

U.S. Agency for International Development (USAID)

Management Bureau Strategic Portfolio Prioritization

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INTRODUCTION

1.1 BACKGROUND

The USAID Business Systems Modernization (BSM) Vision, Strategy and Plan, drafted November 5, 2002, prioritizes the agency's Business System Modernization portfolio of projects. In developing the BSM strategy, USAID undertook a portfolio review that has resulted in strategic- and customer-focused procurement, financial management, and e-gov initiatives. These initiatives are not BSM projects, but are nonetheless important strategic projects that will support USAID's BSM transformation by promoting additional efficiencies and customer value. It is expected that through this process of customer-focused prioritization, USAID's customers will benefit through improved Management Bureau services—that are critical to achieve USAID's program delivery.

A Program Management Office (PMO) has been established to support the Management (M) Bureau and Business Transformation Executive Committee (BTEC) to manage the BSM effort, including strengthening the governance structures for transformation. This document contains the approach, procedures and results of the PMO's initial project portfolio rationalization. The purpose of the document is to explain the process undertaken in detail to provide guidelines for future portfolio prioritization and recommendations for improvement.

1.2 OVERVIEW

Project portfolio rationalization is a powerful technique to improve strategic impact, maximize the use of valuable resources, and simplify operations. This process *rationalizes* an organization's existing portfolio of projects to eliminate or outsource projects that are problem prone, don't "fit" into a flexible environment, have excessive overhead demands, are not really appreciated by customers, and/or have limited future potential. This process also enables new project considerations to insure an organization's vision and strategy objectives will be achieved. This process optimizes an agency's process for the selection of information technology investments, the maximization of their value, the management of the risks of such investments, and the evaluation of the results of such investments.

The purpose of the USAID portfolio rationalization project was to inventory, document, and assess the characteristics of financial management, procurement, and e-government initiatives with a view to identifying potential development and re-development opportunities. Financial Management and Procurement represent the core pillars of activity for the Management Bureau. Initiatives in the E-government portfolio provide supporting implications to both financial management and procurement areas. This report provides USAID procurement, financial management, and e-Gov teams with the approach to address current and long-term needs in new project planning and support to cross-agency initiatives. Additional project portfolios will be rationalized as the PMO matures. Benefits of this portfolio rationalization approach include:

- ◆ More effective project alignment with agency strategic plans and objectives

- ◆ Improved selection of strategic/vendor alliances.
- ◆ Accelerated program growth.
- ◆ Enhanced program lifecycle management.
- ◆ Better compliance with Federal requirements for capital planning and investment control (CPIC) process.

Projects in a portfolio are prioritized on the basis of risk-adjusted benefit cost analysis. Other constraints and considerations are included in the final selection of projects for the portfolio.

Portfolio rationalization addresses the President's Management Agenda (PMA) and promotes internal efficiencies and effectiveness by:

- ◆ Selecting projects based on a strategic enterprise view.
- ◆ Encouraging USAID to focus on best initiatives by eliminating or outsourcing marginal projects.
- ◆ Focusing resources, being potentially wasted on the low-leverage products, on growing the high-value, high-impact projects.

Eliminating or outsourcing low-leverage products in any of the three portfolios will:

- ◆ Improve operational flexibility
- ◆ Free up valuable resources to improve operations and quality, implement better project development practices
- ◆ Improve quality from eliminating older projects

1.3 CAPITAL PLANNING AND INVESTMENT CONTROL (CPIC) RELATIONSHIP

The portfolio rationalization process facilitates improvement of the Capital Planning and Investment Control (CPIC) process. In USAID's ongoing effort to increase focus on results achieved through investments, the portfolio rationalization process instills rigor and structure into the selection and management of projects. This process will deliver results and maintain high customer focus, supports the President's Management Agenda, and captures lessons learned to be fed into continuous improvement of the CPIC process.

1.4 PRIMARY RESPONSIBILITIES

The Program Management Office (PMO) managed the initial rationalization and development of strategic portfolios, with full support of the M Bureau management and staff. The development of this strategic roadmap was undertaken as part of an overall best practices approach to capital investment decision making. A key objective of the PMO in developing and maintaining a strategic portfolio is to assure that a customer-focused process is in place. It is the ongoing responsibility of the BTEC and PMO to continuously monitor this process as part of USAID's overall approach to selecting, monitoring and evaluating its project investments throughout their life cycles.

2 M BUREAU PORTFOLIO STRATEGY RATIONALIZATION APPROACH

The following five-step approach was utilized for the portfolio rationalization of the financial management, procurement, and e-Gov Initiatives.

Step 1 - Identify/Update Full Universe of Initiatives

- ◆ Identify initiatives designed to close gaps in current performance
- ◆ Continuously improve project management/monitoring information

Step 2 - Approve and Apply Strategic Ranking Criteria/Prioritization Model

- ◆ Improve strategic ranking criteria review-to-review with improved project management information
- ◆ Eliminate or address non-performing initiatives
- ◆ Apply the strategic ranking criteria to define the most valuable projects

Step 3 - Rationalize Initiatives

- ◆ Apply enterprise architecture to eliminate or re-scope redundant initiatives
- ◆ Apply executive weighting to the scoring criteria
- ◆ Apply staff constraints
- ◆ Apply budget constraints
- ◆ Apply other Policy constraints

Step 4 - Finalize Portfolio Strategy

- ◆ Make executive cuts / adjustments
- ◆ Sequence initiatives in time
- ◆ Charter initiatives with budget and resources and establish the project team

2.1.1 Future Follow -On Activities

After the initial rationalization exercise, the following steps ensure that the process optimizes the strategic benefit of the initiatives in the portfolio and that new initiatives are introduced in an orderly way.

1. Monitor Portfolios

- ◆ Establish metrics to measure effectiveness of portfolio rationalization
- ◆ Meet regularly to validate effectiveness of portfolio rationalization

- ◆ Regularly evaluate integration of new projects into portfolio.
2. Follow up with a survey to determine effectiveness of rationalization process
 - ◆ Develop a survey on the process for the portfolio rationalization to cover approach, process, technique, and effectiveness of results.
 - ◆ Query the participants in the scoring process for their input.
 3. Ensure consistency.
 - ◆ Schedule the previous reviewers in next scoring for continuity (and so they can see progress in developing better information/process).
 4. Determine the mechanism for updating the portfolio prioritization process

The PMO is responsible for publishing new project initiation forms, to be accessible on the USAID intranet, that will set entry criteria for potential projects to be fully considered in subsequent selection processes. This quality control “on entry” will support the continuous improvement of the project data available to decision-makers and will help define the full universe of initiatives that would affect the USAID Enterprise Architecture. The PMO will:

- ◆ Manage project intake criteria, which will be consistently strengthened
- ◆ Track new initiatives in the “data container” database
- ◆ Regularly review project implementation progress
- ◆ Improve specificity of ranking criteria from review-to-review with improved project management information

The methodology includes developing a rating or priority ranking for each of the projects, first in terms of their risk adjusted benefit cost, followed by an assessment of budget, staffing or Enterprise Architecture or policy constraints. This assists in creating a long-term plan for improvement opportunities.

3 M BUREAU PORTFOLIO STRATEGY RATIONALIZATION RESULTS

3.1 FINANCIAL MANAGEMENT PORTFOLIO RATIONALIZATION RESULTS

Step 1 - Identify/Update Full Universe of Initiatives

The current portfolio review began by reviewing the existing “data containers” or initiatives list that had been assembled between December 2001 and February 2002 for the Business Transformation Executive Committee’s (BTEC) Quick Hits analysis.¹ The

¹ The BTEC chartered a number of projects for “Quick Hits” as a first step in launching Business Transformation at USAID. The data containers were initially populated with project ideas under consideration to become Quick Hits.

M Bureau updated and reprioritized this portfolio in July 2002. A full list of initiatives analyzed in the rationalization process is contained in Appendix A of this report.

In preparation for the scoring session, Connie Turner, Supervisory Management Analyst for Management Planning and Innovation, initiated an update and clarification of the initiative information. Each initiative “owner” was sent a copy of the strategic ranking criteria and asked to review and update their initiative descriptions to better address the criteria. In particular, the following additional data was requested to support staff constraint analysis:

- ◆ Names of staff associated with each initiative.
- ◆ For each staff associated with an initiative, the percentage of time allocated or needed.
- ◆ Better information on the proposed period of performance and duration of proposed tasks, as well as relevant required by dates or must begin by dates.

The PMO’s Financial Management Portfolio team also developed new initiative descriptions to address perceived strategic gaps in financial management performance.

Step 2 - Approve and Apply Strategic Ranking Criteria/Prioritization Model

Based on the information available, the Financial Management team scored the initiatives on the basis of *strategic benefit and linkage* to the Presidents Management Agenda (PMA). Four criteria were chosen to represent the PMA goals:

- ◆ Audit/Internal Controls
- ◆ Reporting
- ◆ Compliance
- ◆ Performance Measures

The detailed criteria reproduced below use a 1-3 scale to rate projects’ support of the PMA goal, with 3 representing the highest level of support (high benefit) and 1 representing the least support (least benefit).

Strategic Benefit and Linkage Criteria			
	3	2	1
Audit/Internal Controls	Project significantly enhances the ability of the agency to receive an unqualified, timely, and clean audit opinion on the annual financial statements and addresses multiple open IG and/or GAO findings. Project significantly increases the likelihood that auditors will find no material internal control weaknesses.	Project only moderately enhances the ability of the agency to receive an unqualified and timely audit opinion and partially addresses one or more open findings. Project only moderately increases the likelihood that auditors will find no material internal control weaknesses.	Project has no impact on the ability of the agency to receive an unqualified and timely audit opinion - project does not address open findings. Project has no impact on internal control weaknesses.

