitate or restore services.

Program SubElement 4.1.2: Legal and Regulatory Development

Definition: Prepare laws and regulations for network and non-network energy sub-sectors and provide support for the development of professional energy regulatory authorities, including their role in tariff formulation.

Program SubElement 4.1.3: Energy Sector Restructuring and Corporatization

Definition: Restructure state monopolies (and the separation of operational functions from Ministries) and create corporate entities for specific operational functions (e.g. generation, transmission, distribution).

Program SubElement 4.1.4: Commercialization and Management Improvement

Definition: Assist energy utilities or companies in improving their management and operations to achieve higher levels of service and financial performance.

Program SubElement 4.1.5: Market Design, Implementation, and Monitoring

Definition: Design of competitive markets for energy, the implementation of power exchanges, and market governance institutions, and the development of effective monitoring capabilities. Includes support for involvement in regional markets.

Program SubElement 4.1.6: Energy Efficiency, Renewable Energy, and Decentralized Energy Technologies and Financing

Definition: Assist in the planning and introduction of projects, including pilot or demonstration projects, to reduce energy intensity and energy waste. Assist in training personnel in management of these systems, and on developing financial mechanisms to disseminate and commercialize these systems.

Program SubElement 4.1.7: Privatization and Private Investment Promotion

Definition: Assist in privatizing existing state energy companies, developing the frameworks and promoting projects for private investment in energy resources exploration and production, processing and conversion, transmission and transportation, and distribution and delivery of energy to end-users, taking into account the differential uses of energy by men and women.

Program SubElement 4.1.8: Expanded Access to Rural and Low Income Areas

Definition: Support interventions that expand access of rural and urban poor to modern energy services and fuels.

Program Element 4.2: Communications Services

Definition: Strengthen and support communications networks.

Program SubElement 4.2.1: Basic Communications Infrastructure Financing

Definition: Directly finance and implement physical transport infrastructure, e.g., land lines or internet backbone.

Program SubElement 4.2.2: Legal and Regulatory Development

Definition: Prepare laws and regulations and draft national policies to de-regulate the communications sector, promoting competition and investment while ensuring access and service quality to consumers.

Program SubElement 4.2.3: Expanded Access to ICT Services and Applications

Definition: Support extension of access to economic groups and geographic areas with insufficient connection or access rates through private sector expansion, targeted subsidies and e-government initiatives.

Program SubElement 4.2.4: Restructuring and Corporatization

Definition: Introduce market-based approaches to public sector communications utilities by introducing management improvements in structure, incentives and performance targets and revised ownership arrangements.

Program SubElement 4.2.5: Privatization and Promotion of Private Investment

Definition: Assist with privatization of public sector communications utilities and facilitate private investment.

Program Element 4.3: Transport Services

Definition: Support and strengthen reliable and affordable transport systems.

Program SubElement 4.3.1: Basic Transport Infrastructure Financing

Definition: Directly finance and implement physical transport infrastructure, e.g., highways, particularly to rehabilitate or restore capacity.

Program SubElement 4.3.2: Legal and Regulatory Restructuring and Governance

Definition: Reform and restructure sub-sector policies, laws and regulations to ensure broad access, support for privatization and competition, and ensure safety and reliability.

Program SubElement 4.3.3: Transport Policy and Planning

Definition: Prepare national laws and regulations and draft national policies for sub-sectors (ports, rails, roads, air, etc) to promote efficiency in the transport of goods and people, set geographic priorities for public funding and enable private sector participation.

Program SubElement 4.3.4: Financing, Investment and Private Sector Participation

Definition: Facilitate investment through project identification, feasibility analyses, development funds and support for private sector participation.

Program Element 4.4: Program Support

Definition: This is a special element that is used to support: 1) activities that strengthen the ability of host country institutions and the USG to use strategic information for decision-making, program performance assessment, and learning; and 2) the staffing and tools needed by the USG for program management and oversight under this area.

Program SubElement 4.4.1: Host Country Strategic Information Capacity

Definition: Establish and/or strengthen host country institutions' management information systems (MIS) and their development and use of tools and models to collect, analyze and disseminate a variety of information related to the program area. These may include, but are not limited to MIS for government ministries or other host country institutions, needs assessments, baseline studies, censuses and surveys, targeted evaluations, special studies, routine surveillance, data quality assessments, and operational research. This sub-element may also include developing and disseminating best practices and lessons learned and testing

demonstration and/or pilot models. Related training, supplies, equipment, and non-USG personnel are included.

Program SubElement 4.4.2: Program Design and Learning

Definition: Develop and conduct needs assessments, baseline studies, targeted evaluations, special studies or other information-gathering efforts specifically for the design, monitoring and evaluation of USG-funded programs. This sub-element may also include developing and disseminating best practices and lessons learned, testing demonstration and/or pilot models, or the preparation of strategic plans and other short-term programming tasks. Note: All such activities that are carried out by partners as an integral part of their monitoring and evaluation efforts for programs funded under other sub-elements should be included within those sub-elements.

Program SubElement 4.4.3: Personnel

Definition: Provide staff to help manage, administer and support programs in this area including related salaries, travel, housing, office space, equipment, training, and other personnel-related expenses (e.g. ICASS costs).

Program Area 5: Agriculture

Agriculture is the science and practice of food, feed, and fiber production (including forestry, wildlife, fisheries, aquaculture and floraculture) and its relationships to natural resources, processing, marketing, distribution, utilization (including nutrition), and trade.

Program Element 5.1: Agricultural Enabling Environment

Definition: Support agricultural policies, institutions, and agricultural markets; foster adoption of improved technology; invest in infrastructure at all levels, and enhance the natural resource base in ways that respond to the needs of men and women producers.

Program SubElement 5.1.1: Agricultural Resource Policy

Definition: Support institutions and equitable policies that foster sustainable utilization of land, water, plant, and animal resources to enhance agricultural productivity and incomes, increase resource quality and quantity, and decrease degradation of productive resources. This includes access to and securing property rights over agricultural resources, including by female-headed households and returning internally displaced persons and refugees, and it includes increasing returns of agricultural labor.

Program SubElement 5.1.2: Food Policy

Definition: Support institutions, policies and incentives aimed at ensuring that adequate, safe, and nutritious food is available; markets function efficiently; and that low-income groups and those vulnerable to food insecurity (e.g., female farmers with small land holdings, female-headed households, children, and HIV-affected) are able to access and appropriately utilize that food.

Program SubElement 5.1.3: Agricultural Market Standards and Regulations

Definition: Improve laws, institutions, and policies that impact market transactions of agricultural goods, inputs, practices, and services. This includes international policies such as agriculture-related agreements of the WTO; domestic science-based regulation to ensure food, feed, and environmental safety; and market-based or industry-led quality grades, standards, and certification.

Program SubElement 5.1.4: Public Investment Policy

Definition: Improve institutions and policies that encourage increased and more effective public and private investments in agricultural institutions and infrastructure to provide the basis for expanded productivity in the agricultural sector. This includes support for (1) scientific and technological advances through research and development, (2) governmental actions that provide a positive climate for innovation and investment, and (3) efforts to comply with international treaties and encourage international cooperation and public-private partnerships.

Program Element 5.2: Agricultural Sector Productivity

Definition: Sustain the productivity of the agricultural sector through investments that foster increasing returns to land, labor, and capital. Targeted interventions to male and female producers provide improvements in technology and management practices, expanded access to markets and credit, increased organizational and market efficiency, and restoration and protection of resiliency in production and livelihood systems.

Program SubElement 5.2.1: Research and Technology Dissemination

Definition: Support scientific research and technology, including biotechnology, that generates improvements in production systems (crop, livestock, farm, forest, fisheries), value-added products, and management practices leading to sustainable productivity gains, mitigation of risk, and income growth. It also supports dissemination and adoption of productivity-enhancing and post harvest technologies, value-added products, and management practices in these areas by reducing the barriers that may constrain male or female producers, processors, and manufacturers.

Program SubElement 5.2.2: Land and Water Management

Definition: Develop and invest in the quantity and quality of land and water resources, including irrigation and soil fertility, riparian and range management, and water resources to improve and sustainably increase agricultural productivity and incomes. This includes related land and water administration systems.

Program SubElement 5.2.3: Rural and Agricultural Finance

Definition: Increase equitable access to financial services by male and female farmers in rural areas and for agricultural enterprises to purchase necessary inputs; introduce new technologies; expand productive capacity; and finance storage, transport, and marketing costs. Also includes access to mechanisms and products that reduce seasonal income and consumption variability, protect and build assets, and mitigate price and weather risk. (Link to Microfinance 7.1.2 and Financial Services 3.2, as appropriate.)

Program SubElement 5.2.4: Agribusiness and Producer Organizations

Definition: Support the growth of small and medium agro-enterprises, including producer organizations/associations, which are engaged in producing, marketing, or adding value (e.g. processing and quality enhancement) to crop, livestock, forestry, and fishery products. Support addresses the needs and capacities of both men and women producers and includes such areas as adoption of technology and technical processes, businesses and human resources management, environmental regulatory compliance, and organizational governance.

Program SubElement 5.2.5: Markets and Trade Capacity

Definition: Build capacity to link small-scale producers (men and women), pastoralists, and small to medium enterprises to the economic opportunities of commercial markets. This includes both input and output markets at the local, regional, and international levels. Interventions include areas such as the development of risk management strategies; warehouse receipt, agricultural commodity trading and accessible market information systems; meeting market standards; and public and private investments that support efficient agricultural marketing such as storage facilities, cold storage, packaging facilities, and agricultural processing facilities.

Program SubElement 5.2.6: Emerging Agricultural Threats

Definition: Strengthen plant and animal disease surveillance and the control of emerging agricultural pests and diseases (e.g. Wheat Stem Rust) to mitigate productivity losses, allow access to international markets, reduce risks to human health, improve food safety, and reduce the risk of introduction of diseases into the U.S.

Program SubElement 5.2.7: Agricultural Livelihood Services and Safety Nets

Definition: Support risk management and economic diversification, transfer and adaptation of proven technologies and human organization innovations to increase market access, food or cash transfers in exchange for public works; and resource transfers and/or agricultural inputs (e.g. seeds, tools, and livestock) which enable male and female producers to try new technologies and production methods that would otherwise not be available to them.

Program Element 5.3: Program Support

Definition: This is a special element that is used to support: 1) activities that strengthen the ability of host country institutions and the USG to use strategic information for decision-making, program performance assessment, and learning; and 2) the staffing and tools needed by the USG for program management and oversight under this area.

Program SubElement 5.3.1: Host Country Strategic Information Capacity

Definition: Establish and/or strengthen host country institutions' management information systems (MIS) and their development and use of tools and models to collect, analyze and disseminate a variety of information related to the program area. These may include, but are not limited to MIS for government ministries or other host country institutions, needs assessments, baseline studies, censuses and surveys, targeted evaluations, special studies, routine surveillance, data quality assessments, and operational research. This sub-element may also include developing and disseminating best practices and lessons learned and testing demonstration and/or pilot models. Related training, supplies, equipment, and non-USG personnel are included.

