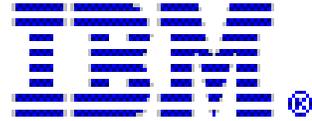


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Table of Contents

Executive Summary	1
1. Introduction	4
1.1 Background.....	4
1.2 Project Scope	5
1.3 Enterprise Architecture Methodology	5
1.4 Overview Document Layout.....	8
2. The HIV/AIDS Program Landscape.....	10
2.1 The Forces Driving the HIV/AIDS Program Environment	10
2.2 HIV/AIDS Program’s Current Operating Environment	11
2.3 The HIV/AIDS Program Value Net – Who Are the Players?.....	14
3. USAID HIV/AIDS As-Is Program Business and Information Architecture Overview.....	19
3.1 HIV/AIDS Program Overview	19
3.2 Program Oversight Business and Information Architecture	20
3.3 HIV/AIDS Program Operations Business and Information Architecture.....	28
4. How the HIV/AIDS Program can best deliver value to its Stakeholders	34
4.1 The HIV/AIDS Program Mission	34
4.2 Roles within the HIV/AIDS Program	34
4.3 Consolidated Needs	34
4.4 Value Added Services.....	35
5. Turning Value into Operational Capabilities	36
5.1 Capabilities	36
5.2 Enablers	38
5.3 How this fits into the Agency’s existing structure.....	38
5.4 Services Architecture	49
6. Measuring Success.....	52
6.1 Critical Success Factors	52
6.2 Success Criteria	55
6.3 Performance Model.....	61
7. Recommendations	63
7.1 Capability and Results Building Blocks	63
7.2 Project Recommendations	64
8. Implementing the Recommendations.....	69
8.1 Transformational Vision Statement	69
8.2 HIV/AIDS Program Goals.....	69
8.3 Policy Recommendations	70
9. Initiatives.....	72

10. Implementing the Projects	75
10.1 Project Dependencies.....	75
10.2 Immediate Opportunities, Intermediate, and Long Term Projects.....	75
10.3 Global Health versus Cross-Functional Projects	77
Appendices	
Appendix A: Individual Initiatives and Project Profiles.....	79
Appendix B: Capabilities with Supporting Enablers	111
Appendix C: Capabilities with Success Criteria.....	131
Appendix D: Process Descriptions	137
Appendix E: Role Descriptions	142
Appendix F: Knowledge Descriptions.....	145
Appendix G: Consolidated Technical Services	147
Appendix H: Technical Services Gap Analysis.....	148
Appendix I: Applicable Legislation.....	153
Appendix J: References and Interviews.....	155
Appendix K: Ongoing Projects.....	156
Appendix L: List of Acronyms.....	158
Appendix M: List of Systems	162
Appendix N: Service Reference Model Alignment	165

List of Figures

Figure 1. Scope of the Enterprise Architecture.....	6
Figure 2. EA Analytical Process Overview	7
Figure 3. EA Analytical Steps	8
Figure 4. HIV/AIDS Program Drivers.....	10
Figure 5. Conceptual Current Operating Environment.....	11
Figure 6. Program Oversight Stakeholder Segments.....	15
Figure 7. Program Operations Stakeholder Segments	17
Figure 8. Conceptual View of the HIV/AIDS Program.....	19
Figure 9. As-Is Program Oversight Business Process Area.....	21
Figure 10. HIV/AIDS Program Budgeting Relationships	22
Figure 11. HIV/AIDS Program Guidance and Reporting Relationships	23
Figure 12. As-Is Program Oversight Touch points.....	24
Figure 13. As-Is Program Operations Business Process Area.....	28
Figure 14. As-Is Program Operations Touch points	29
Figure 15. Consolidated Needs Mapped to Value Added Services	35
Figure 16. Value Added Services Mapped to Capabilities	36
Figure 17. Overview of Services Architecture	50
Figure 18. Program Capability Building Blocks.....	63

List of Tables

Table 1. Program Oversight Wants, Needs and Expectations	16
Table 2. Program Operations Wants, Needs and Expectations	18
Table 3. Program Oversight To-Be Processes	39
Table 4. Program Oversight As-Is Processes.....	40
Table 5. Program Oversight Gap Analysis	41
Table 6. Program Operations To-Be Processes	44
Table 7. Program Operations As-Is Processes.....	45
Table 8. Program Operations Gap Analysis	45
Table 9. Touch points to Financial Management.....	47
Table 10. Touch points to Acquisitions and Assistance	47
Table 11. Touch points to Budget.....	48
Table 12. Capabilities to Critical Success Factors Mapping	54
Table 13. Executive Guidance Success Criteria	55
Table 14. Governance Success Criteria	56
Table 15. Program Standards Success Criteria	56
Table 16. Program Communication Success Criteria.....	57
Table 17. Operational Guidance Success Criteria	58
Table 18. Operational Coordination Success Criteria.....	59
Table 19. Program Information Success Criteria.....	59
Table 20. Resources & Services Success Criteria	61

Table 21. Performance Reference Model Mapping	62
Table 22. Recommendation Source	67
Table 23. Initiatives	72
Table 24. Initiatives to Capabilities Mapping.....	74
Table 25. Project Durations	77
Table 26. Project Scope	78

Executive Summary

Development Assistance is one of the three main paths through which US foreign policy goals are achieved (Defense and Diplomacy being the other two). To fulfill its role as the leader in providing development assistance, the United States Agency for International Development (USAID) is undergoing a major Business Systems Modernization (BSM) effort to increase its capacity to manage additional funding, and improve the timeliness and efficiency with which it answers congressional and OMB stakeholders on how it spends money.

A significant part of this global foreign policy strategy is the worldwide effort to combat the HIV/AIDS pandemic. The primary vehicle of this response is the President's Emergency Plan for AIDS Relief (PEPFAR), which is providing sweeping increases to HIV/AIDS funding streams, under the direction of the Global AIDS Coordinator (S/GAC). These events put additional focus on the USAID HIV/AIDS Program. To respond to this scrutiny it is incumbent upon the Agency to improve its management processes and systems to increase its capacity to link HIV/AIDS related funding, purpose, and results.

USAID is using the Enterprise Architecture methodology as a structured means to analyze the changes needed to accelerate the modernization of the HIV/AIDS Program. These changes leverage the HIV/AIDS Program's numerous, deep, and well-grounded strengths in order to proactively respond to the demands of Congress, the Administration, and other stakeholders. By making an investment in five immediate project opportunities, USAID can substantially improve its ability to effectively manage HIV/AIDS resources and programs. While these opportunities have been derived for the HIV/AIDS Program and can initially be implemented there, some could be applied more broadly across the Agency. A detailed exploration of each opportunity is found in the project profiles in Appendix A.

Opportunity 1 - Institute HIV/AIDS Program Standards

Currently, it is extremely difficult to aggregate results, trace funding streams, or consistently measure program performance. This can only be accomplished if the information is collected using standard characteristics such as: common units of measure; a common language for describing objectives, work and results; and a common timeframe. The development of standard codes and consistent use across Agency systems would greatly facilitate the correlation, analysis and reporting of planning, funding and performance measurement information. A HIV/AIDS Program Standards plan is essential to the success of the entire HIV/AIDS Program transformation. This opportunity is detailed as Project 1A.

Opportunity 2 - Formalize Program Oversight Processes

Processes for field operations are clearly defined in the Agency's Automated Directives System (ADS), but processes to oversee the HIV/AIDS Program are not. The lack of formal oversight processes makes management of the HIV/AIDS Program more difficult and prevents Program leadership from demonstrating their ability to scale up or adapt the Program. Program leadership should develop an ADS equivalent for Program Oversight. Particular emphasis should be placed on defining the required processes and articulating roles, responsibilities, accountability and the interaction of individual positions and organizations. This opportunity is detailed as Project 2A.

Opportunity 3 – Implement HIV/AIDS Program Communications

Currently, critical HIV/AIDS program information is often lost, misinterpreted or does not arrive when it is needed. The HIV/AIDS Program should define and implement Program Communications that outline the information to be exchanged, when, by whom, to whom, in what format and by what delivery method. By implementing a clearly defined communications process, the HIV/AIDS Program can reap the benefits of standards and reporting to improve decision-making. This opportunity is detailed as Project 3A.

Opportunity 4 - Develop an Executive Information System for HIV/AIDS Program Reporting

Determining program performance information or results, currently requires constant heroic efforts across the Agency. The HIV/AIDS Program should create a single source for Program information. A single source for Program information provides a means to address pressing reporting needs and reduces the response time for internal and external inquiries. This is accomplished by consolidating existing disparate data sources into one data repository and developing and instituting the business processes necessary to support the collection and standardization of the information, including some changes to the Annual Report and its database. This opportunity is detailed as Project 4A.

Opportunity 5 - Institute an Integrated Strategic Planning and Budgeting System

At present, the strategic planning and budgeting processes are largely independent of each other and use a number of informal tools which are not integrated. As a result, it is very difficult to tie the planning and budgeting processes together. To increase the HIV/AIDS Program's ability to plan its operations, it should develop a unified approach to strategic planning, acquisition planning, budgeting, performance planning, and financial management. This can be best accomplished by automating the strategic planning and budgeting processes and integrating the resulting information with existing automated financial management and procurement systems; thus providing a complete view of Program activities. This opportunity is detailed as Project 5A.

These five project opportunities represent the first steps in a series of HIV/AIDS Program initiatives designed to modernize the Program. This series of initiatives was derived through a structured Enterprise Architecture analysis of the Program including numerous interviews with Program leadership, Policy and Program Coordination and Management Bureau staff. The analysis resulted in identifying business capabilities that align specific business processes, skills, information, and technologies to deliver demonstrable and measurable value to the stakeholders.

The Enterprise Architecture methodology followed a step by step process that derived a number of Initiatives and Projects from the HIV/AIDS Program stakeholders' stated wants, needs and expectations.

- The first step involved developing a set of *Consolidated Needs* by examining the various stakeholders' missions, goals, drivers and pain points.
- These Consolidated Needs were analyzed, resulting in the set of *Program Services*, and their associated *Critical Success Factors*, vital to satisfying the identified needs.
- The next step was to describe the *Business Capabilities*. These capability descriptions included the enabling components which are required to deliver the Program Services, such as the necessary people, processes, technology and knowledge.
- Finally, a gap analysis compared the current ("As-Is") environment to the future ("To-Be") environment resulting in business, technical and policy *Recommendations*. The set of

Initiatives & Projects derived from the recommendations, implemented over time, will establish the new HIV/AIDS Program.

The Enterprise Architecture analysis culminated in two primary architectural views. The first architectural view is the Business and Information Architecture (BIA). The BIA describes the business capabilities needed to most effectively deliver value to Program stakeholders. The second architectural view is the Application and Technical Architecture (ATA). This view describes how the technical services should be configured to deliver the business capabilities described in the BIA.

In realizing these initiatives, the HIV/AIDS Program will continue to mature, strengthening USAID's leadership role in providing humanitarian assistance to the developing world.

1. Introduction

The *President's Emergency Plan for AIDS Relief (PEPFAR)* is a comprehensive approach for addressing the HIV/AIDS pandemic in the 14 most severely afflicted African and Caribbean countries. Key elements of the Plan will be the administration of uniform preventive education, care, treatment, and distribution of prepared medical packs. The plan will build on the existing clinics, sites, and community based programs established through the United States Agency for International Development (USAID), the Department of Health and Human Services, non-governmental organizations, and faith-based groups. In implementing its activities under the PEPFAR, USAID faces significant logistical, financial, and programmatic challenges. How can USAID best apply its unique capabilities, talented but overextended resources and limited assets in the most expeditious and cost effective manner to address the HIV/AIDS Crisis?

1.1 Background

The United States Agency for International Development (USAID) is a key partner in the worldwide campaign against HIV/AIDS. Within the Agency, the HIV/AIDS Program is relatively young, attempting to oversee an extremely complex initiative with worldwide implications. As a result, the HIV/AIDS Program must navigate the length and breadth of USAID to implement and measure the effectiveness of HIV/AIDS interventions. The HIV/AIDS Program performs two distinct and different roles across the Agency: Program Oversight in Washington and Program Operations overseas. The HIV/AIDS Program also interacts with various USAID Management Bureau organizations with primary touch points in the business areas of Financial Management (FM), Acquisition and Assistance (A&A), and Budgeting (B). The HIV/AIDS Program has a tremendous challenge ahead - it must strengthen the Agency's ability to meet upcoming Program challenges by leveraging its numerous deep and well-grounded strengths to begin addressing future challenges

The President's Emergency Plan for AIDS Relief (PEPFAR), announced in the 2003 State of the Union Address, will dramatically expand HIV/AIDS programs in the most afflicted countries. PEPFAR, under the direction of the Global AIDS Coordinator (GAC), aims to prevent 7 million new HIV infections, provide life-extending treatment to at least 2 million infected people, and give care and support to 10 million people and orphans living with HIV/AIDS. USAID's approach to achieving these goals is to implement programs around seven program areas (Prevention, Care, Treatment, Mother To Child Transmission, Children Affected by HIV/AIDS, Policy & Institutional Strengths, and HIV Surveillance) that are designed to achieve PEPFAR's global targets. In all countries, improving national surveillance, increasing the capacity of health systems and working in partnership with host country colleagues and other partners are essential program elements.