Reporting	Project is designed to improve the accuracy of financial reports and reduce the time it takes to produce them for internal and external customers.	Project only has a slight impact on reporting accuracy and/or cycle time and/or only serves internal customers	Project has no impact on reporting accuracy or cycle time.
Compliance	Project provides a high ability to meet OMB and Treasury requirements in an accurate and timely way.	Project provides a moderate ability to meet OMB and Treasury requirements in an accurate and timely way.	Project has no ability to meet OMB and Treasury requirements in an accurate and timely way.
Performance Measures	Allows significantly enhanced measures of the real cost of performance and programs, and provides integrated financial and performance measurements.	Allows moderately better measures of the real cost and performance and programs and provides moderately integrated financial and performance measurements.	Allows no better measures of the real cost and performance and programs and no integration of financial and performance measurements.

Table 1: Financial Management Portfolio Strategic Ranking Criteria

Prior to the scoring, the team identified “quick hit” initiatives that had made progress, been redefined, updated, completed, and/or deleted. This represented the full and up-to-date universe of projects for evaluation. A full list of amended initiatives is provided in Appendix B.

A scoring team convened in a session on September 19, 2002 to apply the strategic ranking criteria. The scoring team comprised Connie Turner M/MPI; David Ostermeyer M/CFO; David Noble M/CFO/FSI and Adriana Zimmer, a GDSS, Inc. facilitator.

The team was informed of the context for the scoring session, namely to provide first efforts at a routine Capital Planning and Investment Control process designed to maintain high customer focus, support the President’s Management Agenda and capture lessons learned from the effort to be fed into CPIC continuous improvement.

During the initial scoring, the team reviewed and discussed each of the scoring criteria in detail. This provided a common understanding of the purpose of the criteria, the link of the criteria to the goal of customer focus and PMA responsiveness. It also served to normalize the team as to what each rating (1, 2 and 3, as defined in Table 1) would represent.

After scoring the first project together, the team proceeded to score the next project individually. After finishing each project, each member of the team reported his or her scores to the facilitator. The group then spent some time investigating the reasons for divergent scores on a given criterion. In the interest of time, the focus was on cases where there were wide discrepancies (ratings of 1 and 3). Team members were given the option of changing their scores based on this discussion, or agreeing to disagree.

As noted in the comments in Appendix A, several projects were combined or not scored because they were considered obsolete, duplicative, or redundant. Additionally, after a consensus, the team added initiatives representing active and ongoing efforts by the financial management team to the list of those initiatives being scored.

Step 3 - Rationalize Initiatives

The scoring criteria were developed by the PMO Financial Management team and the CFO to be in alignment with the President’s Management Agenda. During the scoring session, they were weighted in accordance of importance on the following scale: 1 = least important, 3 = average importance 5 = most important (0 = Criterion should not be considered).

Consensus of the team led to weighting the criteria in the following way:

Scoring Criteria	Score Weighting
Audit/Internal Controls	5
Reporting	4
Compliance	4
Performance Measures	4

Table 2: Financial Management Criteria Weighted Values

These weights were applied to the raw scores of the initiatives to arrive at a “weighted score.” The weighted score was used to develop the top to bottom ranking of the FM initiatives.

Results

The final results of the weighted scores are below. Initiatives were ranked and categorized into four tiers. The top three initiatives categorized in Tier I include Financial Systems Implementation, Managerial Cost Accounting, and Phoenix Reporting Capabilities.

Tier	Rank	Initiative Name	Weighted Score
Tier I	1	Financial Systems Implementation	11.7
	2	Managerial Cost Accounting	11.5
	3	Phoenix Reporting Capabilities	11.1
Tier II	4	DHHS Integration (obligations)	9.9
	5	Ongoing Worldwide Reconciliation	9.7
	6	Financial Statement Preparation	9.5
	7	De-Obligation/Recovery of Funds/Award Closeout	9.0

	8	Help with IG Audit	8.4
Tier III	9	USPSC Payroll System	6.2
	10	Electronic Invoicing	6.1
	11	FSN HR/Pay System	5.9
	12	Web Payments	5.6
	13	MACSVIEW	5.3
	14	Web Vendor Query	5.3
	15	Document Imaging	5.2
Tier IV	16	LAC Consolidation	4.3

Table 3: Financial Management Prioritized Portfolio

Step 4 - Finalize Portfolio Strategy

The final step in the FM portfolio rationalization was applying budget and resource constraints to the list of initiatives. This step was accomplished by the senior leadership of M/FM. Several initiatives were eliminated due to limited resources and personnel. In all, seven initiatives were eliminated from the financial management portfolio during this phase for the following reasons. Three of the Tier II initiatives: Ongoing worldwide reconciliation, Financial Statement Preparation, and Help with IG Audit were eliminated because they represent ongoing work without start or stop dates. The following four initiatives: FSN HR/Pay System, Web Payments, MACSVIEW, and Document Imaging were eliminated from the portfolio due to limited financial/human resources, or because they were redundant with functionality expected as part of the Procurement Improvement Project.

The remaining initiatives were sequenced in time by senior M/FM leadership according to the available budget and staff capacity and executive judgment. The Gantt chart below outlines the planned timelines for the final portfolio.

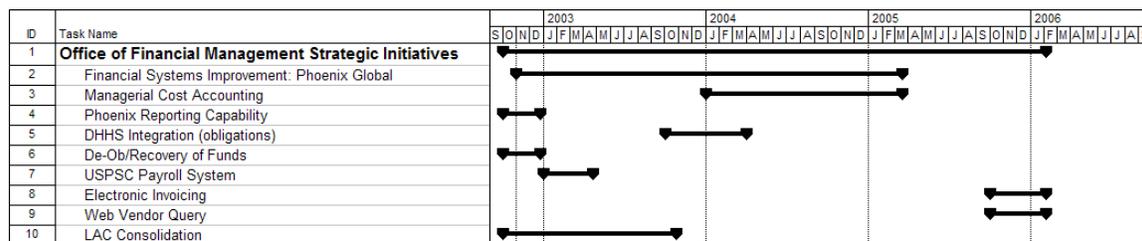


Table 4: Financial Management Portfolio Implementation Timeline

3.2 PROCUREMENT PORTFOLIO RATIONALIZATION RESULTS

Step 1 - Identify/Update Full Universe of Initiatives

The current portfolio review began by reviewing the existing “data containers” or initiative list that had been assembled between December 2001 and February 2002 for the BTEC’s Quick Hits analysis. The M Bureau updated and reprioritized this portfolio in July 2002. A full list of initiatives initially considered is contained in Appendix C of this report.

In preparation for the scoring session, the Director of Office of Procurement, Tim Beans, requested further update and clarification of the initiatives’ information. Each initiative owner was sent a copy of the strategic ranking criteria and asked to review and update their initiative descriptions to better address the criteria. In particular, additional data was requested to support the staff constraint analysis:

- ◆ Names of staff associated with each initiative.
- ◆ For each staff associated with an initiative, the percentage of time allocated or needed.
- ◆ Better information on the proposed period of performance and duration of proposed tasks, as well as relevant required by dates or must begin by dates.

The portfolio team also developed two new initiatives (with descriptions entered into the data container) to address perceived strategic gaps in procurement performance.

Step 2 - Apply Strategic Ranking Criteria / Prioritization Model

The first step in applying strategic ranking criteria to the potential projects was to develop the strategic criteria. A team of three Office of Procurement (OP) staff and one consultant developed these in the weeks leading up to the scoring session. The criteria were reviewed with and approved by Tim Beans, Deputy Director of the Office of Procurement. The focus of the benefit criteria for the OP portfolio was on Customer Satisfaction and e-Government compliance. The Strategic ranking criteria were developed to assess projects based on benefit, cost and risk and are reproduced below.