Program SubElement 5.3.2: Program Design and Learning

Definition: Develop and conduct needs assessments, baseline studies, targeted evaluations, special studies or other information-gathering efforts specifically for the design, monitoring and evaluation of USG-funded programs. This sub-element may also include developing and disseminating best practices and lessons learned, testing demonstration and/or pilot models, or the preparation of strategic

plans and other short-term programming tasks. Note: All such activities that are carried out by partners as an integral part of their monitoring and evaluation efforts for programs funded under other sub-elements should be included within those sub-elements.

Program SubElement 5.3.3: Personnel

Definition: Provide staff to help manage, administer and support programs in this area including related salaries, travel, housing, office space, equipment, training, and other personnel-related expenses (e.g. ICASS costs).

Program Area 6: Private Sector Competitiveness

Improve policies, laws, regulations, and administrative practices affecting the private sector's ability to compete nationally and internationally. All the elements include not only the adoption and implementation of policies, but also their oversight by elected officials, NGOs, and the private sector.

Program Element 6.1: Business Enabling Environment

Definition: Improve policies, laws, regulations, and administrative practices affecting the private sector. Includes reducing barriers to competition and unwarranted distortions to market prices; reducing policy and regulatory barriers to establishing, operating, and closing businesses; strengthening the legal framework surrounding property rights that is fair to both men and women, contract enforcement, and dispute resolution, along with the administration of those laws; reducing incentives for corruption and promoting transparent business practices; strengthening the legal framework surrounding intellectual property rights; and improving laws and regulations affecting the creation, dissemination, and use of technology. It also includes improving policies and regulations affecting technology choices and production behaviors with environmental impacts; and improving policies, laws, and regulations affecting hiring and firing of workers, wages, working conditions, and collective bargaining. Includes support for specific improvements as well as efforts to strengthen the institutions that contribute to designing and implementing further improvements.

Program SubElement 6.1.1: Property Rights

Definition: Facilitate the creation, perfection and observance of secure and equitable property rights in land and improvements (rural and urban), movable property, intangible property, and intellectual property. Create new institutions or bolster existing institutions to resolve disputes and enforce property rights. Provide training and technical support, including awareness of barriers that deny women their rights, to build capacity in the institutions charged with implementing and enforcing property rights systems. Provide hardware and software in order to improve property registration systems and facilitate market transactions (e.g., land title registries, secured transactions registries, copyright and patent systems). Legally empower poor and disadvantaged persons and groups, including women, to have their property rights recognized through formal and informal (i.e., customary) legal channels. Programs designed under this element may include all groups, including poor and disadvantaged, but programs specifically targeting poor and disadvantaged groups should be captured under Element 7.4. Agricultural resource property rights should be captured under 5.1.1.

Program SubElement 6.1.2: Business and organizations

Definition: Facilitate the adoption of streamlined and inexpensive licensing, registration, and inspection regimes for different categories of businesses, including SMEs, joint-stock companies, and partnerships. Provide hardware and software to improve registration and licensing systems. Protect investor and shareholder rights through transparent systems of corporate governance based on company law and corporate governance practices. Encourage the adoption, implementation and oversight of law, regulation and enforcement practices that support compliance with internationally recognized labor standards and contracts. Provide training, technical support and hardware where required to the courts, labor ministries, trade unions, NGOs focused on labor issues that may affect men and women differently, business and professional associations and firms to assist all these bodies in developing implementation and enforcement practices that support enforcement of law and regulation regarding labor standards and contracts. Within this framework, support the creation of flexible labor practices with regard to such topics as workforce development, hiring and firing, elimination of any biases in the treatment of male and female workers, benefits and hours to assure competitiveness at the enterprise level.

Program SubElement 6.1.3: Transactions

Definition: Encourage the adoption, implementation and oversight of fundamental commercial laws that support market-oriented economic transactions (including sales, leases, procurement, and contracts) and development of the regulations and institutions needed to implement, support and sustain such changes. Assist public and private male and female stakeholders to develop capacity to establish and engage in transparent and responsive processes for drafting and amending legislation and regulations that include active participation of the business community and other stakeholders. Assist the development of consumer protection policies, product standards and trade rules to facilitate competition and integration into the world economy. Improve analytical and advocacy skills for a wide range of interested public and private stakeholder institutions to support ongoing improvements in the commercial environment that provide equitable opportunities to men and women.

Program SubElement 6.1.4: Competitiveness

Definition: Promote policies that make the economic/commercial system run better. Promote a fair, speedy, and efficient commercial and labor law adjudication system that protects property rights and contract rights. In addition to government-sponsored courts, alternate dispute resolution, arbitration, and mediation may be employed in order to resolve the widest range of business and labor disputes. Assist in the development of competition policy, privatization and regulation of natural monopolies.

Program Element 6.2: Private Sector Productivity

Definition: Improve the capacity of businesses to integrate into domestic and international markets through increases in productivity and improvements in corporate governance and the development and application of modern technology and marketing practices. Enhance the capacity of businesses and business associations in terms of their corporate governance capabilities and their application of best practices and technologies to achieve increased production and marketing of products and services. It includes

adoption of efficient production processes, improved labor productivity, environmentally-sound management of natural resources and the development of accounting and management systems that can help the company and industry group implement business, labor, product and process standards that enhance business competitiveness. Business capacity development programs may include activities that help men- and women-owned firms and associations respond to these international markets and create regional alliances.

Program SubElement 6.2.1: Business management, marketing and governance practices

Definition: Professional, market-orientated business management and transparent corporate governance practices are foundations of firm level competitiveness. Involves efforts to strengthen the capacity of the private sector in such areas as finance and accounting; equitable treatment of male and female workers; strategic planning; supply-chain management/operations; market knowledge; meeting business, labor and environment standards; marketing and sound corporate governance.

Program SubElement 6.2.2: Sector supply and value chains

Definition: Enhance the capacity of business, industry trade associations, universities, institutes and local government to develop strategies collectively to create supply and value chains for products and services that will compete nationally and internationally; facilitate linkages among all components of chain members; and provide training and capacity building among male and female personnel within academic faculty, trade associations, and business centers so they will be able to guide further development of supply and value chains.

Program SubElement 6.2.3: Research and technology development and application

Definition: Facilitate and support the development of indigenous technology capacity, including for women producers; strengthen the ability of men- and women-owned firms to access both cutting edge and appropriate technology; support the application of existing technology to new environments and purposes; and work with industry clusters to introduce new technology.

Program SubElement 6.2.4: Business, trade unions and professional association development

Definition: Establish a framework for business, trade unions and professional associations to organize and offer services to their male and female membership, with particular emphasis on training, greater inclusion of women in leadership roles, and providing information on competitiveness, analytical capacity to examine constraints on growth and introduce or advocate changes, and work with media to improve reporting on competitiveness issues and commercial information. Support competition and profusion of private associations to reduce likelihood and incidence of vested business interests having disproportionate, non-competitive influence on competitiveness reforms. Promote research, training, advocacy, technology transfer roles and public-private dialogue.

Program Element 6.3: Workforce Development

Definition: Assist youth and adults in acquiring knowledge and developing skills, attitudes, and behaviors to find legitimate jobs, establish viable self-employment

ventures, and stay employed and productive in a changing economy. Create policies, programs, and systems that respond to labor market demands in the formal and informal sectors.

Program SubElement 6.3.1: Systemic Reform

Definition: Promote policies and strengthen systemic capacity to provide quality, demand-driven formal and non-formal workforce development opportunities, with special consideration to gender issues and access to workforce education programs for male and female youth. These activities will strengthen workforce development governance, resource management, and incentive systems; sex and age-disaggregated data collection for strategic decision-making; and institutional capacity for service delivery.

Program SubElement 6.3.2: Partnership Development

Definition: Increase participation and establish networks among public and private civil society stakeholders to identify work force needs and coordinate efforts to create and sustain equitable, effective workforce development programs, especially for youth. This will be accomplished by building collaborative dialogue and action groups among stakeholders such as business and industry, government, public and private education providers, labor associations, youth groups, and NGOs to plan, design and implement workforce development programs.

Program SubElement 6.3.3: Workforce Readiness

Definition: Create and sustain pre-employment and employability programs for male and female youth and men and women in formal and non-formal settings. These programs develop foundational (pre-requisite or threshold) skills that are adaptable and necessary for entrance into the labor force, vocational training programs, and career-oriented higher education; skills such as critical thinking, teamwork, and communication. Workforce readiness programs may target out-of-school and marginalized youth and adults, or students in general education systems. Programs include labor market and social support services, and linkages with further technical skills development and career opportunities for both young men and women.

Program SubElement 6.3.4: Technical/Vocational Training for Employment

Definition: Create and sustain career-enhancing education and training programs that are responsive to the current and future labor needs of local, regional, and international employers, both formal and nonformal. Generally, these programs certify competence of male and female learners in accordance with industry standards and provide labor market and social support services. In contexts where the private sector is weak, technical/vocational training may be oriented towards self-employment.

Program Element 6.4: Program Support

Definition: This is a special element that is used to support: 1) activities that strengthen the ability of host country institutions and the USG to use strategic information for decision-making, program performance assessment, and learning; and 2) the staffing and tools needed by the USG for program management and oversight under this area.

Program SubElement 6.4.1: Host Country Strategic Information Capacity

Definition: Establish and/or strengthen host country institutions' management information systems (MIS) and their development and use of tools and models to collect, analyze and disseminate a variety of information related to the program area. These may include, but are not limited to MIS for government ministries or other host country institutions, needs assessments, baseline studies, censuses and surveys, targeted evaluations, special studies, routine surveillance, data quality assessments, and operational research. This sub-element may also include developing and disseminating best practices and lessons learned and testing demonstration and/or pilot models. Related training, supplies, equipment, and non-USG personnel are included.

Program SubElement 6.4.2: Program Design and Learning

Definition: Develop and conduct needs assessments, baseline studies, targeted evaluations, special studies or other information-gathering efforts specifically for the design, monitoring and evaluation of USG-funded programs. This sub-element may also include developing and disseminating best practices and lessons learned, testing demonstration and/or pilot models, or the preparation of strategic plans and other short-term programming tasks. Note: All such activities that are carried out by partners as an integral part of their monitoring and evaluation efforts for programs funded under other sub-elements should be included within those sub-elements.

Program SubElement 6.4.3: Personnel

Definition: Provide staff to help manage, administer and support programs in this area including related salaries, travel, housing, office space, equipment, training, and other personnel-related expenses (e.g. ICASS costs).

Program Area 7: Economic Opportunity

Efforts aimed at helping poor households (especially female-headed household as they are often the most disadvantaged) connect to the economic opportunities created by growth. It includes both efforts to enhance the current income-earning prospects of poor households, as well as efforts to ensure that they can accumulate and protect productive assets.

Program Element 7.1: Inclusive Financial Markets

Definition: Support equitable access to essential financial services (credit, savings, insurance, leasing, remittances and payment services) of diverse providers (including banks, credit unions, NGOs, non-bank financial institutions, buyers, and suppliers) to low-incomes families and female and male-owned micro-scale enterprises/activities.