To address these challenges, the HIV/AIDS Program has 4 primary goals:

- HIV/AIDS Program policies and procedures are understood and adhered to throughout the Program

- HIV/AIDS Program management can direct the implementation of technical solutions
- The HIV/AIDS Program successfully provides needed services and support to operating units
- The HIV/AIDS Program can provide timely and accurate program information

In order to address program goals, and thus meet future program challenges, USAID decided to use the Enterprise Architecture (EA) methodology to identify opportunities to improve the processes, processes, and information needed to accomplish its mission. As detailed in *The United States Agency for International Development Strategy for Enterprise Architecture Development* (Final Version 1.2 November 2003) USAID's approach for developing its overall EA is to focus initially on its HIV/AIDS program segment. The EA provides an understanding of the HIV/AIDS Program's current environment, envisions a future operating model based on select capabilities, and presents a transformation path to get there. The EA also helps to discover redundant or inadequate capabilities and establish linkages between information technology and mission and program performance.

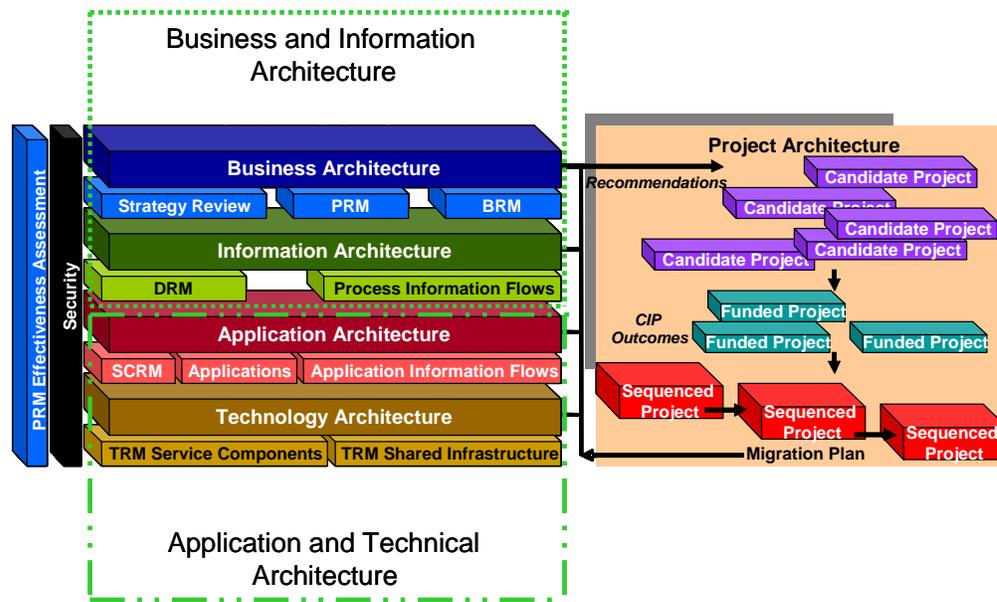
1.2 Project Scope

The USAID HIV/AIDS Segment Enterprise Architecture (EA) BIA (BIA) consolidates disparate pockets of HIV/AIDS business knowledge residing throughout the USAID and Global Health Community into a single information base that supports making informed decisions on how to support PEPFAR implementation. It describes the current environment, envisions a future operating model, and lays out a path to get there. This document includes the specific project recommendations needed to address the gap in capabilities needed to deliver on the HIV/AIDS mission.

1.3 Enterprise Architecture Methodology

At the core of the USAID EA methodology is the USAID Enterprise Architecture alignment framework. This framework (Illustrated in figure 1 below and hereafter referred to as the "framework") reframes the existing Federal Enterprise Architecture Framework (FEAF) by guiding EA development towards Federal Enterprise Architecture (FEA) compliance. The components of the FEA are the Service Reference Model (SRM), Data Reference Model (DRM), Performance Reference Model (PRM), Business Reference Model (BRM) and the Technology Reference Model (TRM). The As-Is Business and Information Architecture (BIA), and the As-Is Application and Technical Architecture (ATA) consist of a set of these deliverables. The To-Be state deliverables further sub-divide into strategic timeframes. A gap analysis between the As-Is and To-Be yields a set of recommended candidate initiatives and supporting projects, that when implemented, will support USAID's migration from the existing baseline to the target environment.

Figure 1: Scope of the Enterprise Architecture



The Development of the BIA began with a Strategy Review where USAID strategic elements, defined in documents such as the Joint US Department of State/USAID As-Is Enterprise Architecture, US Department of State and USAID Strategic Plan, Stepping up the War against AIDS, and drafts of the President's Emergency Plan for AIDS Relief were reviewed. These elements were aligned to activities, processes, and outcomes. Data collection then followed, including interviews with USAID and external stakeholder subject matter experts and reviews of related documents. These artifacts were used to document the As-Is processes and to initiate the To-Be process.

The analytical method used to produce the To-Be follows a step-by-step process that started with the HIV/AIDS Program stakeholders, mission and goals. From this starting point steps were taken to clearly link specific HIV/AIDS Program activities and stakeholders' wants, needs, and expectations.

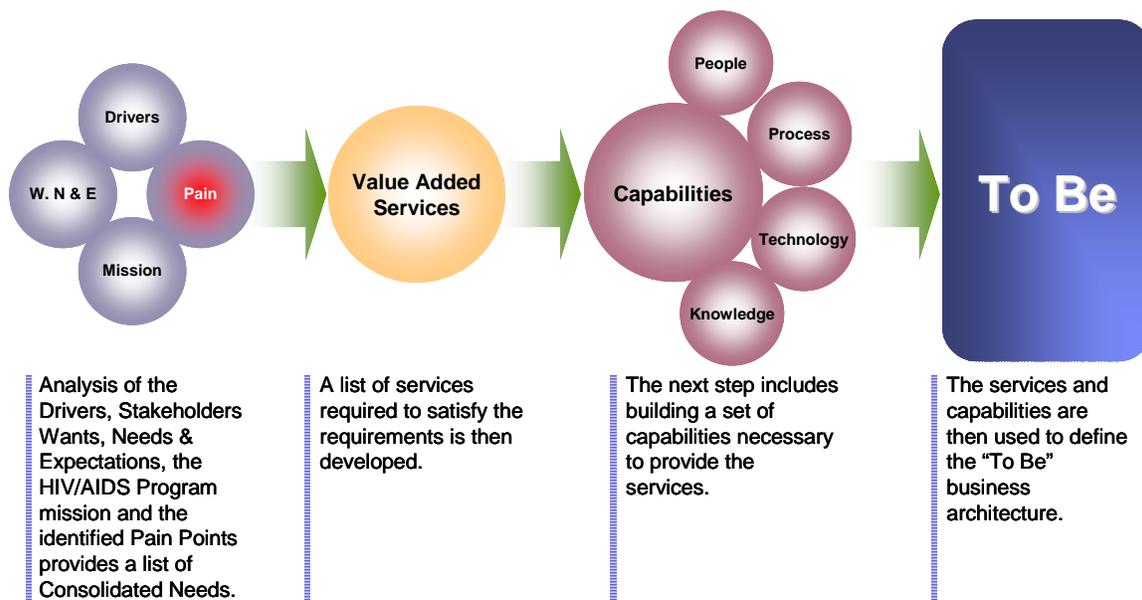


Figure 2: EA Analytical Process Overview

Figure 2 above outlines the analytical process used to develop the To-Be BIA. It starts with identifying those factors that influence the HIV/AIDS Program. It then determines and describes how the HIV/AIDS Program can address these factors through developing and offering specific services (value added services). These value added services are supported by the development of specific Capabilities defined in processes, competencies, technological services and knowledge. This builds a traceable picture of what is necessary to support the USAID envisioned To-Be HIV/AIDS Program environment.

The To-Be ATA development began with an envisioning session whereby the framework for partitioning future application functionality was developed. This framework took into consideration: the direction put forth in the Joint Department of State/USAID Strategic Plan, federal initiatives (such as eGovernment and the quicksilver initiatives), and ongoing USAID program initiatives. The technological services identified in the To-Be BIA were then analyzed and further developed within this framework. From this, a To-Be component based service architecture was developed. Existing applications analyzed during the As-Is development were compared to the To-Be service architecture to determine gaps, and recommendations formulated to address those gaps.

These improvements rest on four foundational areas:

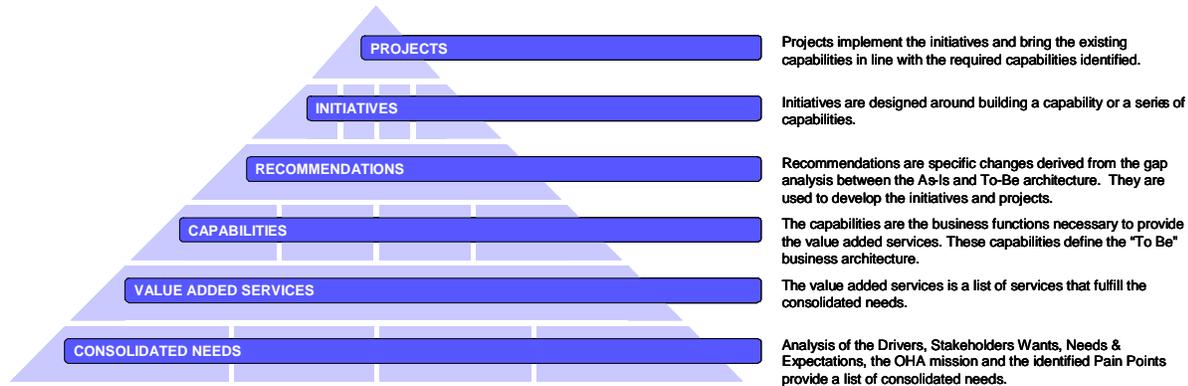
- *Standards* – Documenting and formalizing processes, developing and enforcing standards and lexicon and aligning indicators across business areas.
- *Governance* – Formalizing roles and aligning responsibility, authority and accountability.

- *Communications* – Developing and adopting a formal Communication Plan, as well as immediate executive information system for program reporting.
- *Infrastructure* – Leveraging existing automation capabilities and develop additional automation to support program automation needs.

1.4 Overview Document Layout

Within the HIV/AIDS segmented EA, there are five Business Process Areas (BPAs) supporting the HIV/AIDS segment: Financial Management (FM), Acquisition and Assistance (A&A), HIV/AIDS Program Oversight (Program Oversight), HIV/AIDS Program Operations (PO), and Budgeting (B). The Business and Information Architecture identifies the USAID processes and sub-processes; what the service delivery model is (e.g., which business units perform what processes, how often, and where); business information used and passed, process relationships, their dependencies and the degree of automation. The alignment of the Business and Information Architecture to the FEA PRM, BRM and DRM are provided as tables within the appendices. The supporting FM, A&A, PO and B BPAs are detailed in separate *Business and Information Architecture* documents. This document provides a synopsis of the As-Is and To-Be results derived from the BPA documents. The figure below describes the steps taken to develop the implementable projects from stakeholder requirements.

Figure 3: EA Analytical Steps



The following is a section by section lay out, detailing the analytical process illustrated above.

- Section 2 “The HIV/AIDS Program Landscape” describes the environment the HIV/AIDS Program is operating in. It describes the Program stakeholders, external drivers, specific points of pain, and strengths.
- Section 3 “USAID HIV/AIDS As-Is Program Business and Information Architecture Overview” describes the As-Is Business and Information Architecture.
- Section 4 “How the HIV/AIDS Program can best deliver value to its Stakeholders” describes the HIV/AIDS Program value proposition to its stakeholders, in addressing the pain points,

fulfilling its missions, and to meet the operational constraints of the outside forces constraining it.