Strategic Benefit and Linkage- Customer Satisfaction / E-government			
	3	2	1
<p>Cycle Time Savings (PMA e-gov link: reduces expenses, cuts operating costs, high quality customer service)</p>	<p>Project is designed to reduce significantly the amount of time required to process OP actions.</p>	<p>Project may have indirect positive impacts on cycle times.</p>	<p>Project plans no improvements in this area.</p>

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<p style="text-align: center;">Transparency</p> <p>(PMA e-gov link: more transparent and accountable, increases access to government data, high quality customer service)</p>	<p>Project is designed to improve information available that is defined as critical by multiple customers</p>	<p>Project is designed to improve information availability to internal customers only.</p>	<p>Project will have little impact on information availability.</p>
<p style="text-align: center;">Ease of Use / Accessibility / Responsiveness</p> <p>(PMA e-gov link: reduce expense and difficulty of doing business w/government, access to people with disabilities, high quality customer service)</p>	<p>Project is designed to facilitate ease of the A&A experience, access and responsiveness based on extensive customer interviews/interactions.</p>	<p>Project may facilitate ease of the A&A experience, access and responsiveness based on best estimate of internal OP staff.</p>	<p>Improving ease of use, access or responsiveness is not a primary purpose of the project.</p>
<p style="text-align: center;">PMA Scorecard / GPEA Linkage</p>	<p>Project supports two or more of the following: (1) citizen one-stop service delivery integrated through Firstgov, cross agency call centers, offices or service centers; (2) Minimized burden on business by re-using data or using ebXML or other open standards to receive transmissions; (3) Inter-governmental deployment of e-grants or GIS one-stop; (4) productivity improvements through implementation of Customer Relationship Mgmt (CRM), Supply Chain Mgmt (SCM), Enterprise Resource Mgmt (ERM) or Knowledge Mgmt (KM) best practices.</p>	<p>Project supports one of the e-Gov PMA scoring goals (see green column.)</p>	<p>Project supports none of the e-Gov PMA scoring goals (see green column.)</p>
<p style="text-align: center;">Scope of Customer Impact</p> <p>(COs, CTOs, PPC/Hill/OMB, vendor community)</p>	<p>Multiple external customers have been involved in the development of the project and will be primary beneficiaries.</p>	<p>Project targets one or no external customers; CO and OP staffs are primary beneficiaries.</p>	<p>Customer impact has not been addressed by the project.</p>
<p style="text-align: center;">Link to M Bureau Management Goals:</p> <p>USAID's development goals achieved in the most efficient and effective manner.</p> <p>Source: USAID Strategic Plan 1997 (Revised 2000) ²</p>	<p>Project directly supports three or more of the following management objectives: 1. Accurate program performance and financial information available for Agency decisions. (PMA financial) 2. USAID staff skills, Agency goals, core values, and organizational structures better aligned to achieve results efficiently. (PMA Human Resources) 3. Agency goals and objectives served by well-planned and well-managed acquisition and assistance. 4. Agency goals</p>	<p>Project directly supports two M Bureau management objectives.</p>	<p>Project does not directly support M Bureau management objectives</p>

² Goals and objectives also outlined in FY2002 Accountability Report: Management Discussion and Analysis, February 2002

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	and objectives supported by better information management and technology. (PMA eGov).		
Addresses open IG or GAO findings	Addresses multiple open IG and/or GAO findings	Partially addresses one or more open findings	Project does not address open findings
FTE Savings	Project is expected to save more than 5 FTE per year	Project is expected to save up to 5 FTE per year	Project has no identified FTE savings
Cost/Budget			
	3	2	1
FTE required	Project requires < 0.5 FTE	Project requires between 0.5 and 2 FTE	Project requires >2 FTE
Consulting \$	Project requires < \$100K	Project requires >\$100K and <\$500K	Project requires > \$500K
Hardware \$	Project requires < \$2.5K	Project requires >\$2.5K and <\$25K	Project requires > \$25K
Software \$	Project requires < \$500	Project requires >\$500 and <\$10K	Project requires > \$10K
Risk			
	3	2	1
Change Management	Project has minimal impact on the way most staff do work, or; project requires more significant changes but are limited to fewer than 20 staff.	Some significant changes are involved that will require change management and communication plans for a limited number of staff (less than 100.)	More than 100 staff are directly impacted in ways that will require a coordinated change management and communication effort.
Contract Risk	Project either uses no contracts or one contract, the period of performance and ceiling of which are sufficient to cover the project requirements.	Project uses more than one contract, the periods of performance and ceilings of which are sufficient to cover the project's requirements.	Project uses more than one contract and/or the period of performance and ceiling of one or more contracts is not sufficient to cover the project requirements.
Political Risk	Project schedule shows completion within 1 year	Project schedule shows completion after more than 1 year	Project schedule spans administrations
Cross Functional Staffing	Project is in house and does not require cross functional staff, or; Project has fully-	Project is in house and does not require cross functional staff, or; Project	Project requires cross-functional staff, but none are committed.

	committed cross-functional staff	requires cross-functional staff, but does not have high commitment	
Dependencies with other initiatives	Project stands alone (although it may be required for other initiatives to succeed.)	Project depends on completion of another initiative that is currently on schedule.	Project depends on more than one initiative or an initiative that is behind schedule or at risk.
Management Priority	Project is approved by BTEC, PMO or M Bureau management in writing and is in the agency budget	Project is approved by BTEC, PMO or M Bureau management in writing, but not yet in the agency budget	No written management commitments have been made

Table 5: Procurement Initiative Portfolio Ranking Criteria

Prior to the scoring, the team agreed to eliminate projects that were underway or substantially completed. (For a complete list, please see Appendix D.) Then, a scoring team comprised of four (4) OP staff and one (1) customer from Office of U.S. Foreign Disaster Assistance (OFDA) convened on September 12, 2002 to apply the strategic ranking criteria. The customer scorer was invited to help assure that the scoring team maintained a customer focus during the process. The scoring team comprised Debra Banks, M/OP; Linh Lam, M/OP; Terry Payne M/OP; Anne Quinlan, M/OP; and Kerrin Goodspeed, OFDA. Kevin Youel Page from GDSS, Inc. facilitated the session.

The team was informed of the context for the scoring session, namely to provide first efforts at a routine Capital Planning and Investment Control process designed to maintain customer focus, support the President’s Management Agenda, and capture lessons learned from the effort to be fed into continuous improvement.

The review team reviewed and discussed each of the scoring criteria in detail as it went through the first project scoring. This provided a common understanding of the purpose of the criteria, the link of the criteria to the goal of customer focus, and overall PMA responsiveness. It also served to normalize the team as to what each rating (1, 2 and 3, as defined in Table 5) represents.

After scoring the first project together, the team proceeded to score the next project individually. After finishing each project, each member of the team reported his or her scores to the facilitator. The group then spent some time investigating the reasons for divergent scores on a given criterion. In the interest of time, the focus was on cases where there were wide discrepancies (ratings of 1 and 3). Team members were given the option of changing their scores based on this discussion, or agreeing to disagree.

After scoring 5 initiatives, the team did a time check and decided to limit the future scoring to the benefit section only. This was in part due to time constraints and in part because of ambiguity in scoring risk and benefit in absence of good, written project data for these criteria. Additionally, the team dropped the scoring of the “Addresses open IG or GAO findings” benefit criterion because the facilitator did not provide the team with a list of open IG or GAO findings. Additionally, none of the initiative descriptions

explicitly addressed benefits related to addressing open IG or GAO findings, and it is unlikely the team could have consistently applied the criterion.

As noted in Appendix C, four projects were found to be redundant with the Enterprise Architecture for the proposed procurement environment.

Step 3 - Rationalize Initiatives

The scoring criteria was weighted by the Deputy Director of Procurement in accordance of importance on the following scale: 1 = least important, 3 = average importance 5 = most important (0 = Criterion should not be considered).

The Director of Procurement used his executive judgment to weigh the criteria in the following way:

Strategic Benefit and Linkage	Executive Weighting Applied	Weight as % of Total /1
<i>Customer Satisfaction / e-Gov</i>		
◆ Cycle Time Savings	4.5	15.8%
◆ Transparency	4.5	15.8%
◆ Ease of Use / Accessibility / Responsiveness	4.5	15.8%
◆ PMA Scorecard / GPEA Linkage	4.5	15.8%
◆ Scope of Customer Impact	4.5	15.8%
◆ Link to M Bureau Management Goals	4	14.0%
◆ FTE Savings	2	7.0%
Subtotal Strategic Benefit & Linkage and Cost	28.5	100.0%

1/ totals in the percentages do not total exactly 100.0% due to rounding

Table 6: Procurement Initiative Criteria Weighted Values

These weights were applied to the raw scores of the initiatives to arrive at a “weighted score” that better reflected management priorities. The weighted score is the driver for the final ranking of the OP initiatives. Where projects were merged, their average weighted score was used.

Results

The final results of the weighted scores are below. The most important three initiatives include Procurement System Implementation Project, Uniform Agency Procurement Plans, and Procurement Liaisons within Client Bureaus. While the projects were ranked

from high to low, the team did not divide the projects into Tiers because it was not perceived as adding any value to the clarity of OP portfolio priorities.

It is also worth noting that the scale differs from that used in the FM portfolio, only because of the number of criteria used resulted in a larger possible range of raw scores. Normalization is not required at this stage because no tradeoffs between portfolios are envisioned at this early stage. In future exercises, this will be done as part of a cross-portfolio prioritization exercise, in which cross-portfolio ranking criteria will be developed.

Rank	Initiative Name	Total Raw Score	Weighted Score
1	Procurement System Improvement Project	21.0	21.0
2	Uniform Agency Procurement Plans	18.4	18.7
3	Procurement Liaisons within Client Bureaus	15.6	16.0
4	CTO Resources	15.3	14.5
5	Customer Survey	14.6	15.2
6	ProDoc Improvements	14.2	14.4
7	Personal Services Contracts (to HR or EXOs)	13.6	14.0
8	Currency of AAPD/CIBs/Local Clauses	14.4	13.0
9	X Service Process Streamlining Initiative	12.9	12.4
10	File Room Automation	12.6	12.6
11	Barcoding Access to Fileroom	12.2	12.1
12	Procurement Action Checklist	11.8	11.8
13	OP Contracting Staff Qualifications Database	11.8	11.9
14	Greater Use of Credit Cards	17.4	17.4
15	Central Contractor Registry (renamed Business Partner Network BPN by Quicksilver)	16.6	17.1

Table 7: Procurement Prioritized Portfolio

Step 4 – Finalize Portfolio Strategy

The final steps in the portfolio rationalization included:

- ◆ Making executive cuts or adjustments, and;
- ◆ Applying cost and resource constraints to the list of initiatives.