Program SubElement 7.1.1: Policy Environment for Microfinance

Definition: Improve the policy and regulatory environment affecting the establishment, growth, and operations of microfinance institutions.

Program SubElement 7.1.2: Investments in Microfinance

Definition: Provide financial and technical support for start-up, expansion, new product development, and other forms of capacity-building of retail microfinance institutions, as well as investments in the market infrastructure (e.g., credit information bureaus, ratings agencies, accountants and specialized service providers, credit enhancements, and other capital access mechanisms) that increase access to financial services for those women and men currently excluded.

Program Element 7.2: Policy Environment for Micro and Small Enterprises

Definition: Reduce national and local barriers to registering and operating micro and small enterprises by improving the policies, laws, regulations, and institutions affecting these enterprises.

Program SubElement 7.2.1: Reduce Barriers to Registering Micro and Small Enterprises

Definition: Reduce the complexity and cost of national and local procedures used to register micro and small enterprises.

Program SubElement 7.2.2: Reduce Regulatory Burden on Micro and Small Enterprises

Definition: Reduce the complexity and cost of complying with national and local regulations affecting the operations of existing micro and small enterprises.

Program Element 7.3: Strengthen Microenterprise Productivity

Definition: Support the start-up and expansion of self-employment and micro and small enterprises owned and operated by low-income people.

Program SubElement 7.3.1: Microenterprise Business Development Services

Definition: Increase the accessibility, availability, relevance, and sustainability of business services, training and extension, inputs, equipment, and technologies that equitably respond to the needs and capacities of female and male-owned micro-scale firms. Improve laws, regulations, and policies that limit the availability of business services for women- and men-owned micro and small enterprises.

Program SubElement 7.3.2: Value Chains for Micro and Small Enterprises

Definition: Help microbusinesses and small-scale producers take advantage of and meet the requirements of higher-value end markets (domestic, regional, or international), usually by partnering with larger-scale firms.

Program SubElement 7.3.3: Entrepreneurship Development

Definition: Promote effective entrepreneurship development and support models for adults, youth, and specially disadvantaged populations.

Program Element 7.4: Inclusive Economic Law and Property Rights

Definition: Ensure that poor people, women, and other disadvantaged groups have equal legal rights and protection in economic matters.

Program SubElement 7.4.1: Equal Economic Rights for Women and Other Disadvantaged Groups

Definition: Eliminate sources of legal discrimination against women, ethnic and religious minorities, and other disadvantaged groups in economic matters. Includes de facto, as well as, de jure discrimination. Includes efforts to ensure equal rights for women in key economic areas such as land ownership and inheritance.

Program SubElement 7.4.2: Property Rights for the Poor

Definition: Strengthen and protect property rights of poor households, including titling of urban and rural land held under informal or traditional ownership; and registration of property to allow it to be pledged as collateral.

Program Element 7.5: Program Support

Definition: This is a special element that is used to support: 1) activities that strengthen the ability of host country institutions and the USG to use strategic information for decision-making, program performance assessment, and learning; and 2) the staffing and tools needed by the USG for program management and oversight under this area.

Program SubElement 7.5.1: Host Country Strategic Information Capacity

Definition: Establish and/or strengthen host country institutions' management information systems (MIS) and their development and use of tools and models to collect, analyze and disseminate a variety of information related to the program area. These may include, but are not limited to MIS for government ministries or other host country institutions, needs assessments, baseline studies, censuses and surveys, targeted evaluations, special studies, routine surveillance, data quality assessments, and operational research. This sub-element may also include developing and disseminating best practices and lessons learned and testing demonstration and/or pilot models. Related training, supplies, equipment, and non-USG personnel are included.

Program SubElement 7.5.2: Program Design and Learning

Definition: Develop and conduct needs assessments, baseline studies, targeted evaluations, special studies or other information-gathering efforts specifically for the design, monitoring and evaluation of USG-funded programs. This sub-element may also include developing and disseminating best practices and lessons learned, testing demonstration and/or pilot models, or the preparation of strategic plans and other short-term programming tasks. Note: All such activities that are carried out by partners as an integral part of their monitoring and evaluation efforts for programs funded under other sub-elements should be included within those sub-elements.

Program SubElement 7.5.3: Personnel

Definition: Provide staff to help manage, administer and support programs in this area including related salaries, travel, housing, office space, equipment, training, and other personnel-related expenses (e.g. ICASS costs).

Program Area 8: Environment

Ensure that the environment and the natural resources upon which human lives and livelihoods depend are managed in ways that sustain productivity and growth as well as a healthy population.

Program Element 8.1: Natural Resources and Biodiversity

Definition: Conserve biodiversity and manage natural resources in ways that maintain their long-term viability and preserve their potential to meet the needs of present and future generations. Activities include combating illegal and corrupt exploitation of natural resources and the control of invasive species. Programs in this element should be integrated with the Agriculture Area under Economic Growth and Conflict Mitigation and Reconciliation Area under the Peace and Security Objective, when applicable and appropriate.

Program SubElement 8.1.1: Natural Resources Policy and Governance

Definition: Promote participatory, equitable and transparent governance structures, policies, laws, regulations, and administrative practices impacting the conservation and sustainable management of natural resources services, including combating illegal and corrupt exploitation of such resources.

Program SubElement 8.1.2: Sustainable Natural Resources Management and Production

Definition: Promote and improve sustainable management of natural resources. Incorporate sustainable natural resource management practices and technologies into economically productive sectors. Increase sustainable production, marketing, and trade of natural resource-based products and services.

Program SubElement 8.1.3: Biodiversity Policy and Governance

Definition: Promote participatory, equitable and transparent governance structures, policies, laws, regulations, and administrative practices impacting the conservation and sustainable management of biodiversity services, including combating illegal and corrupt exploitation of such resources.

Program SubElement 8.1.4: Biodiversity Conservation

Definition: Improve biodiversity conservation, enhance management effectiveness, and expand/maintain natural ecosystems and habitats managed primarily to protect and conserve biodiversity and associated ecosystem services. Control the spread of invasive species.

Program SubElement 8.1.5: International Cooperation

Definition: Improve the extent to which international and regional organizations, agreements, and institutions reflect the natural resources management, ecosystem services, and biodiversity conservation objectives of U.S. foreign policy and assistance, and are in turn reflected in national, regional, and global policies and action.

Program SubElement 8.1.6: Science, Technology and Information

Definition: Build the scientific, technological, and information capacity necessary for science-based measurement, monitoring and decision-making in natural resources, ecosystem services and biodiversity-related sectors.

Program Element 8.2: Clean Productive Environment

Definition: Improve sustainability of a productive and clean environment by reducing risks to the health of the workforce and the population in general, communities, and ecosystems from environmental pollution and other environmental risks associated with industrial and agricultural production, urbanization, energy use, transport, and other human activity.

Program SubElement 8.2.1: Clean Productive Environment Policy and Governance

Definition: Strengthen legal, policy, and institutional frameworks to improve implementation, enforcement, and compliance with national environmental laws and international commitments; strengthen access to information, public participation, and access to justice in environmental decision-making.

Program SubElement 8.2.2: Clean Production

Definition: Promote environmentally sound technologies and cleaner production practices that reduce raw material, water and energy inputs in production

processes. It includes programs to reduce, prevent and mitigate water pollution to reduce human health risks from water and to enhance beneficial uses of water.

Program SubElement 8.2.3: Clean Energy

Definition: Promote environmentally sound and efficient energy production technologies and practices that reduce energy production inputs and reduce levels of pollution. Linkages should be made to program sub-element 4.1.6 Energy Efficiency under the Economic Growth Objective.

Program SubElement 8.2.4: Climate Change

Definition: Climate change includes the modifications to the earth's surface temperature, especially global warming, caused by human activities. Activities to address this include: reduction of greenhouse gas (GHG) emissions, increases in carbon sequestration, and reduction of vulnerability of countries by improving their adaptive capacity to handle the impacts of climate change. Some forestry programs in the Agriculture Area may also contribute to carbon sequestration and should indicate this under "Climate Change" in the "key issues" of the Foreign Assistance Coordination and Tracking System.

Program SubElement 8.2.5: Air Quality

Definition: Decrease emissions or air pollutants to reduce their impact on local health, regional and hemispheric health and ecosystem risks from long-range transport, and global environmental impacts.

Program SubElement 8.2.6: Sound Management of Waste

Definition: Improve management of solid waste, including promoting product reuse and recycling and environmentally sound waste transport, treatment, and disposal practices, to reduce risks to human health, the environment and future growth.

Program SubElement 8.2.7: Toxic Substances

Definition: Improve the management of, and reduce risks posed by, Persistent Bioaccumulative Toxics (PBTs), heavy metals, Persistent Organic Pollutants (POPs), and other hazardous, toxic, and infectious substances.

Program SubElement 8.2.8: Science and Technology as a Tool for Environmental Decision-Making

Definition: Build international scientific, technological, and information capacity to understand, communicate, and solve environmental problems.

Program Element 8.3: Program Support

Definition: This is a special element that is used to support: 1) activities that strengthen the ability of host country institutions and the USG to use strategic information for decision-making, program performance assessment, and learning; and 2) the staffing and tools needed by the USG for program management and oversight under this area.

Program SubElement 8.3.1: Host Country Strategic Information Capacity

Definition: Establish and/or strengthen host country institutions' management information systems (MIS) and their development and use of tools and models to collect, analyze and disseminate a variety of information related to the program area. These may include, but are not limited to MIS for government ministries or other host country institutions, needs assessments, baseline studies, censuses and surveys, targeted evaluations, special studies, routine surveillance, data quality

assessments, and operational research. This sub-element may also include developing and disseminating best practices and lessons learned and testing demonstration and/or pilot models. Related training, supplies, equipment, and non-USG personnel are included.

Program SubElement 8.3.2: Program Design and Learning

Definition: Develop and conduct needs assessments, baseline studies, targeted evaluations, special studies or other information-gathering efforts specifically for the design, monitoring and evaluation of USG-funded programs. This sub-element may also include developing and disseminating best practices and lessons learned, testing demonstration and/or pilot models, or the preparation of strategic plans and other short-term programming tasks. Note: All such activities that are carried out by partners as an integral part of their monitoring and evaluation efforts for programs funded under other sub-elements should be included within those sub-elements.

Program SubElement 8.3.3: Personnel

Definition: Provide staff to help manage, administer and support programs in this area including related salaries, travel, housing, office space, equipment, training, and other personnel-related expenses (e.g. ICASS costs).

HUMANITARIAN ASSISTANCE: To save lives, alleviate suffering, and minimize the economic costs of conflict, disasters and displacement. Humanitarian assistance is provided on the basis of need according to principles of universality, impartiality and human dignity. It is often organized by sectors, but requires an integrated, coordinated and/or multi-sectoral approach to be most effective. Emergency operations will foster the transition from relief, through recovery, to development, but they cannot and will not replace the development investments necessary to reduce chronic poverty or establish just social services.