- Section 5 “Turning Value into Operational Capabilities” describes the operational Capabilities needed to support the Value Added Services. This section describes the capabilities, and the process, competency, technological service, and knowledge enablers that comprise each Capability. The technological services are presented as a component based services architecture that provides automation support for the HIV/AIDS program.
- Section 6 “Measuring Success” describes the difficult task of how to measure success in such a broad and dynamic program as the HIV/AIDS Program. This section concentrates primarily on discussing measuring program management indicators and criteria rather than the Pandemic’s technical results.
- Section 7 “Recommendations” describes general program recommendations, as well as a recommended method for prioritizing any HIV/AIDS related transformation projects.
- Section 8 “Implementing the Recommendations” discusses key principles in implementing the recommendations.
- Section 9 “Initiatives” describes the initiatives used to implement the recommendations, and the individual project profiles that comprise the initiatives.
- Section 10 “Implementing the Projects” discusses the interdependencies between specific projects, the importance of different types of projects, and the importance of ordering key projects.

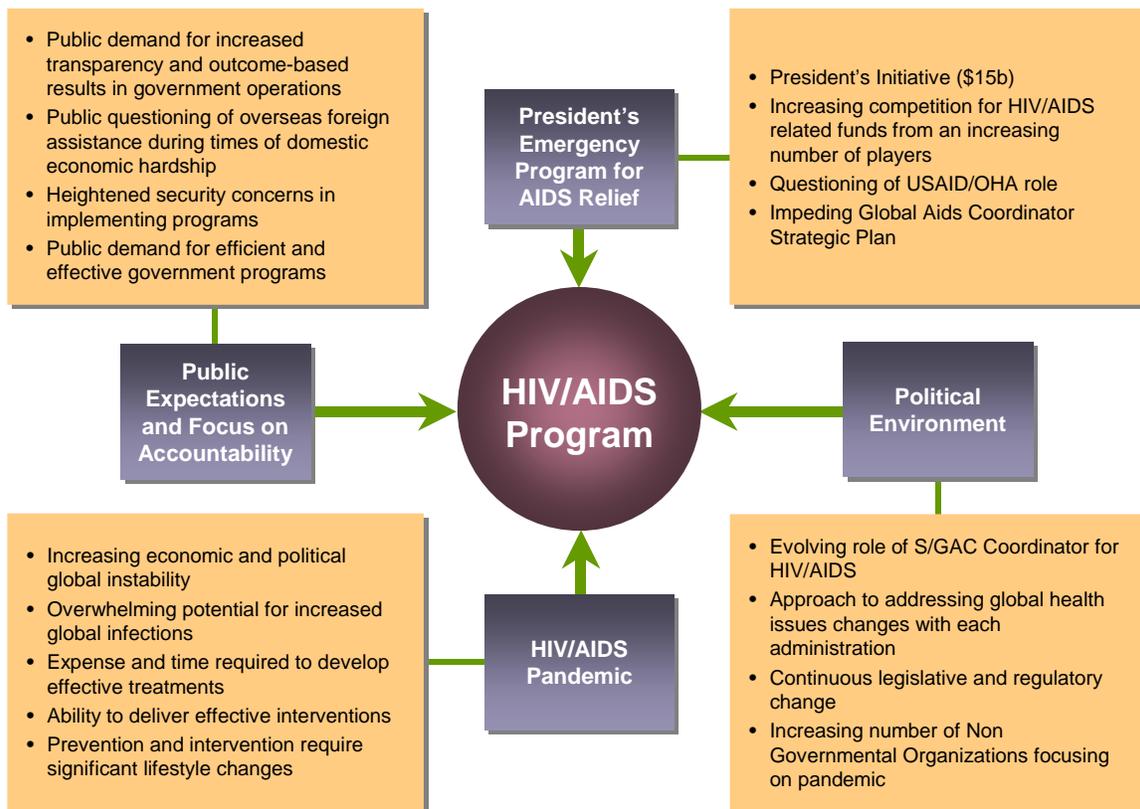
2. The HIV/AIDS Program Landscape

2.1 The Forces Driving the HIV/AIDS Program Environment

The efforts of the HIV/AIDS Program are driven by four major external drivers: the increasing number of players competing for HIV/AIDS money under PEPFAR, the public’s heightened security concerns in implementing programs and their focus on accountability in government operations and programs, the changing political environment to global health issues, and the growing HIV/AIDS pandemic and the potential for increase political and social instability.

The president’s PEPFAR initiative has increased the number of players competing for HIV/AIDS funding which will force the competitors to demonstrate that their organization is positioned to effectively manage HIV/AIDS resources and programs; hence USAID efforts to combat HIV/AIDS and their role on the decision making table will be closely scrutinized as funding decisions are determined. In addition, USAID will have to carefully respond and meet the demands of the S/GAC, whose role has not been fully defined and may change over time. The illustration below demonstrates the key drivers influencing the USAID HIV/AIDS Program.

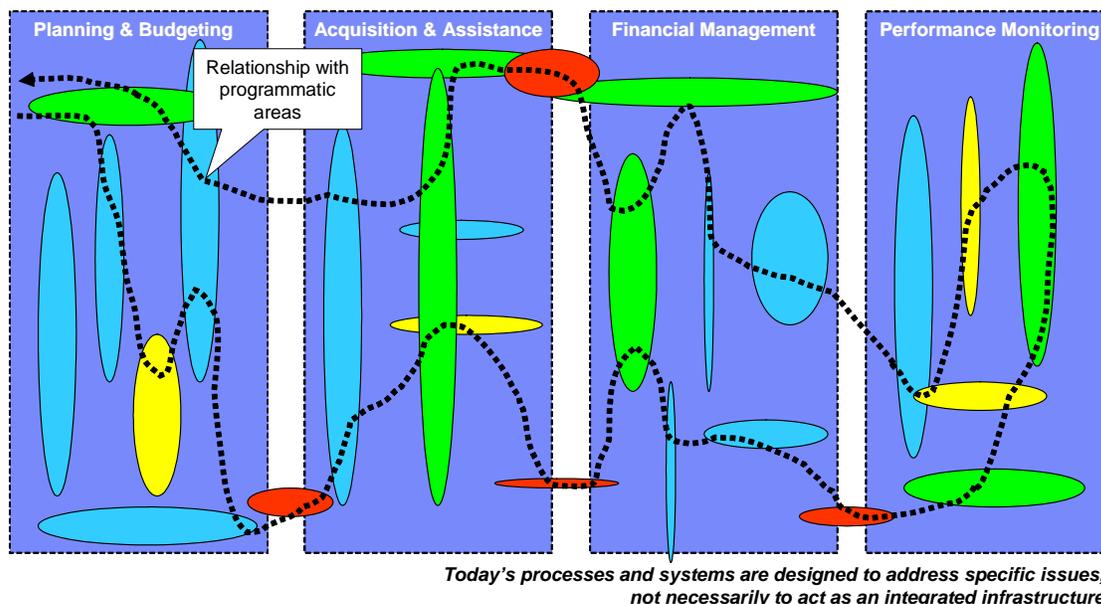
Figure 4: HIV/AIDS Program Drivers



2.2 HIV/AIDS Program's Current Operating Environment

Within the Agency the HIV/AIDS Program is relatively young, attempting to oversee an extremely complex program, with world-wide implications. As a result, it must navigate the length and breadth of USAID to implement and measure the effectiveness of HIV/AIDS interventions. In accomplishing its functions, personnel within the HIV/AIDS Program must navigate a complex and often ambiguous environment. The illustration below depicts a conceptual representation of the organizations that must be included and the various informal and formal systems that must be used to complete the lifecycle of a single project.

Figure 5: Conceptual Current Operating Environment



The illustration above is a conceptual representation of the overall environment. Below is a more detailed description of HIV/AIDS Program's specific comparative strengths, and pain points.

2.2.1 HIV/AIDS Program Strengths – the Comparative Advantage

The HIV/AIDS Program has a tremendous challenge ahead - it must mature to meet upcoming Program challenges and learn to leverage its numerous deep and well-grounded strengths to begin addressing future challenges. Below is a list of these strengths.

- Strong / world leader in monitoring and evaluating performance
 - Strong strategies and universally agreed-upon indicators
- Excellence in HIV/AIDS program and project design
 - World-class leadership in HIV/AIDS technical knowledge
- Able to scale-up and roll-out resources globally

- Extensive country contacts and relationships that provide access to assistance channels and facilitate HIV/AIDS Program efforts
- Strong, collaborative relationships with partners and host governments
- Critical mass in key HIV/AIDS pandemic countries – extensive international presence
- Knowledge and expertise in “getting things done” in-country
 - Strong, focused country-level strategies
 - Success at managing for results at the project-level

2.2.2 Specific Pain Points in Overseeing and Implementing the HIV/AIDS Program

USAID’s HIV/AIDS Program operates in a complex environment involving several internal and external partners. The nature of these relationships forces the HIV/AIDS Program to operate under the influence of four key drivers described in section 2.1 and seven specific pain points. The pain points center on cumbersome business processes and procedures, which hinder the program’s effective management and implementation. Below are detailed descriptions of the seven pain points identified for the HIV/AIDS program.

The following list of pain points have been collected through research, interviews, and a two-day visioning session with numerous members of senior and expert personnel from various areas across the Agency supporting the HIV/AIDS Program. It represents opinions primarily from USAID/W, but information from the field has been included where available.

- Laborious, duplicative and heroic effort is often required to respond to questions
 - Many manual processes, multiple systems and underlying architectures
 - Agency does not follow nor enforce its own guidance surrounding SOs
 - Obligations data is available while expenditures data is not (field vs. bi-lateral systems), disconnect on what drives the flow of money
 - OMB waiver for requesting federally regulated information from grantees has lapsed; therefore USAID cannot request detailed programmatic or budget information from grantees.
- Program categories and program operational outcomes cannot easily be related to budget / expenditures
 - The framework used for the annual budget is different than that used for operational strategic planning
 - Inconsistent and often competing priorities and expectations
 - The results framework is not a useful tool to describe the HIV/AIDS program
- Country uniqueness prohibits meaningful program comparison across countries
 - The Agency’s performance system relies on performance measures at the Strategic Objective level
 - Too many variables and different levels; trend analysis within a country but not across countries

- From an Op Unit perspective the requirements for management vs. oversight information are blurred
 - The information needed to manage is different between the Operating units and USAID/W
 - No consistent tracking methodology across the enterprise
 - Obligations are important for OMB reporting while accrued expenditures are important for the missions to manage pipelines
- **Aggregation of data is often impossible, inaccurate or misleading**
 - There is little standardization or formalization of planning parameters in operating unit strategic planning
 - Different set of definitions and standards within and outside of Agency
 - There is virtually no standardized use of program categories across systems, business process areas, or zones of control.
- Large pipelines
 - Multiple contributing factors -- timing of budgeting and expenditure, shortage of partners, factors change

2.2.3 The HIV/AIDS Program – The Problem at Hand

Through analysis of the information collected during interviews, research, and the visioning session a number of findings were drawn.

- **There are two primary roles played within the HIV/AIDS Program with USAID.** When referring to the HIV/AIDS Program it is difficult to immediately know which role is being referred to. Indeed a large portion of the pain points described in 2.2.2 above stem from the blurred understanding of the two distinct and different roles that are carried out within the HIV/AIDS Program. The first role within the Agency's HIV/AIDS Program is that of HIV/AIDS Program Oversight. The second role is carrying out HIV/AIDS Program Operations. In many senses these two roles are typical within most organizations, that of managers and overseers, and that of operators and front line doers. The essential problem is that within the HIV/AIDS Program, and the many parts of the Agency it interacts with, the roles and responsibilities between the two and with other portions of the Agency are blurred. There is no clear governance, which dictates roles and responsibilities. In many cases, the real "authority" lies with regional program operations making it difficult for the oversight management to initiate standards, which would facilitate reporting and overall management. Lines of communications are unclear. Reporting, categorization, and funding definitions across various areas within the Program are inconsistent.
- **Most formal systems and business processes in USAID are designed for program operations** (e.g. field missions). For example, ADS 200 - Programming Policy is focused on how an operating unit plans, achieves, and learns.