The executive adjustments were made by the Director of OP and included dropping initiatives that were either of low priority or inconsistent with the OP’s strategic direction.

The final procurement portfolio Gantt chart is provided below.

ID	Task Name	2003					2004					2005					2006																			
		S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J
11	Office of Procurement Strategic Initiatives	[Gantt bar spanning from start of 2003 to end of 2006]																																		
12	Procurement System Improvement Project	[Gantt bar spanning from start of 2003 to end of 2006]																																		
13	Uniform Agency Procurement Plans	[Gantt bar spanning from start of 2003 to end of 2003]																																		
14	Procurement Liaisons w/in Client Bureaus	[Gantt bar spanning from start of 2003 to end of 2003]																																		
15	CTO Resources	[Gantt bar spanning from start of 2003 to end of 2005]																																		
16	Customer Survey	[Gantt bar spanning from start of 2003 to end of 2004]																																		
17	ProDoc Improvement	[Gantt bar spanning from start of 2003 to end of 2003]																																		
18	Currency of AAPD/CIBS	[Gantt bar spanning from start of 2003 to end of 2003]																																		
19	Streamlining RFP/Local Clauses	[Gantt bar spanning from start of 2003 to end of 2003]																																		
20	Barcoding Files	[Gantt bar spanning from start of 2003 to end of 2003]																																		
21	Procurement Action Checklist	[Gantt bar spanning from start of 2003 to end of 2003]																																		
22	OP Contracting Staff Qualification Database	[Gantt bar spanning from start of 2003 to end of 2003]																																		

Table 8: Procurement Portfolio Implementation Timeline

The initiatives are sequenced according to assumptions of availability of funds and personnel. Most initiatives are already funded or are managed with available in-house staff resources. Initiatives that are at greater risk of achievement due to resources being outside of the manageable interest of M/OP are listed below.

The Procurement System Improvement Project is scoped based on the current dates in the OMB 300. Availability of funding is a critical driver of the schedule. The planned acquisition strategy will lead to specific vendor proposals, and thus the timeframe will likely be revised. Because this is a Business System Modernization initiative, the BTEC and PMO will need to make sure that personnel resources from the entire agency will be made available.

The CTO Resources project is of high importance to M/OP and is thus included on the OP portfolio list. However, the funding for the CTO training and the overall direction of the program is provided by M/HR.

The Customer Survey initiative involves automatic generation of a customer survey (via Remedy application) when contracting actions are finalized. The timing of this project will depend on the PSIP schedule, and may require an update to A&A software. The latter approach would be dependent upon the release schedule and funding for A&A updates.

ProDoc Improvement includes sending teams to missions to provide refresher training in ProDoc. This is dependent upon M/OP staff being available to provide the training, as well as missions providing the funding for the training tdy.

3.3 E-GOV PORTFOLIO INITIATIVE RATIONALIZATION RESULTS

Perhaps one of the most radical paradigm changes the e-government vision invokes is the shifting of emphasis in the investment and use of Information Technology (IT) away

<p>President’s Management Agenda Vision</p> <ul style="list-style-type: none">◆ Citizen-Centered◆ Results-Oriented◆ Market-based, actively promoting innovation <p>Source: OMB’s Mark Forman’s directives to Agencies.</p>

from servicing the self-centered data processing needs of bureaucratic islands towards a customer centered, integrated IT architecture. This shift is best exemplified in the creation and establishment of the Agency’s E-Government portfolio of initiatives and supporting processes.

This paradigm shift offers USAID an opportunity to:

- ◆ Leverage technology developed by other Agencies, that USAID could not otherwise justify due to size and limited IT budgets.
- ◆ Establish a set of system design and implementation principles that will, in time, permeate all future applications.
- ◆ Emphasize collaboration and encourage USAID to create partnerships with others when investing in new applications.
- ◆ Actively promote innovation, making e-Gov projects ideal “beachheads” for introducing new technologies to the Enterprise/ Transformation IT architecture in the organization.

Governance of E-Government Projects

USAID will leverage a set of e-Government initiatives (depicted in Table 9: A Taxonomy of E-Government Projects) already being developed by other Agencies. In particular, we are planning to implement the e-Travel system developed by GSA.

USAID will identify one or more sister Agencies that would be willing to partner with us in the development of future E-Gov solutions. Initial steps are being taken to start a dialog with Foreign Affairs sister Agencies, to explore ways to identify potential cross-agency E-Gov initiatives, and develop joint 300 instruments to present to OMB.

A Taxonomy of E-Gov Projects

- ▶ **G2C Government to Citizens:** Fulfill the vision of one-stop online access to services. (E.g. Portals)
- ▶ **G2B Government to Business:** Reduce redundant data collection, provide one-stop support, enable digital communication with business (e.g. E-invoicing, ADS online)
- ▶ **G2G Government to Government:** Enable sharing and integration of data to better leverage IT systems and the integration of key Government Operations (e.g. Emergency Collaboration tool)
- ▶ **IEE Internal Effectiveness & Efficiency:** Adopt commercial best practices in government operations (document workflow, e-Travel, e-Training)

Table 9: A Taxonomy of E-Government Projects

One opportunity available for joint Agency investments is in the technologies required to support and leverage Knowledge Management (KM). The Agency has, by the very nature of its work in technology transfer, a meaningful and rich competitive advantage in the disciplines of capturing, harnessing, sharing, and disseminating knowledge. All of these are key elements in the discipline of knowledge management.

Thus, we are uniquely qualified as an Agency to take the leadership, in partnership with other sister Agencies, not just to manage an e-Government project dealing with KM, but perhaps more importantly, to play a meaningful role in the development of an Architecture Segment in the Federal Enterprise Architecture Framework.

This focused architecture effort in the implementation of a KM infrastructure (KM architecture segment), not only serves the M Bureau Agenda, but also serves PPC’s KM Agenda as well.

To conclude, the factors to consider when evaluating an E-Gov proposal are:

1. Does another Agency have an IT solution with the same functionality?
2. Is it part of a cross agency e-Gov initiative?
3. Is it so large, we should seek another Agency partnership, to develop a cross-investment strategy?
4. Is it required as a building block to fill a particular technology gap in the Agency Transformation IT Architecture?

5. Does it contribute to the ability for the Agency to deliver better services in one or more of the following areas: G2C, G2B, G2C or IEE?

Step 1 - Identify/Update Full Universe of Initiatives

Currently, it will take some time for the proposed processes to be institutionalized, and the proper funding earmarked for any major e-Gov initiatives; however progress is being made in some areas. While incomplete, the list of existing and/or potential e-Gov projects are detailed in Appendix E. With time, many others will be added and/or some eliminated for failing to pass any of the ranking criteria.

Step 2 - Apply Strategic Ranking Criteria / Prioritization Model

Many questions will be addressed when evaluating each of the E-gov initiatives. In addition to the formal ranking criteria, the following dimensions will be considered:

- ▶ Does it enhance the Agency ability to serve citizens and the public (G2C)?
- ▶ Does it improve how well the Agency works with business, contractors, partners and other non-government entities (G2B)?
- ▶ Does it improve processes involving the Agency with other Government entities (G2G)?
- ▶ Does it improve Agency effectiveness or efficiency (IEE)?
- ▶ Does the project fill a Transformation Architecture gap, which is required to enable a particular functionality (e.g. a Portal)?

The following ranking criteria are areas that are proposed to evaluate existing and future e-Gov projects:

Strategic Benefit and Linkage			
Customer Satisfaction / e-Gov	3	2	1
Improves provision of services and information to citizens	Project supports two or more of these goals 1) Provides a user-friendly, web-based resource for citizens to access and/or request information 2) Provides citizens state-of-the art customer service in a "seamless" relationship where actions taken behind the scenes are invisible to customer 3) Provides a	Project supports only one of these goals 1) Provides a user-friendly, web-based resource for citizens to access and/or request information 2) Provides citizens state-of-the art customer service in a "seamless" relationship where actions taken behind the scenes are invisible to customer 3) Provides a modern relationship management tool to	Project does not support G2C services

Management Bureau Strategic Portfolio Prioritization

	modern relationship management tool to improve quality and efficiency of service delivery 4) Provides citizens one-stop service delivery integrated through Firstgov.gov, cross-agency call centers, and offices or service centers.	improve quality and efficiency of service delivery 4) Provides citizens one-stop service delivery integrated through Firstgov.gov, cross-agency call centers, and offices or service centers.	
Improves provision of services and information to Agency partners	Project reduces burden on Agency implementation partners (vendors, contractors, NGOs/PVOs) in two or more of the following ways 1) Adopts processes that dramatically reduce redundant data collection 2) Provides one-stop streamlined on-line support 3) Enables digital communication with partners using E-Business language (XML) 4) Minimizes burden on business by re-using data previously collected or using ebXML or other open standards to receive transmissions.	Project reduces burden on Agency implementation partners (vendors, contractors, NGOs/PVOs) in only one of the following ways 1) Adopts processes that dramatically reduce redundant data collection 2) Provides one-stop streamlined on-line support 3) Enables digital communication with partners using E-Business language (XML) 4) Minimizes burden on business by re-using data previously collected or using ebXML or other open standards to receive transmissions.	Project does not support G2B services
Improves provision of services and information to other government agencies, including oversight community; promotes interagency collaboration	Project reduces burden on Agency implementation partners (vendors, contractors, NGOs/PVOs) in two or more of the following ways 1) Adopts processes that dramatically reduce redundant data collection 2) Provides one-stop streamlined on-line support 3) Enables digital communication with partners using E-Business language (XML)	Project may facilitate ease of the A&A experience, access and responsiveness based on best estimate of internal OP staff.	Improving ease of use, access or responsiveness is not a primary purpose of the project.
Introduces commercial best practices to improve internal Agency operations by increasing efficiency and effectiveness	Project applies commercial best practices to streamline processes and increase efficiency in two or more of the following key government operations: 1) supply chain management 2) human capital management 3) financial management 4) document workflow 5) knowledge management best practices AND enhances existing	Project applies commercial best practices to streamline processes and increase efficiency in at least one of the following key government operations: 1) supply chain management 2) human capital management 3) financial management 4) document workflow 5) knowledge management best practices AND enhances existing policies and procedures to	Project fails to improve internal effectiveness and efficiency