SUMMARY

Program Area 1: Protection, Assistance and Solutions

- Program Element 1.1: Protection and Solutions**
 - Program SubElement 1.1.1: International Laws and Principles**
 - Program SubElement 1.1.2: Protection of Vulnerable Populations**
 - Program SubElement 1.1.3: Durable Solutions**
- Program Element 1.2: Assistance and Recovery**
 - Program SubElement 1.2.1: First Response and Immediate Interventions**
 - Program SubElement 1.2.2: Water and Sanitation Commodities and Services**
 - Program SubElement 1.2.3: Health, Food, and Nutrition Commodities and Services**
 - Program SubElement 1.2.4: Shelter and Camp Management Commodities and Services**
 - Program SubElement 1.2.5: Livelihood Support, Infrastructure Rehabilitation and Services**
- Program Element 1.3: Program Support**
 - Program SubElement 1.3.1: Host Country and Partner Strategic Information Capacity**
 - Program SubElement 1.3.2: Program Design and Learning**
 - Program SubElement 1.3.3: Personnel**

Program Area 2: Disaster Readiness

- Program Element 2.1: Capacity Building, Preparedness, and Planning**
 - Program SubElement 2.1.1: Planning and Preparedness**
- Program Element 2.2: Mitigation**
 - Program SubElement 2.2.1: Protective Infrastructure**
 - Program SubElement 2.2.2: Enhanced Coping Mechanisms**
- Program Element 2.3: Program Support**
 - Program SubElement 2.3.1: Host Country and Partner Strategic Information Capacity**
 - Program SubElement 2.3.2: Program Design and Learning**
 - Program SubElement 2.3.3: Personnel**

Program Area 3: Migration Management

- Program Element 3.1: Protection and Assistance**
 - Program SubElement 3.1.1: Protection of vulnerable migrants**
 - Program SubElement 3.1.2: Return, Reintegration and Relocation**
- Program Element 3.2: Institutional Support and Capacity-building**
 - Program SubElement 3.2.1: Humane and Orderly Migration Systems**

Program SubElement 3.2.2:	Institutional Support to IOM
Program SubElement 3.2.3:	Regional Consultative Processes
Program Element 3.3:	Program Support
Program SubElement 3.3.1:	Host Country and Partner Strategic Information Capacity
Program SubElement 3.3.2:	Program Design and Learning
Program SubElement 3.3.3:	Personnel

DEFINITIONS:

Program Area 1: Protection, Assistance and Solutions

The provision of effective protection, assistance, and durable solutions for refugees, internally displaced persons (IDPs), and other victims of conflict and disasters.

Program Element 1.1: Protection and Solutions

Definition: Ensure full respect for the rights of the individual and communities in accordance with the letter and the spirit of the relevant bodies of law (international humanitarian, human rights, and refugee law). This involves both legal and practical approaches for implementation in humanitarian situations, including efforts to ensure humanitarian access, incorporate protection strategies in assistance programming and other measures to reduce vulnerability and uphold human dignity for all victims of conflict and disasters. Activities included herein should be linked to relevant GJD/Human Rights elements.

Program SubElement 1.1.1: International Laws and Principles

Definition: Comply with international humanitarian, human rights and refugee laws and principles, including codes of conduct prohibiting exploitation and abuse. Includes monitoring of compliance with international laws and codes by UN and other organizations; and support for national efforts to adopt laws and systems to protect and manage refugees and displaced persons.

Program SubElement 1.1.2: Protection of Vulnerable Populations

Definition: Protect vulnerable populations, including refugees, IDPs, host populations, women, children, elderly persons, persons with disabilities, minorities, and other at-risk populations during all phases of humanitarian response based on impartial assessment and unimpeded access. This includes legal protection, but for Physical Security, this must be combined with Peace and Security.

Program SubElement 1.1.3: Durable Solutions

Definition: Support the voluntary return and reintegration, local integration, and resettlement for refugees and IDPs. Follow-up support for reintegration should be funded under the appropriate elements of the various sectors in Economic Growth and/or Investing in People. Refugees in need of resettlement to a third country are admitted to the United States as a durable solution to their plight. The number of refugees admitted annually to the U.S. is determined by the President. Activities include the identification/referral of refugees in need of resettlement, the provision of security, anti-fraud, and medical screening, as well as the provision of cultural orientation. Refugees are transported to the U.S. and provided initial services to help them begin the process of becoming self-sufficient, fully integrated members of U.S.

Program Element 1.2: Assistance and Recovery

Definition: Provide goods, personnel, services and assistance to meet basic human needs in order to foster transition from relief according to principles of universality, impartiality and human dignity. This element should be done, when possible, as part of an integrated, coordinated and/or multi-sectoral approach.

Program SubElement 1.2.1: First Response and Immediate Interventions

Definition: Deploy/activate personnel; Disaster Assistance Response Teams; Response Management Teams; assessment teams; search and rescue; medical responders; release of funds to a disaster; local purchase and/or stockpiling and pre-positioning of material, equipment, supplies/food; technical know-how and expertise.

Program SubElement 1.2.2: Water and Sanitation Commodities and Services

Definition: Procure goods and services; rehabilitate/reconstruct infrastructure; hygiene promotion; training and education; proper preservation, storage, and use of potable water; basic sanitation standards and practices; irrigation; and waste disposal. Activities included herein should be linked to relevant IIP/Health, EG/Environment, and/or EG/Infrastructure activities for surrounding communities.

Program SubElement 1.2.3: Health, Food, and Nutrition Commodities and Services

Definition: Procure goods and services; distribute food; and support food-based market assistance, nutrition surveillance, primary health care, reproductive health, health surveillance, mobile clinics, supplementary feeding, community- and center-based therapeutic care, and educational services. Activities included herein should be linked to relevant IIP/Health, EG/Environment, and/or EG/Infrastructure activities for surrounding communities.

Program SubElement 1.2.4: Shelter and Camp Management Commodities and Services

Definition: Procure goods and services, construct and manage camps/shelter, support host-families, rehabilitate/reconstruct shelter facilities (family and community), provide appropriate lighting and services, and other protection activities.

Program SubElement 1.2.5: Livelihood Support, Infrastructure Rehabilitation and Services

Definition: Support quick impact livelihood rehabilitation and restoration activities; provision of goods, services, productive infrastructure, income generation and micro-enterprise initiatives; cash-for-work, food-for-work and other works programs; productive input provisions (seeds, tools, livestock); training, equipping and education. Activities included herein should be linked to the appropriate sector in IIP/Social Services and/or EG, above.

Program Element 1.3: Program Support

Definition: This is a special element that is used to support: 1) activities that strengthen the ability of host country institutions, partners, and the USG to use strategic information for decision-making, program performance assessment, and learning; and 2) the staffing and tools needed by the USG for program management and oversight under this area.

Program SubElement 1.3.1: Host Country and Partner Strategic Information Capacity

Definition: Establish and/or strengthen host country institutions' and partners' management information systems (MIS) and their development and use of tools and models to collect, analyze and disseminate a variety of information related to the program area. These may include, but are not limited to MIS for government ministries or other host country institutions, needs assessments, baseline studies, censuses and surveys, targeted evaluations, special studies, routine surveillance, data quality assessments, and operational research. This sub-element may also include developing and disseminating best practices and lessons learned and testing demonstration and/or pilot models. Related training, supplies, equipment, and non-USG personnel are included.

Program SubElement 1.3.2: Program Design and Learning

Definition: Develop and conduct needs assessments, baseline studies, targeted evaluations, special studies or other information-gathering efforts specifically for the design, monitoring and evaluation of USG-funded programs. This sub-element may also include developing and disseminating best practices and lessons learned, testing demonstration and/or pilot models, or the preparation of strategic plans and other short-term programming tasks. Note: All such activities that are carried out by partners as an integral part of their monitoring and evaluation efforts for programs funded under other sub-elements should be included within those sub-elements.

Program SubElement 1.3.3: Personnel

Definition: Provide staff to help manage, administer and support programs in this area including related salaries, travel, housing, office space, equipment, training, and other personnel-related expenses (e.g. ICASS costs).

Program Area 2: Disaster Readiness

Improvement of the capacity of the USG, host countries and the international community to reduce vulnerabilities to disasters and respond better to humanitarian emergencies.

Program Element 2.1: Capacity Building, Preparedness, and Planning

Definition: Improve the ability of the USG, host countries and other partners to prepare for and mitigate the effects of disasters, including both natural disasters and complex emergencies, taking into account the differences in men and women's freedom of movement and access to information. Activities under this component include any efforts to enhance the capacities of the USG (in Washington and in the field), humanitarian assistance providers, national host-country authorities, and local communities to engage in disaster reduction and response activities. Activities consist of standardized and coordinated assessments, monitoring, information sharing, data and situational analysis, joint planning; enhancement of coping mechanisms, including the capacity to address adaptation to constantly changing situations on the ground including climate variability and climate change.

Program SubElement 2.1.1: Planning and Preparedness

Definition: Improve the ability of countries to respond to humanitarian crisis through better advanced planning & preparedness (by USG, international partners, host country governments, NGOs & communities). This could include support for guidelines and policies, disaster response plans, coordination plans,

and attention to the constraints that may limit the ability to respond quickly and effectively to emergencies.

Program Element 2.2: Mitigation

Definition: Reduce the likelihood that a shock will occur, limit the damage caused by a shock, and increase the affected population's ability to cope with and recover from the effects of a shock. Focus is on disaster-prone countries and communities.

Program SubElement 2.2.1: Protective Infrastructure

Definition: Strengthen community infrastructure to reduce and buffer shocks-- flood proofing of settlements, sustainable water interventions, earthquake resistant housing, public buildings and cyclone shelters.

Program SubElement 2.2.2: Enhanced Coping Mechanisms

Definition: Support short-term interventions to increase community resiliency enabling individuals/communities to meet minimum food and water consumptions during times of stress. Equitable access to seeds and tools, buffer stocks and grain banks.

Program Element 2.3: Program Support

Definition: This is a special element that is used to support: 1) activities that strengthen the ability of host country institutions, partners', and the USG to use strategic information for decision-making, program performance assessment, and learning; and 2) the staffing and tools needed by the USG for program management and oversight under this area.

Program SubElement 2.3.1: Host Country and Partners' Strategic Information Capacity

Definition: Establish and/or strengthen host country institutions' and partners' management information systems (MIS) and their development and use of tools and models to collect, analyze and disseminate a variety of information related to the program area. These may include, but are not limited to MIS for government ministries or other host country institutions, needs assessments, baseline studies, censuses and surveys, targeted evaluations, special studies, routine surveillance, data quality assessments, and operational research. This sub-element may also include developing and disseminating best practices and lessons learned and testing demonstration and/or pilot models. Related training, supplies, equipment, and non-USG personnel are included.

Program SubElement 2.3.2: Program Design and Learning

Definition: Develop and conduct needs assessments, baseline studies, targeted evaluations, special studies or other information-gathering efforts specifically for the design, monitoring and evaluation of USG-funded programs. This sub-element may also include developing and disseminating best practices and lessons learned, testing demonstration and/or pilot models, or the preparation of strategic plans and other short-term programming tasks. Note: All such activities that are carried out by partners as an integral part of their monitoring and evaluation efforts for programs funded under other sub-elements should be included within those sub-elements.