- **Other than the Phoenix system for accounting, there are very few formal systems and business processes in USAID that are designed to facilitate the program oversight functions of Washington**, i.e. program monitoring, strategic planning, knowledge management, or budgeting. These functions are dominated by cuff systems and informal business processes, developed by particular offices to solve particular problems.
- **The Results Framework, with its strategic objectives and intermediate results, is a useful tool for planning and evaluation and providing a clear conceptual framework for each operating unit. However, it is a less than effective tool for program monitoring.** Results frameworks usually can't be used for describing how the Agency allocates its funding, or the kinds of activities it carries out. Congress has demanded that USAID not use the results framework for purposes of describing even individual country programs in the CBJ.
- **Each major Agency system uses a different set of program categories to describe the Agency's programs.** Using HIV/AIDS as an example, budget accounting is by HIV/AIDS and MTCT; coding uses six categories – prevention, care and treatment, children affect by HIV/AIDS, policy and institutional strengthening, HIV/AIDS surveillance, and MTCT; and CBJ program descriptions call for undefined “functional areas of assistance.” The lack of consistency is the same for strategic plans, expenditures, and the procurement reporting system. The lack of consistency makes it very difficult to roll-up information or to relate information across systems.

2.3 The HIV/AIDS Program Value Net – Who Are the Players?

Stakeholders are defined as those who affect, or are affected by the HIV/AIDS program. The HIV/AIDS program has an interlocked and interacting net of stakeholders comprised of five main groupings; the influencers, customers, partners, Complementors, and suppliers. The stakeholders under the Program Oversight and Program Operations functions are described below.

2.3.1 Program Oversight

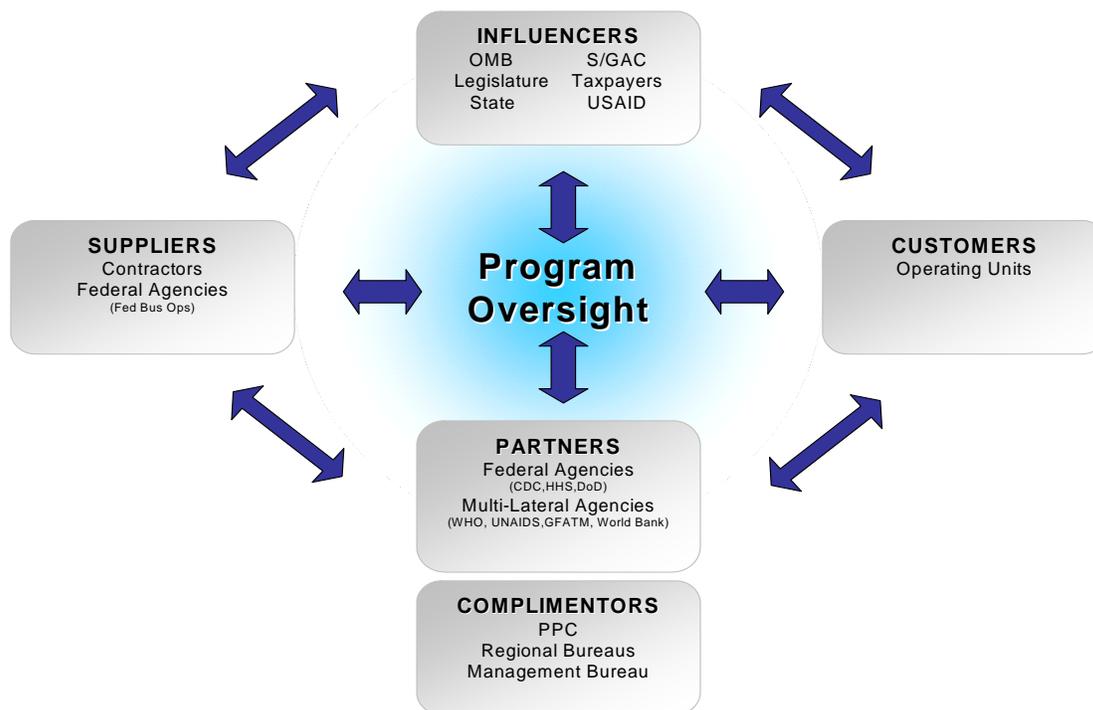
2.3.1.1 Stakeholder Segments

The HIV/AIDS program oversight stakeholders include both external and internal stakeholders such as the operating units, U.S. taxpayers, and multi-lateral agencies. The stakeholder groups are listed in figure 5 below and defined as follows.

Customers: Internal operating units who manage projects, provide services, and receive Agency support and guidance in implementing HIV/AIDS interventions.

Suppliers: Internal and external organizations that provide support services and commodities for the HIV/AIDS program; includes private industry and the federal government.

Figure 6: Program Oversight Stakeholder Segments



Influencers: Internal and external organizations who directly impact the HIV/AIDS program by creating policies that guide program operations and determining funding and program allocations.

Complimentors: Internal business units, which support and enable the operations of the HIV/AIDS program, such as the Agency’s Office of Financial Management and Office of Procurement.

Partners: External federal government entities and multi-lateral agencies, such as the World Health Organization (WHO), who collaborate and coordinate with USAID to implement HIV/AIDS interventions.

2.3.1.2 Wants, Needs, and Expectations

The wants, needs, and expectations (W, N&E) for stakeholders under the HIV/AIDS program oversight function were derived from the two day visioning sessions held with USAID’s OHA, Bureau for Policy and Program Coordination and Management Bureau participants in October 2003. The table below lists the raw program oversight W, N, & E’s identified by meeting participants.

Table 1: Program Oversight Wants, Needs and Expectations

	Influencers	Customers	Complementors	Partners	Suppliers
Wants, Needs, Expectations	Demonstrate results prior to election- example 2, 7, 10 targets	Expected deliverables/ services and corresponding mechanisms	Strong Collaboration and Coordination	Articulate USAID's comparative advantage for implementation	HIV/AIDS Program related standards
	Credible, Timely, Transparent Information - Budgetary, Financial and Program plans and results.	Status of field support funds (obligations and expenditures) Clear, understandable, unambiguous guidance	Communicate Guidance and Priorities (including President Initiatives)	Collaboration	Reporting requirements
	Demonstrated cost effectiveness		Policy & Strategy Guidance	Open communication	Clarity of purpose
	The HIV/AIDS story	Program priorities	What's working and why - best practices, lessons learned, program successes	HIV/AIDS Program related Standards	Needs and requirements
	USAID potential strategic role for President Initiative for Emergency Response to HIV/AIDS	HIV/AIDS Program related standards	HIV/AIDS Program related Standards	Clear, understandable, unambiguous guidance	Fairness in applying regulations to award process
	Centralized spending and management of HIV/AIDS resources	Access to technical assistance	Consistent measures	Resource availability	Future needs & requirements
	Be able to track obligations and expenditure by country	Resource availability	Consistent language	Environmental expertise	Clear, understandable, unambiguous guidance
	Be able to track program results and resources spent by program activity	Environmental expertise	Clearly defined policies and procedures	Consistent measures	Consistent measures
	Be able to track intergovernmental transfers, overhead costs, etc. by fiscal year	Consistent measures	Clear expectations	Consistent language	Consistent language
	Measurable results	Consistent Language	Leadership	Clearly defined policies and procedures	Clearly defined policies and procedures
	Tailorable reports	Clearly defined policies and procedures	Clearly defined roles & responsibilities	Clear expectations	Clear expectations
	Management reports	Leadership	Relevant guidance	Leadership	Leadership
	Consistent language	Fairness in program management		Clearly defined roles & responsibilities	Fairness in program management
	Demonstrate that USAID can distribute funds in a timely manner	Clearly defined roles & responsibilities		Relevant guidance	Clearly defined roles & responsibilities
	The complete HIV/AIDS Program picture	Make my job easier			Relevant guidance
	The ability to scale operations to meet requirements	Relevant guidance			
		The ability to scale operations to meet requirements			
		Data to help create, modify SOs			
		Credit for spending funds that indirectly supports the HIV/AIDS Program			
		Maintain operational Autonomy			

2.3.2 Program Operations

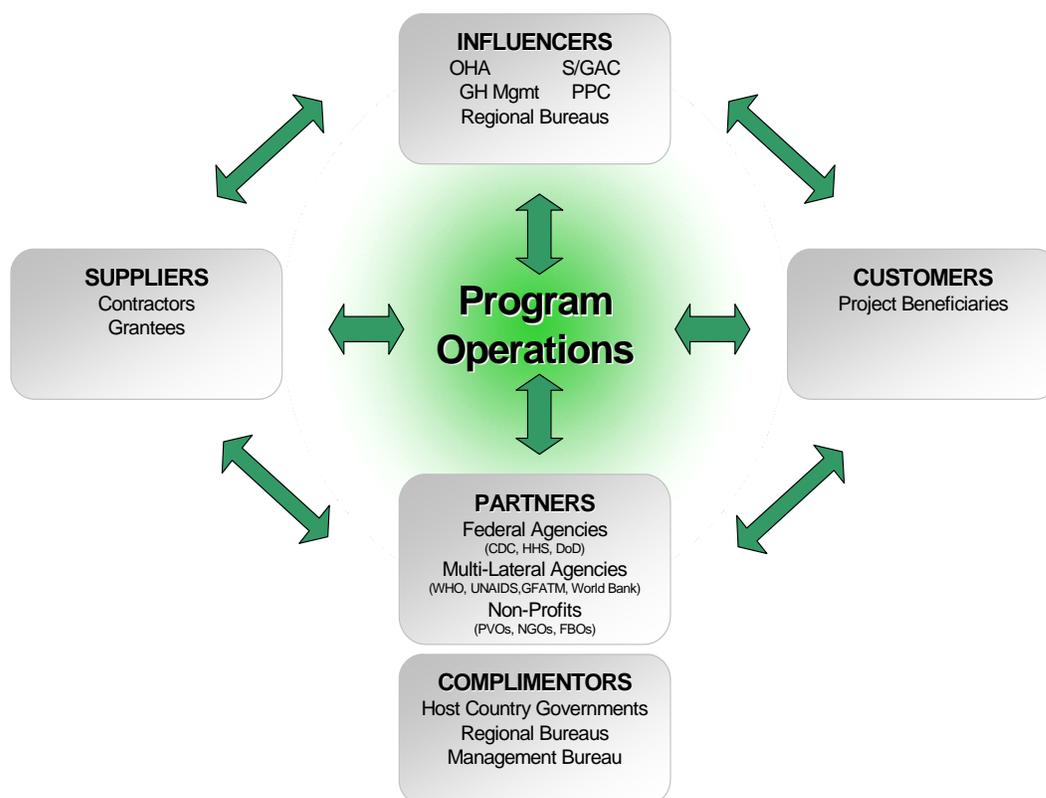
2.3.2.1 Stakeholder Segments

The HIV/AIDS Program Operations stakeholders include both external and internal stakeholders such as regional bureaus, project beneficiaries, grantees, and host countries. The stakeholder groups are listed in figure 7 below and defined as follows:

Customers: Individuals who benefit directly from the implementation of HIV/AIDS projects; project beneficiaries.

Suppliers: External organizations who provide direct HIV/AIDS services and commodities to the customers on behalf of USAID.

Figure 7: Program Operations Stakeholder Segments



Influencers: Internal and external organizations who directly impact the HIV/AIDS Program by creating policies that guide Program Operations and determining funding and Program allocations.

Complimentors: Internal business units and external host country governments which support and enable the operations of the HIV/AIDS Program.

Partners: External federal government, non profits organizations, and multi-lateral agencies, who collaborate and coordinate with USAID to implement HIV/AIDS interventions.

2.3.3 Stakeholder Wants, Needs, and Expectations

The W,N&E for stakeholders under the HIV/AIDS Program Operations function were derived from the two day visioning sessions held with USAID’s OHA, PPC and M Bureau participants in October 2003. The table below lists raw program operations W, N, & E’s identified by meeting participants.