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	policies and procedures to support improvements to internal efficiency and effectiveness.	support improvements to internal efficiency and effectiveness.	
<p>Link to M Bureau Management Goals: USAID's development goals achieved in the most efficient and effective manner.</p> <p>Source: USAID Strategic Plan 1997 (Revised 2000) /1</p>	<p>Project directly supports three or more of the following management objectives: 1. Accurate program performance and financial information available for Agency decisions. (PMA financial) 2. USAID staff skills, Agency goals, core values, and organizational structures better aligned to achieve results efficiently. (PMA Human Resources) 3. Agency goals and objectives served by well-planned and well-managed acquisition and assistance. 4. Agency goals and objectives supported by better information management and technology. (PMA eGov).</p>	<p>Project directly supports two M Bureau management objectives.</p>	<p>Project does not directly support M Bureau management objectives</p>
<p>Link to Quicksilver or other Interagency Initiatives</p>	<p>Project has been vetted against Quicksilver Initiatives and will be implemented in conjunction with one of these initiatives OR Project has been vetted against initiatives of other foreign affairs agencies and will be implemented as an interagency initiative.</p>	<p>Project has been vetted against Quicksilver Initiatives and cannot be immediately implemented as part of the Quicksilver package, but will be done in such a manner that it will eventually be able to be incorporated into these initiatives. OR Project has been vetted against initiatives of other foreign affairs agencies and will be implemented in a way that it can eventually be leveraged as an interagency initiative.</p>	<p>Project has neither a Quicksilver nor an inter-agency aspect.</p>
<p>Addresses Transformation Architecture Gaps</p>	<p>Project has been vetted against the Agency's EA and addresses multiple Transformation Architecture Gaps</p>	<p>Project has been vetted against Agency's EA and addresses at least one Transformation Architecture Gap</p>	<p>Project has been vetted against Agency's EA and does not address any Transformation Architecture Gap</p>

1/ Goals and objectives also outlined in FY2002 Accountability Report: Management Discussion and Analysis,

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February 2002.

Cost			
Budget	3	2	1
FTE required	Project requires < 0.5 FTE	Project requires between 0.5 and 2 FTE	Project requires >2 FTE
Telecommunications Services	Project requires < \$50K	Project requires >\$50K and <\$100K	Project requires > \$100K
Consulting \$	Project requires < \$100K	Project requires >\$100K and <\$500K	Project requires > \$500K
Hardware \$	Project requires < \$2.5K	Project requires >\$2.5K and <\$25K	Project requires > \$25K
Software \$	Project requires < \$500	Project requires >\$500 and <\$10K	Project requires > \$10K

Risk			
	3	2	1
Change Management	Project has minimal impact on the way most staff do work, or; project requires more significant changes but are limited to fewer than 20 staff.	Some significant changes are involved that will require change management and communication plans for a limited number of staff (less than 100.)	More than 100 staff are directly impacted in ways that will require a coordinated change management and communication effort.
Technical Risk	Projects of this type have been successfully accomplished in many federal settings and lessons are well understood and incorporated into ongoing risk mitigation plans.	Technology employed is new to the federal government, or has had mixed implementation results. Minimal risks are identified by project and there is little evidence of risk management.	Technology is not COTS or no risks have been identified by the project or no plan for tracking risk is described.
Schedule Risk	3	2	1
Contract Risk	Project either uses no contracts or one contract, the period of performance and ceiling of which are sufficient to cover the project requirements.	Project uses more than one contract, the periods of performance and ceilings of which are sufficient to cover the project's requirements.	Project uses more than one contract and/or the period of performance and ceiling of one or more contracts is not sufficient to cover the

			project requirements.
Political Risk	Project schedule shows completion within 1 year	Project schedule shows completion after more than 1 year	Project schedule spans administrations
Cross Functional Staffing	Project is in house and does not require cross functional staff, or; Project has fully-committed cross-functional staff	Project is in house and does not require cross functional staff, or; Project requires cross-functional staff, but does not have high commitment	Project requires cross-functional staff, but none are committed.
Dependencies with other initiatives	Project stands alone (although it may be required for other initiatives to succeed.)	Project depends on completion of another initiative that is currently on schedule.	Project depends on more than one initiative or an initiative that is behind schedule or at risk.
Management Priority	Project is approved by BTEC, PMO or M Bureau management in writing and is in the agency budget	Project is approved by BTEC, PMO or M Bureau management in writing, but not yet in the agency budget	No written management commitments have been made

Step 3 – Rationalize Initiatives

In coordination with BTEC representatives, PMO staff will work with M/IRM, other M Bureau staff, and representatives of PPC, LPA or Pillar Bureaus (depending on the nature of the e-Gov proposed project) to create small working groups that will prepare initial scoring of e-Gov projects. The results will be presented to the BTEC for review and approval, consistent with the documented capital planning and investment process at USAID.

Step 4 – Finalize Portfolio Strategy

The final step in the portfolio rationalization is applying cost and resource constraints to the list of initiatives. This step is forthcoming and will be completed once the list of initiatives is rationalized appropriately.

4 LESSONS LEARNED

This important step in managing investments as a portfolio generated some lessons for improvement in the next iteration of the process.

4.1 CRITERIA FORMATION

In retrospect, it became clear that the risk and cost criteria had been tested by individuals who had too much tacit knowledge of the projects. In practice, there was insufficient documented project information for a person less familiar with the projects to objectively score the cost and risk criteria. Two recommendations for next steps spring from this lesson learned. First, the quality of project information needs to be improved through more professional project management. Second, scoring criteria should be developed or tested by PMO staff who are less familiar with the details of proposed projects.

In keeping with the latter point, the criteria “Addresses Open IG or GAO Findings” for the OP scoring may be a good criterion, but it required more preparation, including more explicit instructions to initiative owners to show how each initiative may address a finding. Criteria need to be tested and vetted against information likely to be available in project descriptions.

4.2 NORMALIZATION OF PORTFOLIO SCORING/CRITERIA

Legitimate debate is possible as to whether all portfolios should use the same criteria or use different criteria normalized for cross portfolio balancing. Future criteria developers should obtain executive feedback as to their preferences in this matter. The pros of using the same criteria are greater if it is expected that a great deal of resource transfers among portfolios are likely. In this case, the judgment was made that greater value would come from getting the individual portfolios strategically ranked, and less emphasis was given to later, cross portfolio resource prioritization. These questions will become more critical as budgets and decisions are more closely tied to the strategic work done by the portfolio teams.

5 RECOMMENDATIONS AND NEXT STEPS IN PORTFOLIO PRIORITIZATION

5.1 IMPROVE THE QUALITY OF PROJECT INFORMATION.

Few projects had clear information related to cost, benefit or risks. There was often little information related to the period of performance for the projects. The PMO should act to promote the use of its new project forms and provide guidance to project owners about project management techniques.

5.2 CROSS PORTFOLIO PRIORITIZATION

One lesson learned is that using different criteria to maximize the value of prioritization in a single portfolio will lead to questions about the fairness of rationalizing scores across portfolios. As the goal of the PMO shifts to greater emphasis on using the portfolio process to make inter-portfolio resource allocations, greater effort should be made to improve project information so that a single risk adjusted benefit cost score can be generated in each portfolio. In the event sufficient project information cannot be generated, the executives who use the process must be educated about the risks of comparing apples to oranges in making business priority judgments. A strong analytical process can rarely replace a leader’s judgment, but should inform that judgment. The

process should be sufficiently transparent that it can be assessed and results intelligently employed.

5.3 BUDGET/PORTFOLIO LINKAGE

The portfolio results should be used to inform management decisions about continuing or stopping projects. New projects should be introduced to the portfolio teams prior to management approval as part of an ongoing, rational, transparent process of prioritization and project selection and control. The PMO and M Bureau Management should make efforts to inject the portfolio strategy results into the actual budgets and priorities of the M Bureau.

5.4 CPIC/PORTFOLIO LINKAGE

The capital planning and investment control (CPIC) guidance is currently silent on the role of the PMO in the selection of projects. As written, major capital investments might often bypass treatment with the rest of the portfolio. The CPIC document should be amended to support portfolio management concepts by defining a single authority through which budget requests for new projects pass. That authority should take measures to apply portfolio best practices in the selection, control and evaluation of projects.