Program SubElement 2.3.3: Personnel

Definition: Provide staff to help manage, administer and support programs in this area including related salaries, travel, housing, office space, equipment, training, and other personnel-related expenses (e.g. ICASS costs).

Program Area 3: Migration Management

Build the capacity of governments and civil society for effective, orderly, and humane migration management policies and systems at the national and regional levels, including programs and activities to protect and assist vulnerable migrants. This includes support to the United Israel Appeal, under which the U.S. government provides assistance for the resettlement in Israel of humanitarian migrants from the former Soviet Union, countries in Eastern Europe, Africa and the Near East, and other countries of distress. Jews who face anti-Semitism and risks to their safety are resettled to an environment where their religion and ethnicity are in the majority, with assistance to achieve self-sufficiency and integrate into Israeli society.

Program Element 3.1: Migrant Protection and Assistance

Definition: Ensure full respect for the human rights of migrants in accordance with law, as well as the provision of goods, personnel support, and services to meet basic needs of vulnerable migrants.

Program SubElement 3.1.1: Protection of Vulnerable Migrants

Definition: Support prevention programs and protection (legal and physical) for vulnerable migrants.

Program SubElement 3.1.2: Return, Reintegration and Relocation

Definition: Provide small-scale cash and material assistance to reintegrate returning vulnerable migrants. For migrants to Israel, support is provided for care, processing en route, transport, transitional housing, and vocational and Hebrew language training.

Program Element 3.2: Institutional Support and Capacity-Building

Definition: Strengthen national and regional capacities to manage migration effectively. Also includes the U.S. Government's institutional relationship with the International Organization for Migration (IOM) including formulation and coordination of U.S. policy positions related to the organization's administrative budget, management and operations, and participation in IOM governing bodies.

Program SubElement 3.2.1: Promotion of Humane and Orderly Migration Systems

Definition: Promote better managed migration systems, including access to asylum and other protection mechanisms, respect for human rights, adherence to other applicable international legal instruments. Security and border control linked to migrants is included under P&S 2.6.1 and those to trafficking and migrant smuggling under P&S 5.3.2

Program SubElement 3.2.2: Institutional Support to IOM

Definition: Provide the IOM assessed contribution as mandated by statute and tax reimbursement, other voluntary contributions, and U.S. secondees to the organization in support of IOM programming of priority interest to the U.S.

Program SubElement 3.2.3: Regional Consultative Processes

Definition: Provide technical and financial support to groups of governments and relevant international and non-governmental organizations, which share best practices and strengthen national capacities to effectively manage migration, including, inter alia, the Regional Conference on Migration, the Intergovernmental Consultations on Asylum, Refugee, and Migration Policies, the Migration Dialogue for Southern Africa.

Program Element 3.3: Program Support

Definition: This is a special element that is used to support: 1) activities that strengthen the ability of host country institutions, key partners, and the USG to use strategic information for decision-making, program performance assessment, and learning; and 2) the staffing and tools needed by the USG for program management and oversight under this area.

Program SubElement 3.3.1: Host Country and Partner Strategic Information Capacity

Definition: Establish and/or strengthen host country institutions' and partners' management information systems (MIS) and their development and use of tools and models to collect, analyze and disseminate a variety of information related to the program area. These may include, but are not limited to MIS for government ministries or other host country institutions, needs assessments, baseline studies, censuses and surveys, targeted evaluations, special studies, routine surveillance, data quality assessments, and operational research. This sub-element may also include developing and disseminating best practices and lessons learned and testing demonstration and/or pilot models. Related training, supplies, equipment, and non-USG personnel are included.

Program SubElement 3.3.2: Program Design and Learning

Definition: Develop and conduct needs assessments, baseline studies, targeted evaluations, special studies or other information-gathering efforts specifically for the design, monitoring and evaluation of USG-funded programs. This sub-element may also include developing and disseminating best practices and lessons learned, testing demonstration and/or pilot models, or the preparation of strategic plans and other short-term programming tasks. Note: All such activities that are carried out by partners as an integral part of their monitoring and evaluation efforts for programs funded under other sub-elements should be included within those sub-elements.

Program SubElement 3.3.3: Personnel

Definition: Provide staff to help manage, administer and support programs in this area including related salaries, travel, housing, office space, equipment, training, and other personnel-related expenses (e.g. ICASS costs).

ANNEX D: List of Operating Units Required to Submit FY2007 Operational Plans

Fast-Track Countries

Afghanistan
Angola
Bangladesh
Benin
Bolivia
Botswana
Burkina Faso
Burundi
Cambodia
Cameroon
Cape Verde
Central African Republic
Chad
Colombia
Comoros
Cote d'Ivoire
Democratic Republic of the Congo
Djibouti
Egypt
Equatorial Guinea
Eritrea
Ethiopia
Gabon
Gambia
Ghana
Guatemala
Guinea
Guinea-Bissau
Haiti
Honduras
India
Indonesia
Jordan
Kenya
Lebanon
Lesotho
Liberia
Madagascar
Malawi
Mali
Mauritania
Mauritius

Mexico
Mozambique
Namibia
Nepal
Niger
Nigeria
Pakistan
Peru
Philippines
Republic of the Congo
Rwanda
Sao Tome and Principe
Senegal
Seychelles
Sierra Leone
Somalia
South Africa
Sudan
Swaziland
Tanzania
Togo
Uganda
Vietnam
Zambia
Zimbabwe

USAID-only Countries

Albania
Armenia
Azerbaijan
Belarus
Bosnia and Herzegovina
Brazil
China
Cuba
Cyprus
Dominican Republic
East Timor
Ecuador
El Salvador
Georgia
Guyana
Iraq

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Ireland
Israel
Jamaica
Kazakhstan
Kosovo
Kyrgyz Republic
Macedonia
Moldova
Mongolia
Montenegro
Morocco
Nicaragua
Panama
Paraguay
Russia
Serbia
Sri Lanka
Tajikistan
Turkey
Turkmenistan
Ukraine
Uzbekistan
West Bank and Gaza
Yemen

USAID Regional Platforms

AFR

USAID Central Africa Regional
USAID East Africa Regional
USAID Southern Africa Regional
USAID West Africa Regional

ANE

USAID Central Asia Regional
USAID Middle East Regional
USAID Regional Development Mission-
Asia
USAID South Asia Regional

LAC

USAID Caribbean Regional
USAID Central America Regional
USAID South America Regional

USAID Headquarters Bureaus

USAID Africa Regional
USAID Asia Near East Regional

USAID Democracy, Conflict and
Humanitarian Assistance
USAID Economic Growth, Agriculture and
Trade
USAID Europe & Eurasia Regional Bureau
USAID Global Development Alliance
USAID Global Health
USAID Latin America & Caribbean
Regional
USAID Legislative & Public Affairs
USAID Policy and Program

ANNEX E: F Regional and Global/Functional Lead Point of Contact Information

Provided here are the Regional Leads. An updated annex will be provided with Core Team Leads for each country.

Africa Region (AF/AFR)	Andy Sisson
East Asia and Pacific Region (EAP/ANE)	Marcia Wong
Europe and Eurasia Region (EUR/E&E)	Dan Rosenblum
Near East Asia Region (NEA/ANE)	Jenny Jones
South and Central Asia Region (SCA/ANE)	Marcia Wong
Western Hemisphere Region (WHA/LAC)	Charles North
Global/Functional Programs	Jonathan Margolis

Annex F: Schedule of Operational Plan Training Events

DC-Based Trainings

Audience	Dates	2-to-3 hour sessions Times	Location
ANE/NEA/SCA/EAP	October 13 th	9am – 12pm	Ronald Reagan Building, Room B1 – Guatemala Room
ANE/NEA/SCA/EAP	October 13 th	2pm – 5pm	Ronald Reagan Building, Room B1 – Guatemala Room
Open	October 16 th	2pm – 5pm	Main State HST Rm 5936
Open	October 17 th	9am – 12pm	Main State HST Rm 5936
Open	October 19 th	2pm – 5pm	Main State HST Rm 5936
Open	October 23 rd	2pm – 5pm	Main State HST Rm 5936
Open	October 26 th	2pm – 5pm	Main State HST Rm 5936
Open	October 27 th	9am – 12pm	Main State HST Rm 5936
Open	October 30 th	2pm – 5pm	Main State HST Rm 5936
Open	November 2 nd	9am – 12pm	Main State HST Rm 5936

RSVPs by email to Mike Thompson (mithompson@usaid.gov)

Audience	Dates	2 day sessions Times	Location
ANE/NEA/SCA/EAP	October 16 th & October 17 th	9am – 5pm	Ronald Reagan Building, Room B1 – Moscow Room
ANE/NEA/SCA/EAP	October 18 th & October 19 th	9am – 5pm	Ronald Reagan Building, Room B1 – Moscow Room
AFR/AF	October 19 th & October 20 th	9am – 5pm	Embassy Suites Hotel 900 10 th Street, NW

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Audience	Dates	Times	Location
LAC/WHA	October 24th & October 25th	9am – 5pm	Ronald Reagan Building, Executive Conference Room, Center for Association Leadership
EUR/E&E	October 26th & October 27th	9am – 5pm	TBD
GH, Other USAID Bureaus	October 30th & October 31st	9am – 5pm	TBD
DCHA/DRL/PRM	November 1st & November 2nd	9am – 5pm	600 13th St, NW suite 660
Open to All	November 6th & November 7th	9am – 5pm	Main State HST Room 1205

RSVPs:

Shannon Green and Monica McQueary, ANE/SPO
 Hannah Marsh, LAC/EMT
 Carl Seagrave, AFR/DP
 Kevin Brownawell, E&E/PO
 Karen Hilliard and Mary Riley, GH
 Sue Parks, DCHA
 Parrie Henderson-O'Keefe, Open sessions

Field-Based Trainings

Audience	Dates	Location
EUR/E&E	October 6 & October 7	Budapest
EUR/E&E	October 10 & October 11	Kiev
East Africa	October 18th – October 20th	Dar Es Salaam
Southern Africa	October 25th – October 27th	Pretoria
West Africa	October 31st – November 2nd	Accra
NEA/ANE	October 29th – October 31st	Cairo
SCA/ANE	November 1st – November 3rd	New Delhi

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EAP/ANE	November 1st – November 3rd	Bangkok
WHA/LAC	November 13th – November 15th	San Salvador
WHA/LAC	November 15th & November 17th	Lima

ANNEX G: Legacy Systems and Requirements

The Operational Plans govern the implementation of U.S. Foreign Assistance, and Thus, the Operational Plan will replace parts of the former Mission Performance Plan (MPP), but not the sections that covered diplomatic and management goals. Reporting on diplomatic and management goals will now be done through a new system called the Mission Strategic Plan (MSP). S/RM/SPP will be seeking regional bureau and mission input for the MSP requirements necessary to complement the Operational Plan. Guidance on the revised MSP document and process will be issued in February.