Table 2: Program Operations Wants, Needs and Expectations

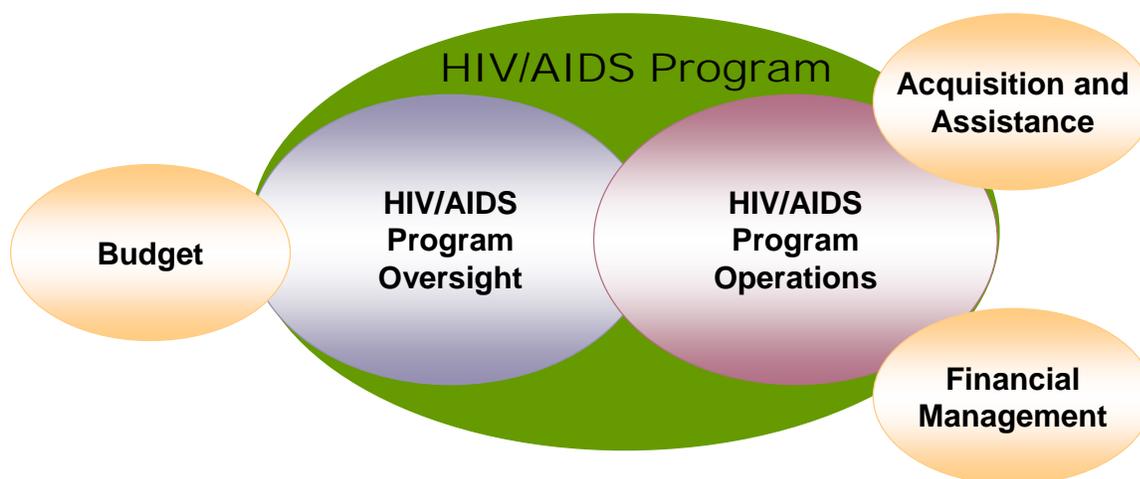
	Influencers	Customers	Complementors	Partners	Suppliers
Wants, Needs, Expectations	Credible, Timely, Transparent Information - Budgetary, Financial and Program plans and results.	Care, support, dignity and hope (quality service)	Strong collaboration	Utilize USAID's ground expertise	HIV/AIDS Program related Standards
	Demonstrated cost effectiveness	Environmental Expertise	Transparency into operations	Collaboration	Reporting requirements
	Be able to track obligations and expenditure by country	Consistent Language	Communicate guidance and priorities (including Presidential Initiatives)	Open communication	Clarity of Purpose
	Be able to track program results and resources spent by program activity	Clearly defined policies and procedures	Logistical coordination	Transparency into operations and operational requirements	Needs and requirements
	Measurable Results	Leadership	HIV/AIDS Program related standards	HIV/AIDS Program related Standards	Fairness in applying regulations to award process
	Tailorable Reports	Technical expertise	Resource availability	Clear, understandable, unambiguous guidance	Future Expectations & Roles
	Management Reports	Access to needed services	Environmental expertise	Resource Availability	Clear, understandable, unambiguous guidance
	Consistent Language		Consistent measures	Environmental Expertise	Consistent Measures
	Demonstrate that USAID can distribute funds in a timely manner		Consistent language	Consistent Measures	Consistent Language
	The ability to scale operations to meet requirements		Logistical expertise	Consistent Language	Clearly defined policies and procedures
			Clear expectations	Clear Expectations	Clear Expectations
			Leadership	Leadership	Leadership
			Relevant guidance	Clearly defined roles & responsibilities	Fairness in program management
			Technical expertise	Relevant Guidance	Clearly defined roles & responsibilities
					Relevant Guidance
				Technical expertise	

3. USAID HIV/AIDS As-Is Program Business and Information Architecture Overview

3.1 HIV/AIDS Program Overview

The HIV/AIDS Program performs two distinct and different roles across the Agency. In Washington the primary role is of HIV/AIDS Program Oversight. OHA, PPC, and the Regional Bureaus provide strategic planning support as well as budget, technical and best practices guidance to USAID operating units who include HIV/AIDS funds in their Strategic Objectives. Overseas, the primary role of the HIV/AIDS Program is through HIV/AIDS Program Operations (PO).

Figure 8: Conceptual View of the HIV/AIDS Program



Various Management Bureau organizations interact with the HIV/AIDS Program as it carries out its different roles. The figure above illustrates the primary touch points the Financial Management, Acquisition and Assistance, and Budgeting functions have with the Program Oversight and Program Operations roles within the HIV/AIDS Program.

Financial Management (FM)

In performing its Program Oversight and Program Operations functions, OHA is supported by financial management business processes in funds management, accounts payable, and grants management. The key touch points between the Office of Financial Management (M/FM) and the Office of HIV/AIDS (OHA) occur in the PO *Program Monitoring* and Program Operations *Achieve* business processes.

Acquisition & Assistance (A&A)

The Acquisition and Assistance (A&A) Business Process Area (BPA) directly and indirectly supports OHA in the implementation of its entire portfolio of HIV/AIDS related interventions by being the single point where contracts and grants are initiated and managed. A&A also supports

OHA in its HIV/AIDS Program Oversight role by being a primary vehicle to assist monitoring the performance of contractors and grantees. With a number of very distinct exceptions, the relationship between OP and OHA is built on an array of informal activities that take place within relatively formal processes.

Budget (B)

The Budget business process area directly and indirectly supports OHA in the implementation of its entire portfolio of HIV/AIDS related interventions by obtaining the financial (budgetary) resources for the HIV/AIDS program and USAID overall from Congress through the Appropriations process.

HIV/AIDS Program Operations

The HIV/AIDS Program Operations (Program Operations) business process area represents the primary set of methods and techniques by which the Office of HIV/AIDS (OHA) accomplishes its mission. Each Strategic Objective is developed and managed by an Operating Unit (OU) with oversight by OHA. OHA provides budget and technical guidance to the operating unit. The OU incorporates the guidance into their program design, Strategic Objective and Strategic Plan. The Strategic Plan is submitted to OHA for approval. During the implementation phase of the Strategic Objective the OU provides information on an annual basis, in the form of an Annual Report, and on an ad hoc basis as requested. OHA assimilates this information and utilizes it for a number of activities including budget preparation, performance planning, policy development, formation of best practices and knowledge management.

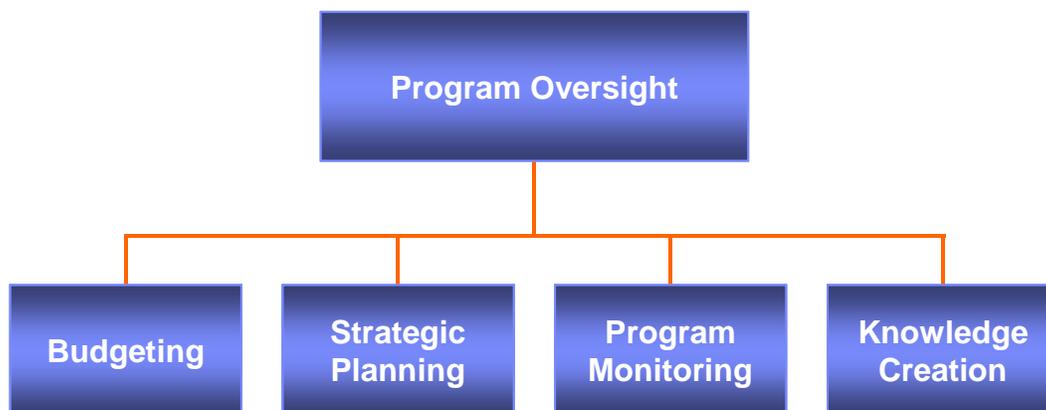
3.2 Program Oversight Business and Information Architecture

3.2.1 Business Processes

Under the Program Oversight (PO) business process area, OHA, PPC, and the Regional Bureaus are responsible for directing all HIV/AIDS activities for the Agency. This includes the oversight of budgeting, strategic planning, program monitoring, and knowledge creation.

The majority of the processes used for PO are not formally documented at the detailed level. This is true for processes that are more formally documented elsewhere in the Agency, such as the ADS 200 series, or even in the touch points with the other Management Bureau functions covered in this study.

Figure 9: As-Is Program Oversight Business Process Area



The *Budgeting* business process includes the translation of OMB budget formulation guidance into HIV/AIDS Program related guidance and distribution to Regional Bureaus, Missions and operating units. Further, PPC and OHA coordinates, consolidates and approves HIV/AIDS specific budget submissions from all operating units with an annual HIV/AIDS budget in excess of \$1 million.

Strategic Planning involves the development and dissemination of HIV/AIDS related strategic plans, policy guidance and the review and approval of operating unit HIV/AIDS Strategic Objectives.

Program Monitoring includes the collection and analysis of information on program activities and the preparation of reports. An important facet of Program Monitoring is the oversight, in conjunction with the appropriate operating unit, of the overall effectiveness of each Strategic Objective.

The *Knowledge Creation* business process entails collecting and analyzing HIV/AIDS program results and lessons learned as well as advising and consulting with projects on their HIV/AIDS activities. This results in the recommended revisions to strategies, policy changes, new protocols and best practices. This knowledge is distributed to assist operating units in the effective creation and management of HIV/AIDS interventions and programs.

3.2.2 Information Flows

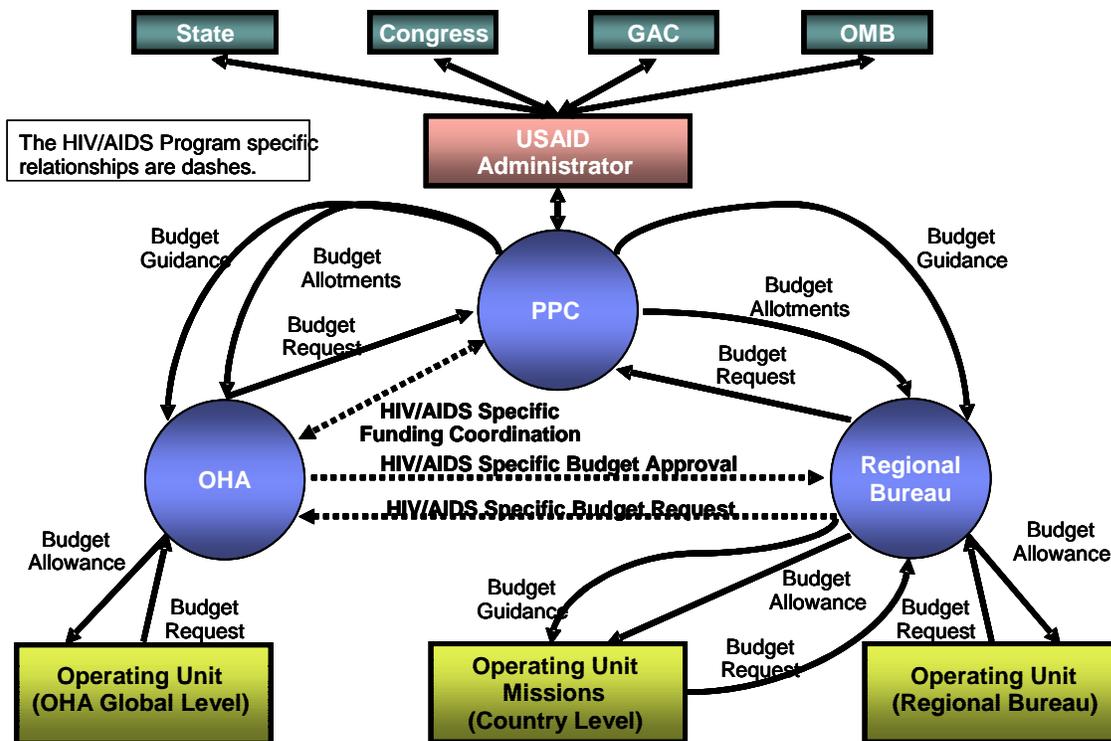
In carrying out its functions of Program Oversight OHA’s primary information flows center around budget and the guidance & reporting cycle. There are a variety of information flows across the program and those organizations OHA interacts with, but these are the two that are most central to their role as overseers of the HIV/AIDS Program.

Much like the detailed process, the information flows are not formally documented or standardized across the program and to the stakeholders. The best picture of the budget and guidance & Reporting cycle are illustrated below, but these are general references at best. This

is because of the informality, variety of methods, and non standard ways these information flows are carried out. The two primary areas of concern are the reporting and guidance information flows, and the budgetary information flows.