APPENDIX A: FINANCIAL MANAGEMENT INITIATIVES

	Owner Name	Business Area	Project Description	Business Problem Solved	Impact	Proj. ID #	Comments
1	Dave O	Accounting	Enhance credit card process to permit Citibank auto-load to Phoenix of bills for corporate travel card and purchase cards, automated payment to Citibank, and enhanced reconciliation capabilities	<ul style="list-style-type: none"> - More efficient processing of credit card payments - Improved financial performance, external reporting 	<ul style="list-style-type: none"> - More efficient processing of credit card payments - Less time required to reconcile charges with obligating documents 	76	<p>Not Scored for Portfolio Rationalization – folded under Initiative #68</p> <p>Being Piloted</p> <ul style="list-style-type: none"> - 1/3 completed - High potential - Low Cost
2	Richard Levine	Financial Management	A debit card offered by Citibank to enable officials to provide a card to employees that do not have access to credit card on an as needed basis. The card will be issued with a zero balance and can be funded online by USAID authorized officials.	<ul style="list-style-type: none"> - FSN access to cash advances needed for temporary duty assignments eliminating the need for advances by USAID/W - Provides mechanism for advances to employees who are unable to use the government credit cards - Working Capital Fund and OIG 	FSN do not have access to individual credit cards for travel. In addition, some USDH employees don't have access to the travel card due to late payments or abuse	85	<p>Dropped - Not Scored for Portfolio Rationalization</p> <ul style="list-style-type: none"> - No action as of yet, Citibank customizing pilot Debit card for us now
3	Scott Stiens	Financial Management	E-gov initiative that speeds electronic payment to vendors through an established credit card account held by the vendor. Citibank to provide each large dollar/volume vendor with their own debit card.	Vendors receive early payment and AID gets discount and administrative savings	- Time value of money will result from earlier payment to vendors and admin savings. USAID to seek contractual early payment discounts	69	<p>Dropped - Not Scored for Portfolio Rationalization</p> <ul style="list-style-type: none"> - Held preliminary planning meetings with Citibank, AOC Solutions, and Delta Technologies - 9 months to establish a pilot and conduct an evaluation

Appendix A: Financial Management Initiatives

	Owner Name	Business Area	Project Description	Business Problem Solved	Impact	Proj. ID #	Comments
4	Steve Tashjian	Budget Execution/ Financial Management, Contract Closeout	Identify program funds and award contract for dedicated closeout/recovery/de-obligation of funds	Unexpended balances in expired awards cited as deficiency in financial statement audits. Funds that can be utilized for current requirements remain obligated in expired awards	<ul style="list-style-type: none"> - Better management of funds appropriated to the agency - More timely identification of funds that are no longer needed for initial purposes 	74	<p>Scored for Portfolio Rationalization</p> <ul style="list-style-type: none"> - High value project - Push from DC to get De-obed \$800M project - Impacts regional and central bureaus
5	Dave O Matt Talbert	Accounts Payable /Grants Management	Provide procurement officials or controllers on line access to DHHS letter of credit (LOC) system to enable entry of awards. Identify process improvement opportunities for ensuring that award and modification data is submitted to FM for entry into DHHS Payment Mgmt System	Cures considerable delays in entering award information for grantees. As a result, expenditures are not posted in a timely manner and pipelines are overstated.	<ul style="list-style-type: none"> - Facilitate timely recording of awards and modification information for organizations with letters of credit into DHHS PMS. - Enables grantees to submit liquidation reports in a timely manner 	77	<p>Dropped - Not Scored for Portfolio Rationalization</p> <ul style="list-style-type: none"> - Some components underway - Workflow is being reviewed by M/FM and M/OP. - Reconciliation of LOC balances is currently underway and is expected to be completed by the end of fiscal year 2002. - Procedures for regular reconciliation have been developed and issued
6	Steve Crabtree	Document Imaging	All financial source documents currently scanned and stored in digital form by RFMO/Budapest. Imaging linked to MACSview. Initiative also planned to image procurement and financial documents in USAID/W. M/CFO will need to work in collaboration with M/OP.	Copies of financial and procurement documents are maintained in several locations in USAID/W and missions and not readily to everyone needing access	<ul style="list-style-type: none"> - Provides desktop access to all financial and procurement source documents - Agency personnel have more immediate access to information to respond to queries/concerns. 	71	<p>Scored for Portfolio Rationalization</p> <ul style="list-style-type: none"> - Works well - Document imaging for 12 missions - No standards for merging system wide - Piloted and have ID'd hurdles - Mandatory for regionalization

Appendix A: Financial Management Initiatives

	Owner Name	Business Area	Project Description	Business Problem Solved	Impact	Proj. ID #	Comments
7	Dave O	Accounts Payable/Accounting	Initiate design and develop manual and electronic invoicing pilots in Washington and field missions. Initiate electronic administrative approvals.	More efficient procedures needed to receive, approve and pay contractor invoices	Enables agency to collect more information from incoming invoices	78	Scored for Portfolio Rationalization This will not be available until the Vendor Self Service Module is incorporated into Momentum and implemented at USAID
8	Dave Noble	FM and reporting, budget, procurement, auditing, program management	Implementation of an integrated financial management system that meets federal requirements and provides USAID HQ and missions with timely, reliable, and complete financial info	JFMIP compliant system will provide Agency valuable financial and cost management information to its business managers and to meet federal requirement for federal reqmts for financial systems and financial reporting.	Meets federal requirements such as FFMA, OMB A-127 Standardized reports to allow managers better info for monitoring programs	68	Scored for Portfolio Rationalization In HQ, USAID has implemented GL, AP, AR, Budget/funds Control
9	Steve Crabtree	Financial Management	Replicate MACSView at other accounting stations besides to provide an automated snapshot of their database segment along with mgmt reports on a regular basis.	Electronic access to information from MACS is not available to missions supported by regional centers nor program officials who manage activities	- Provides timely, accurate, comprehensive financial information on mission programs - Avoids proliferation of MACS databases, supports further consolidation	70	Scored for Portfolio Rationalization Currently in use in Budapest
10	Dave O	Accounting	Enhance Phoenix reporting capabilities to complete Flash report needed by USAID managers by 15 th of each month and FACS II reports to treasury within deadlines	USAID managers need regular financial management reporting to manage activities and Agency must meet external reporting requirements	Provide information needed to manage programs and ensure compliance with reporting requirements	75	Scored for Portfolio Rationalization Agency has implemented a web-based reporting tool, Crystal Enterprise Office of FM is responding to additional requests for reports and has asked the BTC to develop a list of high priority reports for

Appendix A: Financial Management Initiatives

	Owner Name	Business Area	Project Description	Business Problem Solved	Impact	Proj. ID #	Comments
							development.
11	Dave O	FM	USAID recently initiated new procedures for capturing quarterly accruals. Actions planned to ensure and effective accrual process include completion for training for ALL bureau personnel, continuing support for bureau personnel, post-mortem evaluations of quarterly accrual process, evaluation of accrual quality	USAID implemented an accrual exercise to be replicated each quarter. CTOs are adequately trained to provide estimated accruals and that the accruals are a reasonable estimate of accounts payable.	Allow agency to meet regulatory requirements. Provide more accurate information on financial status of activities	84	Not Scored for Portfolio Rationalization Project is complete
12	David Bilker	FM	Using a payroll service provider for USPSC, outsourcing payroll and tax processing	Will provide standardized system for processing USPSC payroll	Standardization of non-standard function, reduced	79	Scored for Portfolio Rationalization Pilot testing at USAID/Guatemala is on going
13	Robbin Burkhart	FM	Use of Citibank's web software to effect foreign currency transactions charged to credit card. Provides foreign currency payment using the net and commercial banking services	- More timely payment of foreign vendors to achieve discounts.	-Mission managers and external customers receive improved payment services - Potential for reduced costs and improved internal controls	72	Scored for Portfolio Rationalization Early pilot testing USAID/Ghana. Currently in 1 st month of 3 month pilot
14	David Ostermeyer	Financial Management	A web based vendor application that enables external vendors to access pertinent information including the status of their invoices and contract and banking information	Vendors need readily available vehicle to get information on the status of payments and more efficient procedures needed to revise required information on vendors	Support government to business electronic transactions and enhance internal efficiency and effectiveness	81	Scored for Portfolio Rationalization As with Electronic Invoicing, this will not be available until the vendor self-service module is incorporated into Momentum (expected with Rel 5.0) and implemented at USAID
15	Larry Grizzard	Financial Management	FSN HR/Pay system that fully integrates personnel functions, such as the processing of JF62s for FSN	More efficient payroll and personnel system needed for	Uniform practice across the entire Agency (currently, each mission	83	Scored for Portfolio Rationalization Tested by

Appendix A: Financial Management Initiatives

	Owner Name	Business Area	Project Description	Business Problem Solved	Impact	Proj. ID #	Comments
			PSCs and JF 50s for FSN DHs, budgeting, accounting, reconciling the 1221s, disbursing and reporting. The systems will electronically transmit all HR/Pay info to the State Dept service center.	FSN Staff	manages FSN personnel and payroll differently)		USAID/Manila
16	Donald Douglas	Customer Service Standards	Establish customer service standards that identify weaknesses and set out expectations and time frames for achieving milestones for improvement	Need to create/update customer service standards	<p>- Customers need to know what to expect from M Bureau service providers and employees know what is expected of them</p> <p>- Enables M Bureau divisions to establish performance benchmarks and better gauge the quality of service provided</p> <p>- Fosters employee accountability; clarifies expectation, resulting in improved customer service</p>	12	<p>Dropped - Not Scored for Portfolio Rationalization</p> <p>3-6 months</p>
17	TBD	Managerial Cost Accounting				N/A	Scored for Portfolio Rationalization
18	TBD	Ongoing Worldwide Reconciliation				N/A	Scored for Portfolio Rationalization
19	TBD	Integrated Procurement System				N/A	Scored for Portfolio Rationalization
20	TBD	LAC Consolidation				N/A	Scored for Portfolio Rationalization