Within USAID, Operating Units will no longer use the Annual Report to *plan* future foreign assistance uses. A greatly reduced version of the Annual Report will go out to collect FY 2006 actual performance information, OE and workforce. Future use of a revised Annual Report system to capture USAID specific OE and personnel expenses is under consideration. More details will be forthcoming in the near future.

HIV/AIDS activities being reported to OGAC in FY2007: For those countries completing either full FY2007 Country Operational Plans (COPs) or mini FY2007 COPs through the COPRS system to OGAC, the HIV/AIDS funding does not need not be reentered in the FACTS system. This includes all HIV/AIDS funds for these countries (GHAI, CSH, FSA, ESF, etc.). F will work with OGAC to ensure that HIV/AIDS data is included as needed, therefore relieving the field of duplication of entry. For FY2008, F and OGAC are working together to ensure information can be gathered holistically while not duplicating work.

President's Malaria Initiative (PMI): The seven focus countries (Senegal, Malawi, Uganda, Angola, Rwanda, Tanzania, and Mozambique) have completed FY2007 Malaria Operational Plans and submitted them to the PMI Coordinator. These MOPs will be reviewed by the PMI Coordinator and the Interagency PMI Steering Group in late October with participation of F staff. The results of the review will be submitted to Ambassador Tobias for his approval. There will be no further review of malaria funding under the OP process for PMI focus countries. The seven PMI focus countries will not enter their malaria information into the FACTS. GH/PMI will take responsibility for entering this data for PMI focus countries, therefore relieving the field of duplication of entry. All non-focus PMI countries will follow the F OP process.

Annex H: Guidance on Budget Prioritization

This document should be no more than 3 pages in length and include the following information:

1. Priority Program Elements and why?
2. List of Program Elements that would be increase in the event of a 10% budget increase. Include amount of increase for each Program Element.
3. Briefly describe the overall affect to your program of the proposed increases.
4. List of Program Elements that would be reduced in the event of a 10% budget reduction. Include the amount of reduction for each Program Element.
5. Briefly describe the overall affect to your program of the proposed reductions.

Annex J: Template for Justification for One Partner Receiving More Than 15% of Funds

This justification should be no more than a page long and it should include the below information.

6. Context (state role of the organization).
7. How is the performance of the organization in terms of achieving targets?
8. Provide some brief financial information that may contribute to the rationale. For example, what is their pipeline? How cost-efficient are they relative to other implementing partners?
9. Summary rationale.

Annex K: Guidance for Adding Organizations to FACTS

For any organization (vendor) that you would like to have added to the FACTS system, please use the New Organization Template available in FACTS. This template includes the pieces of information listed below. All information must be included. A sample of what the template looks like is below.

Once you have completed the template, send it to support@usgfacts.net. We must get the listing of all organizations to be added prior to January 12th in order to guarantee that the organization will be available in the system prior to the January 31st due date.

- Name – This needs to be the correct, legal name of the organization. This should not include acronyms (unless it is the legal name) or project/program names.
- Type 1– There are several options for organization type including: , Non Governmental Organization (NGO) [non-profit organizations], Higher Education Institution, Private Contractor, Host Government Agency, Multi-Lateral Organization, Parastatal, and USG Agency. (Please see the glossary for definitions of the organization types.)
- Type 2 – This designation is for Minority Serving Institutions (MSI), 8-A Firms, and Faith-Based Organization (FBO). If none of these apply, select N/A.
- Headquarter Location – There are two options for location, local and non local. A local organization is any organization whose headquarters is in the country or multi-country region where the work is being undertaken and where the majority of the senior staff of the organization is from that country or region. Non local are all other locations.

Organization Name	Organization Type 1	Organization Type 2	Local	Acronym	Associated Country

ANNEX L: Glossary

Annual Procurement Plan: An Operating Unit's plan that identifies all procurement actions in a fiscal year.

Accruals: Expenses incurred but not yet paid. Also called accrued expenditures.

Bilateral Agreements: An agreement between the US government and the host country government.

Cash-Transfers: Includes only direct cash transfers to Host Country Governments.

Central/Functional Implementing Mechanism Location – Select this option if the procurement action is taking place in one of the Functional Bureaus at the Agency headquarters. This would include field support (USAID) to a functional bureau managed activity, MAARDS (USAID) to a functional bureau managed activity, buy-ins to functional bureau managed activities, task orders to functional bureau managed activities and PASA activities.

Central/Regional Implementing Mechanism Location – Select this option if the procurement action is taking place in one of the Regional Bureaus at the Agency headquarters. This would include field support (USAID) to a regional bureau managed activity, MAARDS (USAID) to a regional bureau managed activity, buy-ins to regional bureau managed activities, tasks orders to regional bureau managed activities and PASA activities.

Cooperative Agreement: A legal instrument used where the principal purpose is the transfer of money, property, services or anything of value to the recipient in order to accomplish a public purpose of support or stimulation authorized by Federal statute and where substantial involvement by the USG is anticipated.

Contract: A mutually binding legal instrument in which the principal purpose is the acquisition, by purchase, lease, or barter, of property or services for the direct benefit or use of the Federal government, or in the case of a host country contract, the host government agency that is a principal, signatory party to the instrument.

Component areas: The distinct types of work that are undertaking in support of the purpose of an implementing mechanism. These answer the question of how we will be supporting the Program Elements and sub-elements outlined in the *Foreign Assistance Standardized Program Structure and Definitions*. Includes: Capital, Commodities, Construction/Infrastructure, Operations Support, Technical Assistance, and Training.

Core Teams: The Washington-based teams, which consist of members from State and USAID geographic and functional (pillar) bureaus, led and managed by the Core Team Lead. The Core Teams serve as a communication link with the field on USG policies and technical expertise affecting the country programs.

Core Team Leads: The F staff member that manages the Core Team. In addition to leading and managing the Core Team, the Core Team Lead facilitates direction on foreign assistance planning and policies for USG agencies in Washington and at Post.

Country Teams: The USG interagency in-Country Team in the field headed by the U.S. Ambassador.

Developing Countries: States with low or lower-middle income, not yet meeting MCC performance criteria, and the criterion related to political rights.

Direct Contract: With this mechanism, the Foreign Assistance resources are more closely managed and the achievement of outputs and results are generated through contract instruments where the USA is a direct party with the implementing entity and USG procurement rules and practices are used (e.g., Federal Acquisition Regulations). Includes direct USG Contracts. The important point is that the program/activity implementer has a direct relationship with the responsible USG Operating Units.

Direct Grant/Cooperative Agreement: With this mechanism, the Foreign Assistance resources are more closely managed and the achievement of outputs and results are generated through agreement or grants instruments where the USA is a direct party with the implementing entity and USG procurement rules and practices are used (e.g., Federal Acquisition Regulations). Includes Grants, and Cooperative Agreements, USG Interagency Agreements such as PASA's, RSSA's, and CASU's. The important point is that the program/activity implementer has a direct relationship with the responsible USG Operating Units.

Host government managed: With this mechanism, the host government enters into a bilateral agreement with the USG Operating Unit (e.g., USAID's Strategic Objective Agreements) and then utilizes host government procurement rules and practices to execute the program/activity, maintain accountability standards and achieve results. Instruments include: Host Country Contracts and Grants, Fixed Amount Reimbursements, Performance Disbursement Agreements, Public Sector Commodity Import Programs, Public Sector Credit/Loan Programs, and Operational Grants.

Foreign Assistance Coordination and Tracking System (FACTS) Data System: The information system designed to capture Operational Plans and performance reporting data for foreign assistance.

Faith-Based Organization (FBO): Nonprofit institutions that have a religious character or mission.

Fast-Track countries: Countries selected to produce Operational Plans and 5-year Strategic Plans *covering both USAID and State assistance* for FY2007.

Field/Bilateral Implementing Mechanism Location – Select this option if the procurement action is taking place in the country where the Operational Plan is being formulated. This

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includes local mechanisms such as, contracts or grants with the host country government, Associate Awards (USAID), and in-country RFA/RFP/RFC that is not yet awarded.

Field/Regional Implementing Mechanism Location – Select this option if the procurement action is taking place in one of the Field Regional Platforms.

Foreign Assistance Framework: A framework that details the overarching foreign assistance goal, foreign assistance Objectives, accounts, illustrative Program Areas, category definitions, end goals, and graduation trajectory.

Functional Core Teams: The teams that serve as primary advisors on technical approaches to program design and best practices.

Glide path: The desired or prescribed path to reach a goal.

Higher Education Institution: University or college.

Host Government Agency: An agency that is run by the government of the country in which a program is run.

Implementing Mechanism: A unique contract, agreement, grant, or other instrument between one USG Agency and one partner that relates to the Program Elements.

Implementing Partner: The organization/vendor that has the contractual relationship with the USG Agency and is undertaking the work.

Minority Serving Institution: Historically Black Colleges and University (HBCUs), Hispanic Serving Institutions (HSIs), and Tribal Colleges and Universities (TCUs).

Multi-Lateral Organization: An organization that has as its members more than two countries.

New Obligation Authority: Funds appropriated in the current fiscal year.

Non Governmental Organization (NGO): Non-profit organizations that are not affiliated with a government entity or agency and operates outside of institutionalized political structures.

Obligation: A term of appropriations law that means some action that creates a definite commitment, which creates a legal liability of the government for the payment of funds for specific goods or services ordered or received. The practical consequence is reservation of a specific amount of available funding for a specific recipient or project-executing agent.

Operating Expenses: Costs related to personnel, other administration costs, rental, and depreciation of fixed assets. Includes costs from program fund accounts as well as Operating Expense accounts.

Operational Plan: An Operational Plan details the implementation plan for foreign assistance funding of a specific fiscal year.

Operating Unit: An Operating Unit is the organizational unit responsible for implementing a foreign assistance program for one or more elements of the Foreign Assistance Framework and thus is writing an Operational Plan for the expenditure of funds and the achievement of results. For the purpose of the FY 2007 Operational Plan Guidance an Operating Unit includes all USG Agencies implementing any funding from the relevant foreign assistance accounts (the 150 accounts) in the Fast Track countries where a joint Operational Plan is to be prepared, as well as USAID offices in the field and Bureaus/offices in Washington where USAID is preparing them alone. Next year, Operating Units will include other USG Agencies as well and will include the joint preparation of Operational Plans by Washington bureaus in State and USAID.

Organization: A vendor or host country institution; an organization becomes a partner by being selected by a USG Agency as either a prime or a sub partner.

Other USG direct: With this mechanism, the Foreign Assistance resources are more closely managed and the achievement of outputs and results are generated through instruments where the USA is a direct party with the implementing entity and USG procurement rules and practices are used (e.g., Federal Acquisition Regulations). Includes those that cannot be classified into one of the 3 direct categories listed above.

Parastatal: A company or agency owned or controlled wholly or partly by the government.

Pipeline levels: The amount of funds obligated, but not expended; the difference between cumulative obligations and cumulative expenditures, including accruals.

Prime partner: An entity which receives funding directly from, and has a direct contractual relationship (Contract, cooperative agreement, grant, etc.) with the USG agency.

Private Contractor: An organization or person that is hired to implement USG programs.