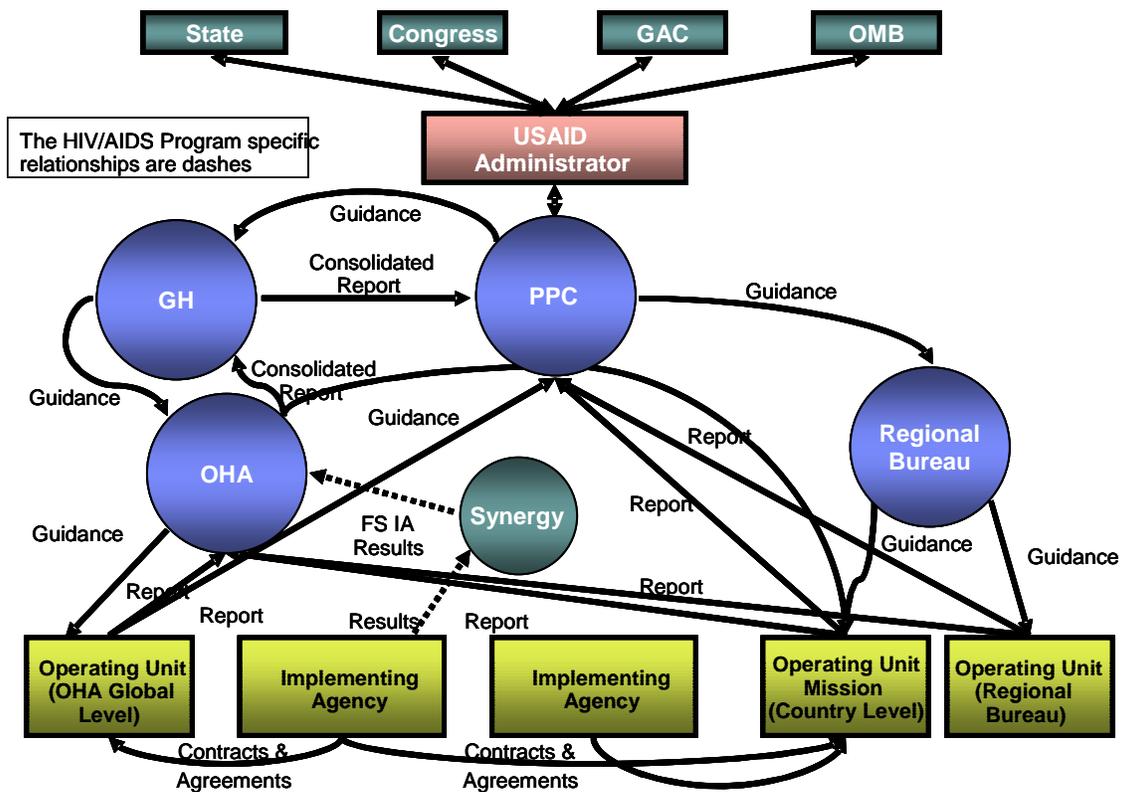
Figure 11, below, illustrates the general flow of budget related information from the Operating Units, and the various organizations currently participating in HIV/AIDS Program Oversight. The information relationships that are specific to the HIV/AIDS Program are highlighted in red. These flows show how HIV/AIDS Program funds are negotiated and approved by OHA for the Operating Units through the Regional Bureaus, and are coordinated between OHA and PPC. This demonstrates part of the multiple roles various portions of the HIV/AIDS Program play.

Figure 10.: HIV/AIDS Program Budgeting Relationships



The figure below illustrates the general guidance and reporting information flows between Program Oversight and Program Operations.

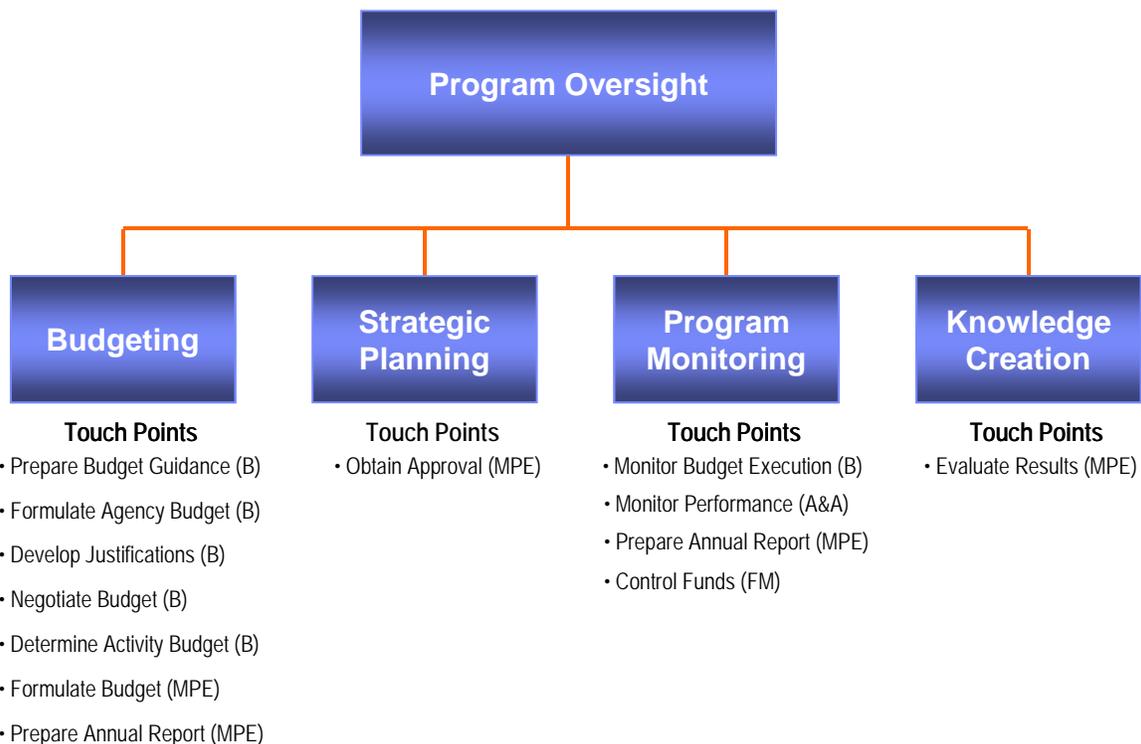
Figure 11: HIV/AIDS Program Guidance and Reporting Relationships



3.2.3 HIV/AIDS Program Oversight Touch Points to Other Business Process Areas

If a business process provides information to, receives information from or is the continuation of the functionality of another business process, it is said to be a “Touch Point” to that process. Program Oversight has key touch points with four supporting business areas, Financial Management, Acquisition and Assistance, Budget and Program Operations. These touch points are discussed in the section below.

Figure 12: As-Is Program Oversight Touch points



Financial Management

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

HIV/AIDS Program Oversight (PO) business process area has a key touch point with the Office of Financial Management (M/FM) in the *Manage Funds* business process under the *distributing budgetary resources* business sub-process. The interface between PO and FM takes place in PO’s program monitoring. In support of this sub-process, FM facilitates the recording and distribution of HIV/AIDS funding resources to bureaus and activities and supports the establishment of budgetary limitations at each of these levels, which are generally used for

internal management purposes. M/FM also provides PO, via the Global Health (GH) bureau, with financial performance status information, validation of the accounting classification structure, which enables the aggregation, distribution, tracking, controlling and reporting of funds authorized at various funding levels, updates to fund accounts and the standard general ledger (SGL), and monitoring of all HIV/AIDS funding resources that increase or decrease the funds that are available for incurring financial obligations.

Acquisition and Assistance

M/OP supports PO primarily through providing the contractual data to monitor particular portfolios, contracts, Implementing Agencies, and Grantees.

The primary interaction point between Office of Procurement (OP) and the PO business process area is through the sub-process *Monitor Performance*, found in the *Award Administration* process. The *Monitor Performance* sub-process primarily interacts with the PO process *Program Monitoring*. Because of the lack of formality across and throughout the project management lifecycle it is extremely labor intensive and time consuming to gather the data required to oversee the program. Currently data performance is monitored by piecing together data from disparate systems, supplemented by individual, out of cycle data calls.

Budget

From the Budget perspective, the central budget development mechanism is the Annual Report. Bureaus use these Annual Reports to prepare Bureau Budget Submissions (BBS). These submissions, which are organized geographically, are the bureaus' principal vehicle for proposing new initiatives of their own, responding to Administration initiatives, commenting on known Congressional interests, and raising issues. Each Bureau would present its BBS, including country allocation recommendations, to a PPC-led review. Regional bureaus, pillar bureaus (such as Global Health), Bureau of Legislative and Public Affairs, and the State Department are represented. PPC makes recommendations to the Administrator on any necessary adjustments. PPC coordinates Agency Budgetary Submission (ABS) and submits to OMB for development of the President's Budget which is transmitted to Congress following the State of the Union Address.

Once the President submits his budget to Congress, USAID tracks status of appropriations and begins to update planning levels from the Congressional Budget Justification (CBJ) based on status of appropriations. Once the Foreign Affairs appropriations law is passed, USAID/Washington offices, led by OHA, determine Bureau and Country Operating Year Budget for HIV funding based on levels submitted as part of the Administration's budget request and other considerations (e.g. new political concerns, etc.), including separate accounting for MTCT funds. Bureau and Country Congressional Budget Justification (CBJ) levels are reconciled with the actual appropriation. While MTCT levels are provisionally set at this time, the final country budget for MTCT, and thus the Operating Unit's total HIV budget, is not determined until completion of the inter-Agency proposal process.

After the Operating Year Budget has been set, funds are allotted by the Bureau for Policy and Program Coordination (PPC) to the respective Bureaus (e.g. Africa and Latin America/Caribbean). The funds are separately tagged as HIV and MTCT and provided to the Bureau through the Agency accounting system (Phoenix). Funds received by the Bureau are then allocated to the Operating Unit (AID/W Office or overseas Mission). Operating Units determine whether funds will be obligated in the field or in AID/W. The Phoenix system can be used to show where HIV and MTCT funds have been distributed. In the case of MTCT, no funds are allocated to the operating unit until the inter-Agency Steering Committee has approved the respective country's proposal.

At the beginning of the new fiscal year, any carry over funds from the previous year are obligated and agreements (contracts and/or grants) are signed. This occurs in both Washington and the field. Carry over funds retain their original tag as either HIV or MTCT.

HIV/AIDS Program Operations

The three cornerstones activities of Program Operations – *Planning, Achieving, Assessing & Learning* – establish a vehicle for providing funds, human resources and technical expertise to locations, around the globe, where they can be most effectively utilized to impact the HIV/AIDS pandemic.

Through *Planning*, OHA researches and defines their customers; designs interventions and approaches; maps resources; and determines goals and targets. Through the *Achieving* process, these elements are mobilized to provide a powerful means of combating the disease and efforts are monitored to ensure the most effective use of OHA resources. In the final process, *Assessing & Learning*, experts in a number of disciplines evaluate empirical information that yields knowledge later used in the development of protocols and best practices.

Following is a brief synopsis describing specific HIV/AIDS Program Operations sub-processes and their interface with OHA Program Oversight processes. There are twelve HIV/AIDS MPE sub-processes, six of which interface with the HIV/AIDS Program Oversight business process area.

Plan

HIV/AIDS Program Operations *Formulate Budget* interfaces with OHA *Program Oversight Budgeting* - During the planning phase of a Strategic Objective, OHA provides budget guidance to the Operating Unit.

HIV/AIDS Program Operations *Draft Strategic Plan* interfaces with OHA *Program Oversight Strategic Planning* - OHA through the Program Oversight Strategic Planning process provides guidance to the operating unit in the development of Strategic Objectives. All Strategic Objectives defined by an operating unit are incorporated into the operating unit's Strategic Plan.

Achieve

HIV/AIDS Program Operations *Monitor Activity Implementation* interfaces with OHA *Program Oversight Program Monitoring* - Based on contractual terms and conditions, partners involved in MPE activities are required to provide information on performance, budget and effectiveness. This information is used by both the operating unit and OHA to assess the effectiveness of the partner, the operating unit and the Strategic Objective overall.

Assess & Learn

HIV/AIDS Program Operations *Review Portfolio* interfaces with OHA *Program Oversight Program Monitoring* - Operating Units carry out periodic reviews of their programs in preparation for the Annual Report.

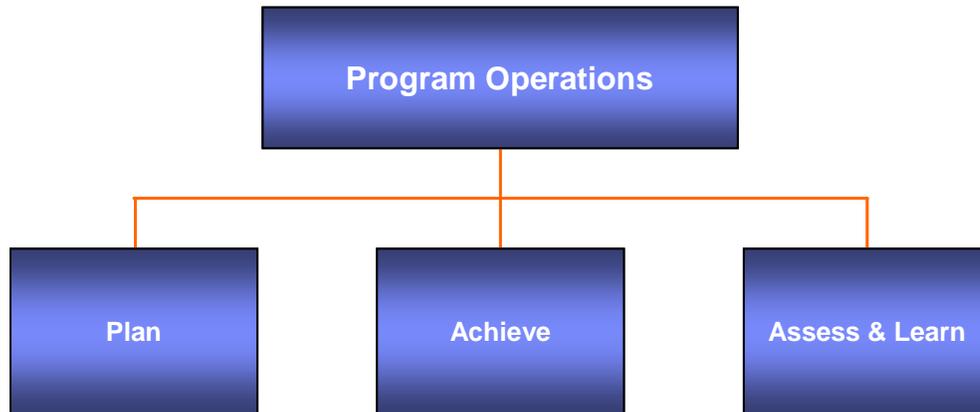
HIV/AIDS Program Operations *Evaluate Results* interfaces with OHA *Program Oversight Knowledge Creation* - During the implementation and close out phases of a Strategic Objective, information is gathered and submitted to OHA. This information is used for budget preparation, performance planning, policy development, formation of best practices and knowledge management.