Appendix A: Financial Management Initiatives

	Owner Name	Business Area	Project Description	Business Problem Solved	Impact	Proj. ID #	Comments
21	TBD	Financial Statement Preparation				N/A	Scored for Portfolio Rationalization
22	TBD	Help with IG Audit				N/A	Scored for Portfolio Rationalization

APPENDIX B: FINANCIAL MANAGEMENT INITIATIVES AMENDED PRIOR TO SCORING

Updated:

Customer Service Standards
Integrated Financial System
Debit Account Payment to Contractors
MACSView
Document Imaging
Web Payments
Phoenix Reporting Capabilities
Citibank Auto Load
DHHS Improvement Plans
Electronic Invoicing
USPSC Payroll Processing
Web Vendor Query
FSN HR/Pay System
Citibank Debit “Pay” Card

Redescribed:

De-Obligation Recovery of Funds

Completed

Quarterly Accruals

Deleted

Pillar Bureau Billing System
Financial Management Training
HR/FM Workflow
Expanded use of Personal Travel Cards

APPENDIX C: LIST OF PROCUREMENT INITIATIVES

	Owner Name	Title	Business Area	Project Description	Business Problem Solved	Impact	Proj. ID #
1	Debra Banks	Procurement Systems Improvement Project	Contracting offices, program offices	PSIP was initiated to address functional and technical deficiencies and modernize operations in the acquisition and assistance processes and systems throughout USAID	Need for a world wide ebusiness system comprised of an acquisition and assistance system interfaced with a financial system, to remedy management and reporting deficiencies	Makes USAID A&A process a world class, streamlined and effective operation Improve the agency's compliance with key government regulations, such as GPRA, GPEA	13
2	Debra Banks	E- catalog	E-Gov	Utilized a web based e-catalogue functionality	Need for centralized, easily accessed catalog of contracts readily available, with ability to use purchase card for task orders	Lower costs for purchases of supplies from pre-negotiated contracts Ordering information for USAID IQC Contracts readily available, with ability to use purchase card for task orders	14
3	Terry Payne	Central Contractor Registry	E-Gov	Utilize the BPN developed by DOD, to ensure validation of vendor database addresses and payment information in Phoenix	Inaccurate vendor address information; duplicate vendors	Phoenix vendor addresses and payment information is kept current, resulting in fewer payment errors	15
4	Terry Payne	FedBizOps for Grants	E-Gov	Utilize the government wide site, FedBizOpps for posting requests for applications and annual program statements for assistance actions	Need to increase vendor pool for assistance actions	Provide easier access for grantees to be notified of proposed assistance actions	16
5	Anne Terro	CTO Certification	Human Capital	Provide training and certification for CTOs worldwide. Four courses have been developed.	Need for trained CTOs to provide better management of awards	Increase knowledge of CTOs resulting in better management of USAID A&A awards	17

Appendix C: List of Procurement Initiatives

	Owner Name	Title	Business Area	Project Description	Business Problem Solved	Impact	Proj. ID #
6	Debra Banks	Reverse Auction Web site	E-gov	Utilize a reverse auction website such as Fedbid, to post RFQs for supplies and commercial items, and conduct reverse auctions	Reduced prices for standard supplies and commercial items resulting from increased pool of vendors and reverse auctions	Increase use of small, women-owned/minority businesses through targeted access to wider vendor pool when posting solicitations	18
7	Terry Payne	FedBizOps	E-Gov	Central Repository Government wide for Posting all solicitations and awards	New statutory requirement	Contracting officers can post solicitations from their desktop. External customers can view all Federal solicitations at a single site	19
8	Terry Payne	Redesign of M/OP Web site	E-Gov	Create a user-friendlier site that logically groups procurement policy both external and internal. Create pages for each division share initiatives and work related documents as well as customer	Difficult to navigate current web site	Allows transparency into M/OP business process and policies, and provides and electronic venue for customer feedback	20
9	Terry Payne	File Room Automation	E-Gov	Scan pertinent active backup documents to comply with the vital records review. If we had to work off site for any period of time Contracting Officers would have access to important Agency procurement	Need for vital record retention	Allows access in a worst-case scenario as well as compiles with the Paperwork Reduction Act. Allows electronic records sharing	21
20	Terry Payne	Data Warehouse	E-Gov	Need to have a single data repository for generating reports. Currently, we are reporting out of multiple databases	Need to have a single data repository for generating reports. Currently, we are reporting out of multiple databases.	Centralizes all post award procurement data.	22
21	Terry Payne	Redesign of Secondary Databases	Bus Sys Ops	Redesign M/OP suspense databases for tracking work in the procurement support and evaluation	Need better internal controls for tracking suspense files	An ultimate feed into the data warehouse. Gives transparency to interested bureaus and internal M/OP customers	23
22	Terry Payne	Dun and Bradstreet Vendor	M/OP, M/FM	Allow Dun and Bradstreet to clean up the Agency vendor	Need for quality data and better capturing of socio-economic	Contract with D&B to delete all duplicate vendor	24

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	Owner Name	Title	Business Area	Project Description	Business Problem Solved	Impact	Proj. ID #
		Database Clean Up		Database	status	records	
23	Terry Payne	NMS Improvements	E-Gov	If the decision is to stay the course with current system, enhancements need to be made to increase efficiency as well as to bring the current system up to the current technological standards	Need for routine maintenance and enhancement	Increased efficiency and transparency. Allows agency to comply with Federal guidelines concerning business automation (e-gov/commerce, GPRA)	25
24	Terry Payne	ProDoc Improvements	Bus Sys Ops	This is a continuous improvement process. Some planned improvements include foreign currency	Need for routine maintenance and enhancement on the ProDoc database. No other automated system exists for field to report and AID/W to collect field data	Standardization of procurement documents across the business area. Consistency, better reporting	26
25	Terry Payne	Electronic Customer Survey for Post Award	E-Gov	Enables the Office of Procurement to begin an interactive dialogue with our customer base. What's working and what is not. Will provide quick and easy response to questions about how we do business and offers transparency into our business process	Need for customer feedback	Agency Program Officers, Contracting Office Staff	27
26	Ron Stanley	On line CTO Course	Training	Automate the basic acquisition and assistance CTO course, for use by CTOs in missions and newly hired CTOs who have to go to the field soon and do not have time for the class based version.	Need more widespread access to CTO training	- Save funds and train more CTOs sooner - Lessens vulnerability of Agency in terms of unauthorized commitments, claims, protests, disputes	28
27	Ken Monsess	Contractor Performance Reports	E-Gov	USAID subscribing to an online system for compiling performance reports from 20 civilian agencies	Reference checks by email is hit or miss and is not timely	Will provide immediate information rather than using a cumbersome reference check	29
28	Kim	Contract Review	Improve d	CRB is expanding its review of contracting actions to include	Agency receives many complaints	Assure quality and consistency of	30

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	Owner Name	Title	Business Area	Project Description	Business Problem Solved	Impact	Proj. ID #
	Triplett	Board	Financial Performance	overseas contract. CRB members are currently reviewing IQCs to determine if the CRB should expand review to include task orders, and are considering also reviewing grants and cooperative agreements	from contractors on the award of task orders and on inconsistencies in grants.	USAID procurement actions	
29	O'Hara	Inter Agency Agreements	Bus Sys Ops	Policy manual on inter-agency agreements is in re-write	Process for interagency agreements is cumbersome and takes too much time	Provide clarity and better guidance	31
30	Velma Jones	Greater use of Credit Cards	E-Gov	Increasing the maximum amount of credit card purchases, expanding pool of users, using credit cards for paying contract invoices	Need for streamlined contracting	Reduce the length of time for procurements Reduce number of payments processed by FM	32
31	O'Hara	GovWorks	E-Gov	Utilizing services of other gov't agency for less complicated procurements	OP doesn't have enough in house resources to compensate for bad procurement planning	- Frees up resources for more demanding actions - Allows for faster procurement	33
32	Alan Eisenberg	Personal Service Contracts	HR, EXOs, Contracting Officers	Have personal services contracts handled by HR or EXOs in the Bureaus	Insufficient OP staff to handle PSCs	Frees up resources for more demanding actions	34
33	Allan Eisenberg	Cost Share	Bus Sys Ops	Revamping policy on requirements for recipients of grants to find other sources of funding	Current policy provides disincentives for SO teams to require anything other than 25% cost share, which limits participation by small NGOs	- Removes impediment to participation by smaller NGOs - Also clarifies roles in USAID for decisions and negotiating	35
34	Diane Howard	CTO Letters	Bus Sys Ops	Standardized letters delegating authorities to technical staff to allow them to serve as CTO for contracts and grants, and spelling out limits on authorities	Lack of CTO training results in unacceptable levels of unauthorized commitments	Clarifies role of CTO	36
35	Carol Ketrick	Global Development Alliance	Competitive Sourcing	USAID uses its resources and expertise to assist strategic partners in their investment decisions, and stimulates new investments by bringing new	US Private Sector is increasingly a player in international development. Because of potential	Allows USAID a role in how private funds are expended and can support ongoing activities	37