Program Areas: Program area is a mutually exclusive and exhaustive category. This is a very broad level cut at the different segments of foreign assistance, for example, Health, Environment or Counter Narcotics. Program Areas can be funded by more than one appropriation account.

Program Elements: A Program Element is a category within the major Program Areas. Program Elements are mutually exclusive and exhaustive categories and reflect the different elements that make up a Program Area. An example would be HIV/AIDS within Health, Business Enabling Environment within Private Sector Competitiveness, or Alternative Development and Alternative Livelihoods within Counter Narcotics.

Program Sub-Elements: A Program Sub-Element is a category within each Program Element. Program sub-elements are mutually exclusive and exhaustive categories and reflect the different sub-elements that make up a Program Element. An example would be Preventing Mother-to-Child Transmission within HIV/AIDS, Property Rights within Business Enabling Environment,

or Farmer/Community Group Support within Alternative Development and Alternative Livelihoods.

Prorating: The breaking down of comprehensive activities into parts that can then be fit into multiple different Program Areas, Elements, and Sub-Elements.

Rebuilding Countries: States in or emerging from and rebuilding after internal or external conflict.

Regional/Global Programs: Activities that advance the five Objectives outlined in the Foreign Assistance Framework that transcend a single country's borders, and are addressed outside of a country strategy.

Re-programming process: The request and approval of changes to an Operational Plan, after the plan has been approved by F.

Restrictive Countries: States of concern where there are significant governance issues.

Strategic Objectives (SOs): The most ambitious result that a USAID Operating Unit, along with its partners, can materially affect, and for which it is willing to be held accountable. SOs can be designed for an Operating Unit to provide analytic, technical, logistical, or other types of support to the SOs of other Operating Units (whether bi-lateral, multi-country, or global in nature).

Strategic Plan: Brief documents that concisely capture the five year planning horizon and strategic direction of an Operating Unit's foreign assistance programs as articulated in the Foreign Assistance Framework.

Sub-partner: An entity which receives funding from a prime partner.

Sustaining Countries: States with upper-middle income or greater for which U.S. support is provided to sustain partnerships, progress, and peace.

Third party managed: With this mechanism funds are provide to third party entities and it utilizes its procurement rules and practices to execute the program/activity. The USG Operating Unit does not use Federal Acquisition Regulations. In short, the USG relies on the management practices of the Third Party to maintain accountability standards and produce results. These mechanisms may be governed by a bi-lateral agreement between the USG Operating Unit and the host government or by an agreement directly between the USG Operating Units and the third party. Instruments include: Grants to Public Int'l Org.'s, Enterprise Funds, Private Sector Commodity Import Programs, GDA, DCA-Guarantees, Mixed Credits, Endowments, etc.

Transformational Diplomacy: Helping to build and sustain democratic, well-governed states that will respond to the needs of their people and conduct themselves responsibly in the international system.

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Transforming Countries: States with low or lower-middle income, meeting MCC performance criteria, and the criterion related to political rights.

USG Agency: An agency run by the United State's government.

ANNEX M: List and Definitions of the Drop Down Selections

Implementing Mechanism Location

Central/Functional

Select this option if the procurement action is taking place in one of the Functional Bureaus at the Agency headquarters. This would include field support (USAID) to a functional bureau managed activity, MAARDS (USAID) to a functional bureau managed activity, buy-ins to functional bureau managed activities, task orders to functional bureau managed activities and PASA activities.

Central/Regional

Select this option if the procurement action is taking place in one of the Regional Bureaus at the Agency headquarters. This would include field support (USAID) to a regional bureau managed activity, MAARDS (USAID) to a regional bureau managed activity, buy-ins to regional bureau managed activities, tasks orders to regional bureau managed activities and PASA activities.

Field/Bilateral

Select this option if the procurement action is taking place in the country where the Operational Plan is being formulated. This includes local mechanisms such as, contracts or grants with the host country government, Associate Awards (USAID), and in-country RFA/RFP/RFC that is not yet awarded.

Field/Regional

Select this option if the procurement action is taking place in one of the Field Regional Platforms.

Implementing Mechanism Type

Direct Contract

With this mechanism, the Foreign Assistance resources are more closely managed and the achievement of outputs and results are generated through contract instruments where the USA is a direct party with the implementing entity and USG procurement rules and practices are used (e.g., Federal Acquisition Regulations). Includes direct USG Contracts. The important point is that the program/activity implementer has a direct relationship with the responsible USG Operating Units.

Direct Grant/Cooperative Agreement

With this mechanism, the Foreign Assistance resources are more closely managed and the achievement of outputs and results are generated through agreement or grants instruments where the USA is a direct party with the implementing entity and USG procurement rules and practices are used (e.g., Federal Acquisition Regulations). Includes Grants, and Cooperative Agreements, USG Interagency Agreements such as PASA's, RSSA's, and CASU's. The important point is that the program/activity implementer has a direct relationship with the responsible USG Operating Units.

Cash-Transfers

Includes only direct cash transfers to Host Country Governments.

Other USG direct

With this mechanism, the Foreign Assistance resources are more closely managed and the achievement of outputs and results are generated through instruments where the USA is a direct party with the implementing entity and USG procurement rules and practices

are used (e.g., Federal Acquisition Regulations). Includes those that cannot be classified into one of the 3 direct categories listed above.

Host government managed

With this mechanism, the host government enters into a bilateral agreement with the USG Operating Unit (e.g., USAID's Strategic Objective Agreements) and then utilizes host government procurement rules and practices to execute the program/activity, maintain accountability standards and achieve results. Instruments include: Host Country Contracts and Grants, Fixed Amount Reimbursements, Performance Disbursement Agreements, Public Sector Commodity Import Programs, Public Sector Credit/Loan Programs, and Operational Grants.

Third party managed

With this mechanism funds are provide to third party entities and it utilizes its procurement rules and practices to execute the program/activity. The USG Operating Unit does not use Federal Acquisition Regulations. In short, the USG relies on the management practices of the Third Party to maintain accountability standards and produce results. These mechanisms may be governed by a bi-lateral agreement between the USG Operating Unit and the host government or by an agreement directly between the USG Operating Units and the third party. Instruments include: Grants to Public Int'l Org.'s, Enterprise Funds, Private Sector Commodity Import Programs, GDA, DCA-Guarantees, Mixed Credits, Endowments, etc.

Target Populations

General population

- Infants (age 0-4)
- Children and youth (non-OVC)
 - Girls (age 5-14)
 - Boys (age 5-14)
- Youth (age 15-24)
- Adults (age 24-49)
 - Men
 - Women
 - Pregnant women
- Elderly (age 49+)
 - Men
 - Women

People affected by HIV/AIDS

- Orphans and Vulnerable Children (HIV/AIDS only)
- People living with HIV/AIDS
- HIV positive infants (0-4 years)
- HIV positive children (5-14 years)

Special populations

- Civilian Defense Personnel
- Commercial sex workers
- Disabled populations

- Ethnic minorities
- Ex-Combatants
- HIV/AIDS Discordant couples
- Injecting drug users
- Internally Displaced Persons
- Men who have sex with men
- Migrants/migrant workers
- Military Personnel - Officers
- Military Personnel - Non-commissioned officers
- Orphans and Vulnerable Children (non-HIV/AIDS affected OVCs)
- Out-of-school youth
- Partners/clients of CSW
- Populations vulnerable to trafficking
- Prisoners
- Refugee/IDP returnees
- Refugees
- Stability Policy
- Street youth
- Students
- Primary school students

Secondary school students	National host country
University students	government workers
Victims of torture	Political Parties/Political Leaders
Victims of trafficking	Groups/Organizations
Victims of war	Community-based organizations
USG staff	Faith-based organizations
American Citizens	Non-governmental
Foreign Service Nationals/Third	organizations/private voluntary
Country Nationals	organizations
Community	Urban
Business Community/private	Rural
sector	Endangered Species
Community leaders	Birds of Prey
Religious leaders	Cheetahs
Program managers	Great Apes
Volunteers	Other Endangered Species
Host country government workers	Endangered Ecosystems
Local host country government	Other
workers	

Key Issues

Africa Education Initiative (AEI)

A multi-year effort to increase access to quality basic education in Africa. This key issue should only be used within African countries, for the following activities: training for teachers and administrators; scholarships and mentoring under the Ambassadors Girls Scholarship Program; development, procurement and distribution of textbooks, learning and teaching materials; improved access to learning for marginalized communities, out-of-school youth, orphans, and other vulnerable children; rehabilitation of schools; strengthening parent and community support of children's education; and HIV/AIDS awareness and mitigation among school age populations.

African Global Competitiveness Initiative (AGCI)

The AGCI promotes the export competitiveness of Sub-Sahara African enterprises in order to expand African trade with the United States, with other international trading partners and regionally within Africa by:

1. Improving the business and regulatory environment for private sector-led trade and investment;
2. Strengthening the knowledge and skills of private sector enterprises to take advantage of market opportunities;
3. Increasing access to financial services that support trade and investment; and
4. Facilitating investments in transportation, energy and ICT infrastructure.

Anti-Corruption

Activities aimed at disrupting and/or dissuading corrupt practices. Corruption is defined as the abuse of entrusted authority for private gain. This could include, but is not limited to, corruption of a political system through bribery, intimidation, extortion, vote buying, destabilization, or influence peddling; police corruption or crimes either committed by a

corporation or by individuals that may be identified with a corporation or other business entity.

Biodiversity

Activities have biodiversity conservation as an explicit objective in natural and managed terrestrial and aquatic ecosystems. Activities are identified through an analysis of the threats to biodiversity and have associated indicators for biodiversity conservation. Activities may be site-based or not site specific, such as policy level initiatives. Site-based work is implemented in biologically significant areas. Ex situ conservation of wild species, and their germplasm, may also be included when explicitly linked to biodiversity conservation.

Civil Society

Activities aimed at strengthening the capacity of civic groups, professional associations, and other non-governmental advocacy groups to articulate and represent their members' interests and/or those of the public at large in regard to democracy/governance practices. Activities aim to: strengthen civic participation and increase influence of local groups through voluntary and grassroots organizations and contribute to an active civil society.

Clean Energy

Activities to directly promote and deploy energy conservation, energy efficiency, and renewable and clean energy technologies. Activities may include policy, legal, regulatory, and commercial reform; improving the operational and commercial performance of public and private sector institutions, including utilities; piloting innovative business models, financing approaches, and public-private partnerships with businesses, entrepreneurs, and NGOs to support clean energy applications; and reduce the environmental impact of energy production and use.

Community Mobilization/Participation

Activities that create the commitment and involvement of all members of the community. This includes, but is not limited to: involvement of community and women's groups and local PVOs/NGOs in program planning, policy dialogue, mobilization of community resources, peer education, education of local media and support groups.

Conflict Mitigation/Prevention/Transformation

Activities designed to reduce the threat of violent conflict by promoting peaceful resolution of differences, mitigate violence if it has already broken out, and/or establish a framework for peace and reconciliation in an ongoing conflict. Activities link directly to overt violence and would not exist absent of violent conflict, or the imminent threat of such. Activities include: negotiation and implementation of peace accords; mediation of specific disputes; community-based reconciliation; support for restorative justice, including peace and reconciliation commissions; and psychosocial counseling.