HIV/AIDS Program Operations *Prepare Annual Report* interfaces with OHA *Program Oversight Budgeting* - An Annual Report is compiled by each operating unit for each of their Strategic Objectives. The obligations and expenditures information coupled with the budget request form the basis for the operating unit's budget request for the next budget year. This is submitted as part of the OHA overall budget, which is further, aggregated into the USAID Annual Budget.

3.3 HIV/AIDS Program Operations Business and Information Architecture

The HIV/AIDS Program Operations business process area encompasses the procedures and methods used by USAID and OHA as they design programs to achieve development results. A dynamic cycle of management functions prescribes the fundamental activities of planning, achieving and assessing & learning.

Figure 13: As-Is Program Operations Business Process Area



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

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

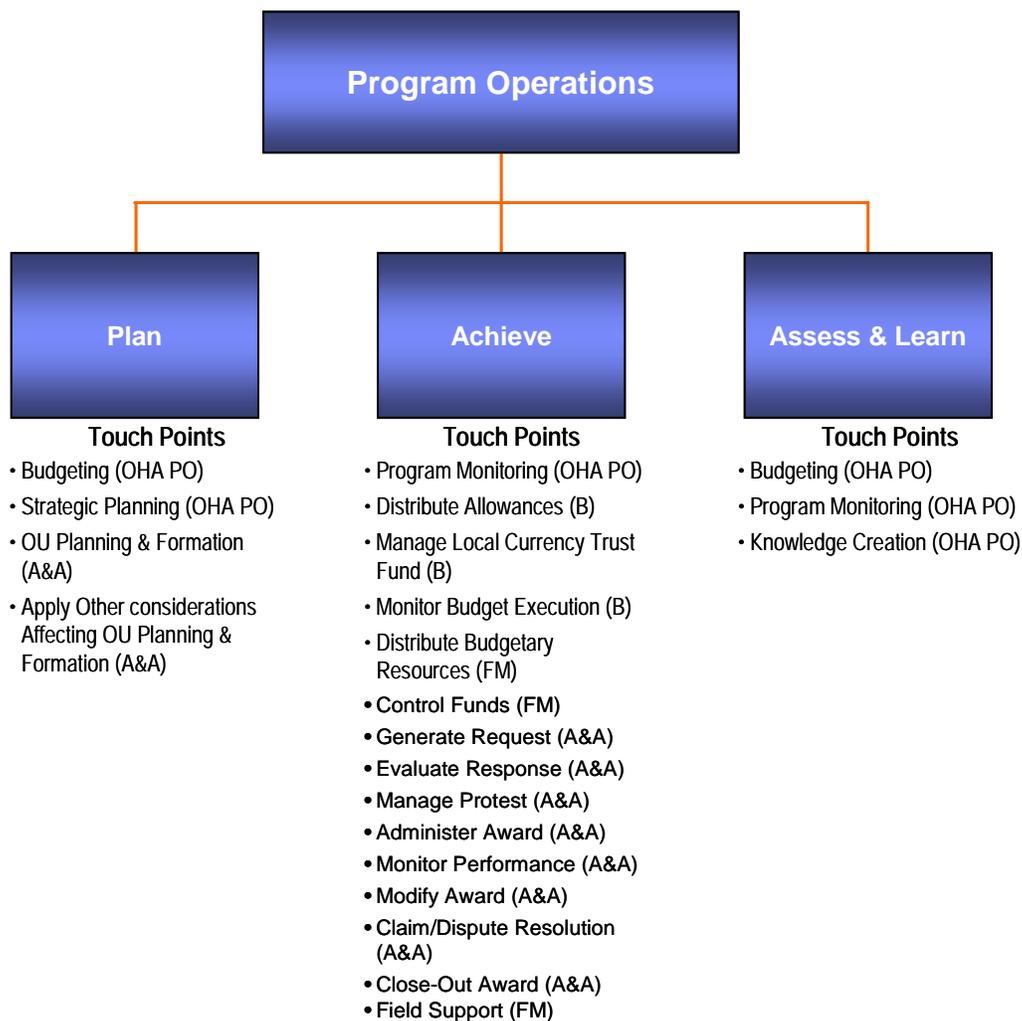
The tools of *Assess & Learn* are unified through the concept of performance management, defined as the systematic process of monitoring the results of activities; collecting and analyzing performance information to track progress toward planned results; using performance information to influence program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

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

3.3.1 HIV/AIDS Program Operations Business Process Area Touch Points

If a business process provides information to, receives information from or is the continuation of the functionality of another business process, it is said to be a “touch point” to that process. PO has key touch points with four supporting business areas, Financial Management, Acquisition and Assistance, and Budget. These touch points are discussed in the section below.

Figure 14: As-Is Program Operations Touch points



Financial Management

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

Manage Funds

FM's *distribute budgetary resources* and *control funds* sub-processes have a primary touch point with Program Operations' *Achieve* business process. In support of the *Achieve* process, FM facilitates the recording and distribution of HIV/AIDS funding resources, validates updates to the accounting classification structure, updates the fund accounts and standard general ledger (SGL)

to reflect the current status of funds, monitors all HIV/AIDS funding resources/activities that impact availability of funds, and provides financial management guidance, through policies and procedures, for processing transactions. Moreover, under the *control funds* sub-process, operating units record commitments/ decommitments, obligations/deobligations, sub-commitments, and sub-obligations in the Washington financial management system Phoenix or in the field accounting system, Mission Accounting and Control System (MACS).

Manage Accounts Payable

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

Manage Grants

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

Acquisition and Assistance

M/OP supports HIV/AIDS Program Operations implement their programs through providing the Agency's primary contracting and assistance vehicle. OP works with the HIV/AIDS Program to plan for, solicit, set up, negotiate, manage, and close out all contracts and grants. OP provides the contractual and assistance expertise to carry these functions out, while the HIV/AIDS Program provides the technical and program management expertise.

Though ideally OP and the HIV/AIDS Program should work closely throughout the entire lifecycle of all contracts and grants to ensure that USAID is getting the most effective and value added results possible, the primary touch points HIV/AIDS Program and OP are focused in relatively discreet places within the Planning, Award Formation, and Award Administration processes.

Acquisition and Assistance Planning

In the *Planning* process the sub-processes *OU Planning and Formation* and *Apply Other Considerations Affecting OU Planning and Formation* interact with the Program Operations process *Plan*, the sub-process *Generate Request* interacts with the Program Operations process *Achieve*. OHA generally plays the lead role in determining their overall technical requirements, and OP generally takes the lead in determining the best vehicle how to implement fulfilling them.

Award Formation

In the *Award Formation* process the sub-process *Evaluate Response* and *Manage Protest* interact with the Program Operations process *Achieve*. OP is the contractual award lead in this process area, looking to OHA to provide the technical expertise. To participate in these activities OHA must largely be physically present to do so. There is very little virtualization, direct system support, or skill standardization. Therefore the overall process is largely informal, and depends greatly on the experience and personality of individuals from both OP and OHA to effectively accomplish the specific goals and necessary steps.

Award Administration

In the *Award Administration* process the sub-processes *Administer Award*, *Monitor Performance*, *Modify Award*, *Claim/Dispute Resolution*, and *Close-Out Award* also interact with the Program Operations process *Achieve*. The OHA CTO has project management responsibility for awarded contracts. Therefore the CTO has the primary role in *Administer Award*, with the OP Contracting Officer/Assistance Officer's (CO/AO) assistance. There are a variety of systems, tools and sources of information that the CTO must utilize to manage each individual project. There is little standardization between systems, tools and information sources so this can become extremely complicated and time consuming, taking time away from managing for results. In *Modify Award*, *Claim/Dispute Resolution*, and *Close-Out Award* the CO/AO tends to play the lead role, with close support from the CTO; the CTO must initiate these activities. Once initiated the CO/AO will take the lead in issues directly related to the contract/grant. The CTO will provide technical and programmatic input. Available systems support specific portions of these activities, but like the other processes there is no system that supports the entire lifecycle of the project and the contracts/grants involved. As a result skills and individual processes tend to be quite informal, and success becomes extremely experience and personality dependant.

Budget

The Program Operations business process area directly interacts with the Budget Business Process Area in three specific processes: *Formulate Agency Budget*, *Allocate Funds*, and *Execute Agency Budget*.

Formulate Agency Budget

During the formulation of the USAID Budget, OHA works with PPC to develop requests and justifications for the HIV/AIDS program budget, in conjunction with the Regional and Pillar Bureaus.

Allocate Funds

Once Congress passes and the President signs USAID's Appropriation law, OMB creates the apportionment letter. After receiving this document, PPC allocates the appropriated and apportioned funding to OHA, individual missions and regional bureaus.

Budget Execution

Budget Execution is tracked by different organizations. It is this last Business Process that overlaps with Financial Management (FM) and Acquisition and Assistance (A&A). Funds obligated in Washington can be tracked on a "real-time" basis through the Phoenix system. Funds obligated in the field are reported on monthly through the MACS system (Note: the Agency is in the process of rolling out the Phoenix system to the field over the next two years. Once completed, real-time reporting should be available for both Washington and field obligations). Both systems provide information on HIV and MTCT.

USAID annually obligates the vast majority (greater than 90%) of the appropriated funds in the fiscal year of the appropriation; however some funds are carried over into the next fiscal year. A large portion of funds are obligated by the actual signing of contracts and grants. Another portion is obligated overseas by signing an agreement with the host country, with the subsequent signing of contracts and grants or disbursements directly to the host government, to follow later. In Washington, all HIV obligations are tracked on a quarterly basis, and reported to the Administrator.

Utilizing the Agency's Annual Report submitted in December, HIV resources are coded by USAID field officers to provide a snapshot of the uses for which funds were obligated.

For HIV, coding categories include:

- HIV/AIDS Care, Treatment and Support
- HIV/AIDS Prevention
- Children Affected by HIV/AIDS
- Mother to Child Transmission
- Policy Analysis, Reform, and Systems Strengthening/HIV
- HIV/AIDS Surveillance

The implementation of contracts and grants are constantly monitored by USAID's missions. Formal reports are not submitted to Washington. Once a year, also through the Annual Report, results of field level implementation is conveyed to stakeholders in Washington, including OMB and Congress.

Expenditures are reported monthly for contracts and quarterly for grants and cooperative agreements. Especially in the case of grants, the level of reporting required is broad – expenditures are captured at the country level, without inputs or specific program categories. Annually, with a one-year lag, expenditures are reported back by the coding categories noted above.

Audits are also conducted regularly to assess accordance with program statements, expected impacts, and other legal regulations.

4. How the HIV/AIDS Program can best deliver value to its Stakeholders

This section describes the value propositions of the To-Be HIV/AIDS Program. It presents a Program mission statement and details the various roles performed by the major players. Finally it describes how the Program the program can best deliver value to its stakeholders, in addressing the pain points, fulfilling its missions, and to meet the operational constraints of the outside forces constraining it.

4.1 The HIV/AIDS Program Mission

Described below is a mission statement that addresses what the HIV/AIDS Program as a whole is doing. Different players within this mission contribute their own unique and complimentary portions of accomplishing this mission. Though a relatively simple (and, to many, self evident) statement, it provides focus for the various players within the HIV/AIDS Program, so that in the absence of any other guidance they know the ultimate goal that they are working towards. This serves as a guide marker to determine whether or not an individual or individual activity is actually contributing to the HIV/AIDS Program. If the individual or activity cannot trace their actions to fulfilling this mission their role should be rethought.

Develop, guide, implement and support a program that will prevent and control the spread of HIV/AIDS in the developing world.

4.2 Roles within the HIV/AIDS Program

OHA – The Office of HIV/AIDS (OHA) has the primary responsibility of setting all HIV/AIDS related policy and procedures for USAID. OHA has the lead role in determining all HIV/AIDS Program guidance, as well as overseeing all HIV/AIDS related operations. OHA also reviews and approves the HIV/AIDS operating plans of HIV/AIDS Program Operating Units (OU). OHA is responsible for aggregating all HIV/AIDS Program results.

Global Health Management – Has the primary responsibility of assisting OHA interface with other USAID offices to oversee the HIV/AIDS Program.