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	Owner Name	Title	Business Area	Project Description	Business Problem Solved	Impact	Proj. ID #
				actors and ideas to the overseas development arena	impact on foreign policy, USG needs to be involved, but has to treat all private players fairly	Allows partners to take advantage of USAID knowledge and relationships in participating countries	
36	Kim Triplett	Establishing Standards in EVAL	Customer Service	Working with PWC to review customer service satisfaction plans to establish a baseline that will allow setting standards for response times. EVAL staff AEFs will reflect performances against standards	Need for established customer service standards to improve services	Will provide mechanism for managing performance of staff	38
37	Kim Triplett	OP Contracting Staff Qualifications data base	Human Capital	Records on continuing education for acquisition/assistance staff will be kept in a data base instead of manual files	Manual systems of files makes it difficult to track whether A&A managers undergo required continuing education	Will make it possible to monitor individual's compliance with PMCP continuing education requirements Compliance with OFPP Policy letter 97-1 requiring a management information system for a central personnel data file	39
38	Anne Quinlan	Local Clause Book	Procurement	OP personnel use ProDoc system to generate contract/assistance and award documents. In addition to these clauses, there are other provisions needed to particular situations. A local clause book would standardize the "other" clauses normally added to complete a solicitation/award document. Helps those who generate, use and offer services.	Need for standardization of local clauses	The clause book would be used by procurement personnel to generate solicitation/award documents. This would require less time and reduce the number of errors in solicitation/award documents.	40
39	Anne Quinlan	Uniform Agency Procurement Plans	Procurement	Need standard format for procurement plans to improve OP ability to manage procurement workload. Bureaus need better insight into status of their actions in OP	Need to create an MACRO for use by agency personnel. This would facilitate the review of procurement plans across Agency bureaus/offices to determine where problem areas are and allow for the reporting of when		41

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	Owner Name	Title	Business Area	Project Description	Business Problem Solved	Impact	Proj. ID #
					actions were received in OP and awarded by OP		
40	Anne Quinlan	Co-location of Procurement Personnel within Client Bureaus	Human Capital	Procurement staff who support a particular client bureau/office would sit within that office rather than within the Office of Procurement	Need to improve teamwork between OP and client office	Create better teamwork between OP and Bureau/Client office personnel	42
41	Anne Quinlan	Use of COOP Programs for Recruitment	Human Capital	We currently hire individuals from other government agencies or industry. This initiative proposes to hire individuals from college student COOP Programs. This worked well in the past.	Easier to train new recruits in the USAID procurement methods than to retrain mid-career hires	Allows OP to “preview” individuals while in a temporary status before hiring as permanent staff	43
42	Anne Quinlan	Standardize IQC Contract Formats	Bus Sys Ops	Need standardization of IQCs to increase efficiency for OP, client office and vendors. Currently, there are numerous models which makes it difficult for the vendors and the ordering offices to understand each IQC and the differing terms and structures applicable to the task orders	Need standardization of IQCs to increase efficiency for OP, client office, and vendors	The standard formats would become part of the Automated Local Clause Book within the ProDoc System. Standard format would make it easier to understand for contractors when responding to solicitations	44
43	Anne Quinlan	Procurement Liaisons within Client Bureaus	OP, Client Bureaus/ Offices	Each bureau/office would designate a position within their office for a person to help them develop the various documents needed to initiate the procurement request	Need improved requirements documents from client offices and relieve the burden of OP staff having to do significant rework of these documents	Help those generating the procurement request and frees up procurement personnel to do other things When project personnel are new to the govt, they have difficulty generating documentation needed for a procurement.	45
44	Kitty O’Hara	Competitive Sourcing	Competitive	Complete commercial positions within USAID in accordance with	Complete commercial positions within USAID in	Efficiencies and cost	46

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	Owner Name	Title	Business Area	Project Description	Business Problem Solved	Impact	Proj. ID #
			Sourcing	PMA	accordance with PMA	savings	
1000	Debra Banks	Spend Analysis Project (Procurement Strategy)	E-Gov	Spend Analysis Project (Procurement Strategy)	USAID does not have a full picture of its spending with which to develop comprehensive procurement strategies for sourcing, leveraging suppliers or focusing on high impact streamlining activities around designated contract vehicles.	First step in comprehensive procurement strategy. Provides baseline spending information that can lead to identification of sourcing savings and help baseline potential process improvement savings	N/A
1001	Debra Banks	X Service Process Streamlining Initiative	E-Gov/IRM	Based on spend analysis, identify an area of spending that uses many processes of contracts and define a more streamlined process for delivering. This is based on commercial best practice, strategic sourcing and commodity councils.	Process streamlining is needed to get cycle time down. Doing so across the board is probably too ambitious, but possible within the scope of one vehicle or service type.	Driving spend through a preferred supplier can save substantial sums of money	N/A
1002	Debra Banks	Good Practice SOW	Human Capital	OP staff should collect and later maintain good examples of SOW for different sectors and types of work to cut down on the difficulty for CTOs to put together good acquisition packages. These should be available globally through the internet.	CTOs are not trained and do not always understand the required elements of a good SOW. Creating good SOWs and the back and forth to achieve actionable SOWs is a contributor to frustration and long cycle times	Web capability. Ability to manage knowledge and continuously improve and update the content of the SOWs.	N/A
1003	Linh Lam	Travel Management Pilot	E-gov	OP Staff should be able to create/process/submit travel authorization/vouchers electronically	The current production version of travel manager allows for electronic processing of TA and vouchers. No offices are willing to implement this feature.	Minimize staff time routing these documents between offices. Documents are efficiently routed and reduces paperwork.	N/A
1004	Linh Lam	Pilot Web-based AAMS (Pro-track/ProD)	E-Gov	Pilot Web-based AAMS (Pro-track/ProDoc)	USAID Overseas offices do not have a contract management tool to initiate procurement requests, manage	Provides a procurement management tool to track and process procurement	N/A

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	Owner Name	Title	Business Area	Project Description	Business Problem Solved	Impact	Proj. ID #
		oc)			procurement actions, and create award documents	actions	
1005	Linh Lam	Executive Officer Management System	E-Gov	Provide a management tool for Executive Officers overseas to track and process Mission critical operations	Executive officers do not have a management tool that tracks all the operational activities that get processed through the EXO shop	A management tool that can facilitate the workflow of documents, monitor on-going activities	N/A
1006	Linh Lam	FMIS	Procurement	FPDS re-engineering project. The purposes of the project are to enhance the FPDS	The procurement executives council listed their requirements for a new system that would take advantage of new technology	Reduce the time to collect data about contracts, collect more and better information, and provide management information	N/A
1007	Linh Lam	MS Project Software	Human Capital	Implement MS Project Software on Agency Standard desktop	Project management is the core function of USAID business. However, the staff lack the appropriate tools to manage their projects effectively	Project managers will have the necessary tool to create/track milestones, monitor multiple tasks, and maintain electronic records	N/A
1008	Linh Lam	Currency of AAPD/CIBs	Human Capital	Standardize the methodology and policy for updating AAPDS more frequently	Procurement staff have a difficult time keeping up to date with obsolete documents.	Help procurement staff current and focused on active policy directives	N/A
1010	Ron Stanley	Comprehensive Acquisition Workforce Training Program	Human Capital	Comprehensive training program for USAID's Acquisition Workforce to be inclusive of the positions	A comprehensive training program for the procurement workforce to be inclusive of activity managers	A comprehensive procurement training program would integrate all separate functional training	N/A

APPENDIX D: PROCUREMENT INITIATIVES AMENDED PRIOR TO SCORING

The following projects were not evaluated because they were completed, substantially completed.

- ▶ FedBisOpps.gov (for contracts)
- ▶ Redesign of the M/OP web site
- ▶ Data Warehouse
- ▶ Redesign of Secondary databases (legacy)
- ▶ Dun & Bradstreet cleanup
- ▶ NMS Improvements
- ▶ Contractor Performance Reports
- ▶ Contract Review Board
- ▶ Inter-Agency Agreements
- ▶ GovWorks.gov
- ▶ Cost Share
- ▶ Global Development Alliance
- ▶ Establishing Standards in EVAL
- ▶ Co-location of Procurement Personnel within Client Bureaus
- ▶ COOP for Recruitment
- ▶ Standard IQCs

APPENDIX E: E-GOV INITIATIVES

- FedBizOpps.gov (for contracts)
- e-Travel
- e-Training (HR Distance learning Program with DOT Virtual University and GSA)
- Interagency Collaboration Zone (Pilot funded by DOS)
- Video Teleconference with State/Treasury/Commerce
- Vendors/Contractors Registry/ BPN
- e-Authentication (PKI)
- Metro check Paperless issuance
- ADS Web based, fully indexed
- Collaboration tool
- Documents management
- Portal for Intranet & Extranet
- Leverage Windows 2000 Instant Messenger/Netmeeting for internal use
- Classified Collaboration Space (for Internal use)

E-Gov initiatives serving more than one agency are:

- Internal Expertise Database/Locator
- Congressional Presentation/Congressional Notification Dedicated Portal for Hill /OMB Staff
- e-FOIA submission
- Mini Customer Relations System (CRS)

Other initiatives currently being explored by USAID include those that have a potential partnership with another US Agency include:

1. Establishing an Extranet to work worldwide, in a safe environment, with trusted partners (contractors, NGO's, PVO's, business, multinationals, and others).
Technologies: Portal/Collaboration tools, etc.
2. Establishing Telecommuting Centers worldwide, including remote areas, to serve well and in a safe environment the needs of all civilian Foreign Affairs agencies, as well as their contractors and U.S. business serving U.S. Government, and U.S. charities.