Counter Terrorism

Activities aimed at reducing terrorism and the ability of terrorist organizations to recruit and retain members. This includes activities aimed at diminishing the underlying conditions which support terrorism. Examples might include support for economic growth opportunities among men aged 18-24, or support for secular educational institutions.

Dairy

Activities that assist small dairy producers, processors and service providers maximize their abilities to increase milk yields; produce higher quality and value-added dairy

products; educate consumers; and increase cash incomes to small farmers, especially women who are the primary caretakers of dairy animals; macro-dairy development (production, processing, marketing); and cooperative or producer association building.

Food Security

Activities that work towards both national and/or household level food security. National food security exists when all people, at all times, have access to sufficient, safe and nutritious food to meet their dietary needs and food preferences for an active and healthy life. Household food security means access by all members at all times to enough food for an active, healthy life. Food security includes at a minimum (1) the ready availability of nutritionally adequate and safe foods, and (2) an assured ability to acquire acceptable foods in socially acceptable ways (that is, without resorting to emergency food supplies, scavenging, stealing, or other coping strategies).

Gender

Increasing gender equity

Activities aimed at increasing gender equity by: Developing and implementing strategies to reach men/boys and women/girls in policies and programs; Increasing women's skills, resources, and capacity for decision-making and leadership roles in public and private spheres; Mitigating the time demands of household work on women and girls through community efforts that provide such resources as food, education, expenses, household help, farm labor and child care; Increasing quality of and access to formal, non-formal, or alternative approaches to education; and eliminating gender bias in educational systems; Promoting, protecting, and enforcing the rights (legal and human) of women and girls; Supporting positive male norms and the engagement of men as partners and in families; and Increasing women's access to income and productive resources.

Reducing gender based violence and exploitation

Activities aimed at reducing gender based violence and exploitation by: Mobilizing women/girls and men/boys to prevent and mitigate violence; Working with communities to address norms that perpetuate the acceptability of violence and to challenge harmful gender-based attitudes and practices; Supporting policies and programs to address violence in various settings (i.e., schools, workplace, legal system); Increasing access to psychosocial, legal, and health services; Supporting special protections for women and children in conflict and humanitarian emergencies; and Supporting policies and activities that protect the rights of women and children, and strengthen sanctions against violence, including harmful traditional practices.

Global Climate Change

Activities with a primary purpose of addressing global climate change. Activities include: preparing greenhouse gas inventories and actions plans; promoting achievement of the goals of the UN Framework Convention on Climate Change; reducing, measuring, monitoring or reporting greenhouse gas emissions; and assessing or reducing vulnerability while increasing adaptation to the impacts of climate change.

Inclusive Development: Participation of People with Disabilities

Activities designed to reduce the barriers and increase the number of people with disabilities (PWDs) participating in all development programs and activities. Activities include, but are not limited to: strengthening disabled people's organizations (DPOs); increasing meaningful employment opportunities; provision of rehabilitative care and

services; partnering with DPOs and PWDs in the design, implementation and evaluation of programs; increasing access to formal and non-formal education opportunities; increasing PWD participation in political processes and effective governance; and strengthening laws and policies that promote equal opportunity.

Initiative to End Hunger in Africa (IEHA)

Launched in 2002, the Presidential Initiative to End Hunger in Africa (IEHA) is a multi-year effort designed to help increase agricultural income and fulfill the United Nations' Millennium Development Goal of cutting the number of hungry people in Africa in half by 2015. This initiative focuses on promoting agricultural growth and building an African-led partnership to cut hunger and poverty by investing in agriculture oriented towards toward small-scale farmers.

Invasive Species

Actions to control or prevent the intentional or unintentional import, export, or introduction of non-native species that have the potential to cause harm to the economy, human health, or environment. Invasive species can be plants, animals (including insects), or other biological organisms. Some examples of invasive species activities are: phytosanitary programs for exports and imports; controlling non-native pests that are harmful to local agriculture or that are disease vectors; or proactive activities such as using local native species exclusively for reforestation or slope stabilization.

Local Organization Capacity Development

Strengthening the ability of key local institution's to implement programs efficiently with diminishing reliance, over time, on external technical assistance. This includes activities to improve the financial management, human resource management, management information systems (MIS), quality assurance, strategic planning, and leadership and coordination of partner organizations.

Microenterprise

Activities aimed at expanding informally-organized businesses - excluding crop production - operated by the poor and employing fewer than 10 persons. Activities involve: institutional and product development for the provision of all forms of financial assistance; business development services; and policies to improve the environment for microenterprise expansion.

Public-Private Partnership

Activities which undertake to bring together the government sector and the private sector in order to provide services or benefit for the public good. This could include Global Development Alliances or other forms of public-private partnerships. The dollar figure you should include here is just the USG foreign assistance resources supporting the PPP. It should not include leveraged funds.

Research

Applied Research

Applied research is defined as systematic study to gain knowledge or understanding necessary to determine the means by which a recognized and specific need may be met.

Basic Research

Basic research is defined as the systematic study directed toward fuller knowledge or understanding of the fundamental aspects of phenomena and of observable facts

without specific applications toward processes or products in mind. [Note: USAID funded research is only captured by Applied and Development.]

Development Research

Development Research is defined as the systematic application of knowledge or understanding, directed toward the production of useful materials, devices, and systems or methods including design, development and improvement of prototypes and new processes to meet specific requirements.

Trade Capacity Building

Activities aimed at building the capacity of developing and transition countries to participate in and benefit from expanding global trade. Including educating negotiators from developing countries to participate in complex trade talks and agreements such as the World Trade Organization; helping countries carry out trade agreements that may require special reporting and institutions; and improving economic responsiveness to opportunities for trade.

Trafficking in Persons

Activities designed to curtail the recruitment, transportation, purchase, sale, transfer or harboring of women or children (male or female) within or across national borders into sexually or economically exploitive situations, illegal activities, such as forced domestic labor, clandestine employment, false adoption and marriage, slavery and/or involuntary abduction into armed conflict. Activities include awareness, prevention, repatriation, rehabilitation, protection, prosecution, and advocacy programs.

Water

Activities that include: irrigation, wastewater treatment and management, desalination, freshwater and coastal ecosystem management, fisheries and aquaculture, hydropower, disaster-related hydrometeorological monitoring and forecasting, water wells, urban stormwater management, water quality management and pollution control, water infrastructure finance and water utility and water sector reform, water law and policy, aquatic biodiversity, coral reef protection and management, estuary management, groundwater/aquifer management, watershed management, river basin management and transboundary management, river flow modeling/forecasting, drought/flood/floodplain management, reservoir management, water demand management, wastewater reuse, water-related tourism, and water use allocation.

Component Areas

Capital

Activities that result in the direct transfer of cash resources for host-country use or for on-lending.

Commodities/Materials

This category is limited to the actual purchase of commodities and materials. This could include, but is not limited to: pharmaceuticals, diagnostics, equipment, commodities and supplies. This includes the actual ordering, purchase, shipment and delivery of the full range of commodities and materials.

Operational Costs

Budget support includes paying for the normal operating costs of an organization, such as salaries, travel, utilities and office space. This component area should only be used if this is the ONLY cost that you are supporting for the organization. If you are providing

commodities or technical assistance support for an organization, that support should be fully loaded with any indirect costs. They SHOULD NOT appear here.

Technical Assistance

Could include the provision of Expert Advisors, or TA for Behavior Change, Construction, Logistics, Needs Assessments, Policy and Guideline formulation, Quality Assurance, Strategic Information, etc.

Training

Activities that impart skills and knowledge to men and women, groups or organizations [women's groups, laboratory personnel, community leaders, political leaders and/or religious leaders, etc.], to enhance their ability to provide quality services that are responsive to the populations needs. This includes in-service training and continuing education delivered through a variety of modalities such as workshops, distance learning, on-the-job training, mentoring, long-term and degree training, etc. Support for building specific skill areas should also be included here, for example, strengthening interpersonal communication, improving technical skills, increasing responsiveness to cultural barriers to good development outcomes, etc. Activities to strengthen or expand pre-service education, such as curriculum development or faculty training, are also included in this category.

Construction/Rehabilitation

Activities that are undertaking to construct or rehabilitate actual structures or the infrastructure in a country.

Add Other

This allows Operating Units to add their own Component Area. This should only be used where NONE of the above apply.

ANNEX N: List of Accounts

Account Acronym	Full Account Name
ACI	Andean Counterdrug Initiative
CRF (requested)	Conflict Response Fund
CSH	Child Survival and Health Programs
DA	Development Assistance
DCA	Development Credit Authority
DF	Democracy Fund
ERMA	U.S. Emergency Refugee & Migration Assistance
ESF	Economic Support Fund
FMF	Foreign Military Financing
FSA	Assistance for the Independent States Of the Former Soviet Union
GHAI	Global HIV/AIDS Initiative (coordination only, not approval authority)
IDFA	International Disaster/Famine Assistance
IMET	International Military Education and Training
INCLE	International Narcotics Control and Drug Enforcement
IO&P	International Organizations and Programs
MCC	Millennium Challenge Corporation (coordination only, not approval authority)
MRA	Migration and Refugee Assistance
NADR	Nonproliferation, Anti-Terrorism, Demining and Related Programs
PKO	Peacekeeping Operations
SEED (AEEB)	Assistance for Eastern Europe And the Baltic States
TI	Transition Initiatives
PL 480 Title II	P.L. 480 Title II (Food Assistance)
For a description of accounts, please visit: http://spp.rm.state.gov/uploadedFiles/usfarg.pdf .	

ANNEX O: Program Funded Staffing Table

PROGRAM-FUNDED STAFF ALLOCATIONS BY PROGRAM AREA							
Operating Unit:							
Total Allocated	USDH	USPSC	CASU	PASA/RSSA	FSN/PSC/LES	Other	TOTAL
Peace & Security							
Counter-Terrorism							
Combating Weapons of Mass Destruction (WMD)							
Stabilization Operations and Security Sector Reform							
Counter-Narcotics							
Transnational Crime							
Conflict Mitigation and Reconciliation							
Governing Justly & Democratically							
Rule of Law and Human Rights							
Good Governance							
Political Competition and Consensus-Building							
Civil Society							
Investing in People							
Health							
Education							
Social and Economic Services and Protection for Vulnerable Populations							
Economic Growth							
Macroeconomic Foundation for Growth							
Trade and Investment							
Financial Sector							
Infrastructure							
Agriculture							
Private Sector Competitiveness							
Economic Opportunity							
Environment							
Humanitarian Assistance							
Protection, Assistance and Solutions							
Disaster Readiness							
Migration Management							

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Steps to complete table:

1. Enter name of country or Operating Unit in cell A2.
2. Allocate staff numbers to program areas to the nearest 25% (1.25, 3.5, 0.75, 5.0, etc.).
3. When allocation for all Agencies is completed, save file and upload in FACTS.