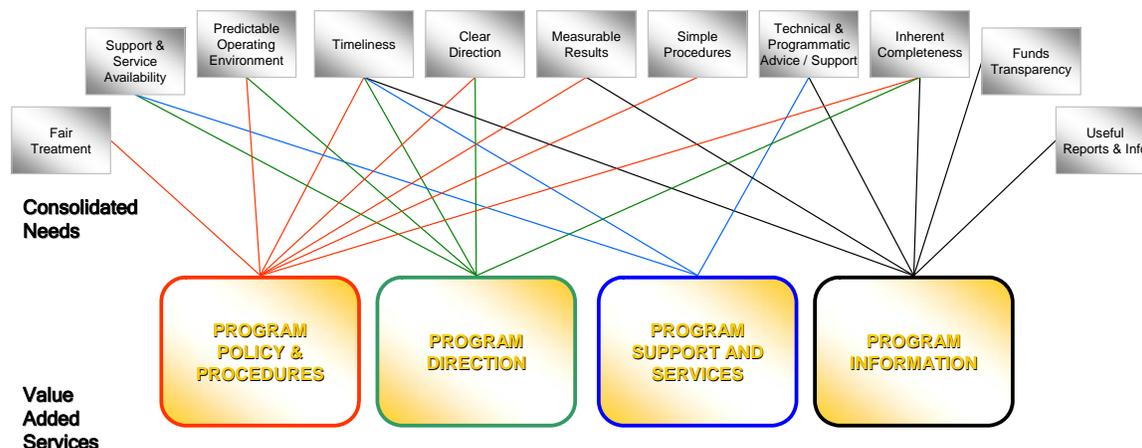
PPC – Has the primary responsibility of working with and advising OHA on setting HIV/AIDS related policy and procedures. It also works with OHA to endorse HIV/AIDS Program budgets.

4.3 Consolidated Needs

The various stakeholders discussed in section 2.3 are looking for the HIV/AIDS Program to fulfill many individual wants and needs. They also have many expectations of the Program. Wants, Needs, and Expectations are combined with the external drivers, pain points and the OHA mission objectives to produce a focused set of Consolidated Needs. These Consolidated Needs are shown in the figure below.

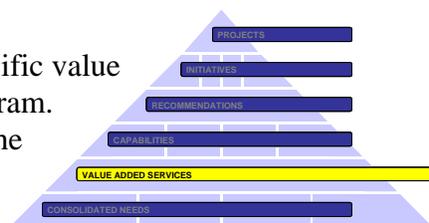


Figure 15: Consolidated Needs Mapped to Value Added Services



4.4 Value Added Services

The Consolidated Needs above are best addressed by four specific value added services that should be provided by the HIV/AIDS Program. These four services allow the HIV/AIDS Program to provide the leadership, agility, and understanding needed to satisfy the consolidated needs.



- **Create and Maintain HIV/AIDS Program Policies and Procedures** - The HIV/AIDS Program will create and maintain a viable structure which promotes USAID’s worldwide HIV/AIDS program. The Program must be able to develop and maintain clear and consistent HIV/AIDS related policy. It must be able to determine, assign and enforce roles and responsibilities. It must be able to set program wide informational and operational standards.
- **Strategically Direct the HIV/AIDS Program** - The Program is able to anticipate changes in stakeholder needs and the operational environment of the HIV/AIDS Program. It will be able to efficiently guide global operations to effectively make progress against the HIV/AIDS pandemic.
- **Provide HIV/AIDS Program Support and Services** - The Program provides resources and services when and where they are needed to meet operational demands. Resources are scalable, and services flex to meet operational surges and changes in the environment.
- **Source of HIV/AIDS Program Information** - The Program readily provides program management information and technical expertise. This information is in the format to best meet operational and managerial requirements.

5. Turning Value into Operational Capabilities

This section describes how the HIV/AIDS Program can operationalize the value added services described in the section above. It discusses, in detail, the “business” capabilities needed and how they relate to the value added services. It also creates an overall vision to guide the development and implementation of the detailed business model. Finally it provides a general description of how the To-Be capabilities fit into USAID’s existing operating structure.

5.1 Capabilities

Delivering the value described in section 4 to the various stakeholder groups relies on building concrete and specifically defined business capabilities. Each of these business capabilities is comprised of its own mix of processes, skills, knowledge required, and supporting technological services, which enable the capability to operate. These are discussed in section 5.2 below. Also a set of success criteria is associated with each business capability. These are discussed in section 6.2. Associating the enablers and success criteria with each capability is a critical step in building a deliberate and traceable path from individual components of the HIV/AIDS Program to specific value delivered to the stakeholders.

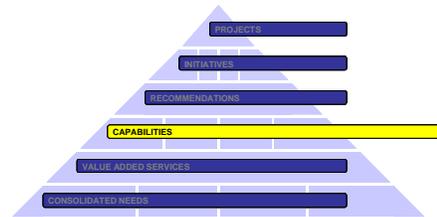
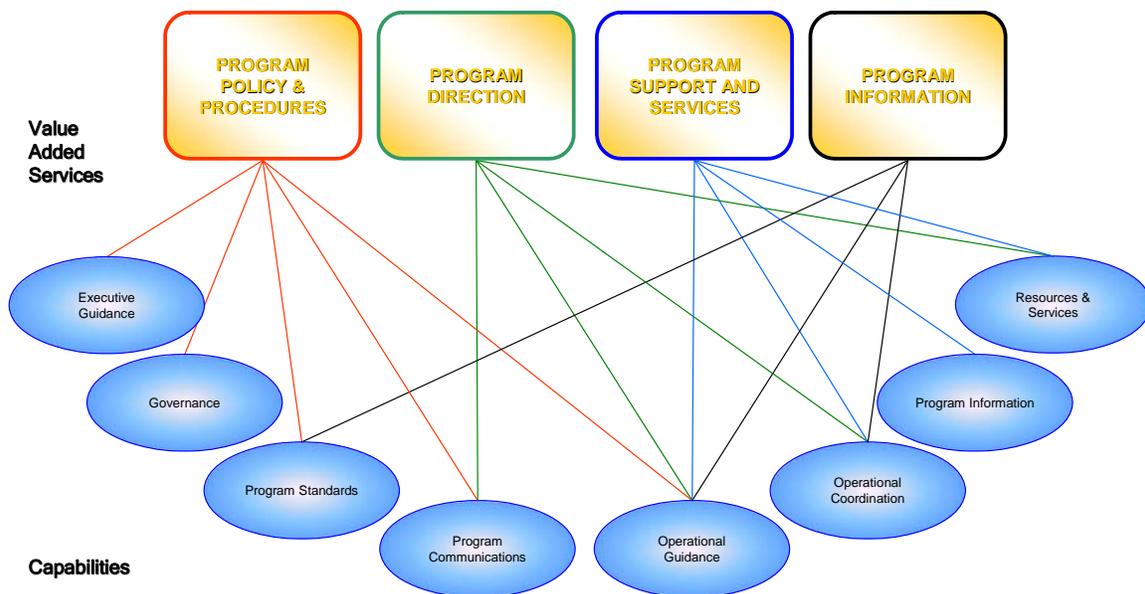


Figure 16: Value Added Services Mapped to Capabilities



This particular set of capabilities supports the delivery of the value added service in a practical and realistic way that also addresses specific pain points discussed in section 2.2.2. Areas of particular focus for development have been the HIV/AIDS Program Oversight need to formalize specific budget and strategic plan review processes, governance across the program, program

wide reporting standards, and communications through the HIV/AIDS Program and with involved parties outside the Program itself. Below are descriptions of the eight capabilities.

- **Executive Guidance** – As part of HIV/AIDS Program Oversight, OHA will monitor, collect and analyze legislation, regulations and guidance from program influencers such as OMB, S/GAC, Congress and other entities external to the Program. These factors will be consolidated into clearly understandable policies and procedures that are disseminated and implemented consistently across all HIV/AIDS activities with partners, suppliers, complementors and customers. This will provide the fundamental and stable platform for planning, execution, monitoring and assessing OHA programs and activities.
- **Governance** - As part of HIV/AIDS Program Oversight, OHA will develop, maintain, and enforce clearly defined roles. Each role will be unique and defined by the knowledge, experience and expertise necessary to fulfill that role and the associated responsibilities, authority, and accountability. It should be noted that in this context, the term “role” is not synonymous with “position” or “full time equivalent” (FTE). Some roles may require a number of individuals on a full time basis, while others will require only a minimal amount of time from one individual.
- **Program Standards** - As part of HIV/AIDS Program Oversight, OHA will create, maintain, disseminate and enforce HIV/AIDS Program standards through the development of a standards plan which will be incorporated into the HIV/AIDS Program policies and procedures. The standards plan will document guidance on the collection, measurement and reporting of program performance and management information through the adoption of consistent lexicon, indicators, information formats and data dictionary. The primary objective of this plan is to provide a stable and consistent framework for all program management activities.
- **Program Communications** - As part of HIV/AIDS Program Oversight, OHA will develop and maintain a Communications Plan which will be incorporated into the HIV/AIDS Program policies and procedures. The Communications Plan will document guidance on the content, delivery mechanisms, format, lexicon and timing of program communications. The objective of the plan is to provide relevant, timely, clear and complete HIV/AIDS communications to all Program participants
- **Operational Guidance** - As part of HIV/AIDS Program Oversight, OHA will formulate and disseminate HIV/AIDS technical and program guidance to Operating Units in a timely manner. This guidance, unlike policies and procedures, is not provided to all Operating Units simultaneously but on an activity milestone basis or upon the recognition, by OHA, that additional guidance is necessary to improve execution. The intent is to anticipate the needs of the Operating Unit and provide the assistance necessary to optimize the activity performance.
- **Operational Coordination** - As part of HIV/AIDS Program Operations, OHA will coordinate the management of operational objectives with its partners, suppliers and complementors. Based on the processes, procedures and requirements defined in Program

Standards and Executive and Operational Guidance, the Operating Unit will develop plans, implement and monitor activities, collect and report technical and management information.

- **Program Information** - As part of HIV/AIDS Program Operations, OHA will coordinate with its partners, suppliers, complementors, customers and influencers to proactively gather, validate, analyze, and disseminate all pertinent information (financial, program management, program results, technical expertise, lessons learned, industry leading practices) as it is required to meet and exceed stakeholder expectations.
- **Resources & Services** - As part of HIV/AIDS Program Operations, OHA will coordinate with its partners, suppliers, complementors, and customers to identify and provide access to appropriate resources required (human capital, physical assets, financial resources, equipment, supplies, and commodities) to create and implement HIV/AIDS interventions across the developing world. Through the utilization of available resource the HIV/AIDS Program will be ready to coordinate services globally to meet any reasonable HIV/AIDS Program demand.

5.2 Enablers

Each of the capabilities described above is comprised of its own mix of enablers. These enablers are the processes, skills, technological services, and knowledge need to get the work of making the capability operational. Below is a short description of each of the four enablers, and how each contributes to enabling the capability. Full lists and requisite descriptions are in the appropriate appendices.

In order to make this architecture simpler and more adaptable, processes have been directly associated with the capabilities. The skills, technological services, and knowledge have been associated with each process. This bundling means that the HIV/AIDS Program can more easily adapt and nimbly respond to changes in the operating environment, funding levels, priorities, etc.

- **Processes** – This is a list of processes needed to enable each capability. A full list, complete with process descriptions can be found in Appendix D.
- **Roles** – This is a list of role based competencies required to accomplish each process. A full list, complete with role descriptions can be found in Appendix E.
- **Technological Services** – This is a list of the enabling technological services that the processes rely on.
- **Knowledge** – This is the list of the information and knowledge needed to execute the Process. A full list, complete with knowledge descriptions can be found in Appendix F.

5.3 How this fits into the Agency's existing structure

The next step in completing the structured and traceable connection of HIV/AIDS Program value provided to specific activities accomplished is to map the processes to functional groupings.

With slight modifications, the existing functional groupings of the HIV/AIDS Program Oversight business process areas discussed in section 2.3.1 and the HIV/AIDS Program Operations discussed in section 2.3.2 are a set of functional groupings to map the To-Be processes.

5.3.1 HIV/AIDS Program Oversight

The table below maps the Processes that enable the Capabilities (along the X axis) to the modified HIV/AIDS Program Operations Process groupings (along the Y axis).

5.3.1.1 Program Oversight To-Be Processes

Table 3: Program Oversight To-Be Processes

PROGRAM OVERSIGHT <i>To-Be Processes</i>	Program Planning and Budgeting	Program Execution	Program Knowledge Creation
	Executive Guidance	Assess Needed Changes to Policies and Procedures Develop and Maintain Program Policies and Procedures Develop and Maintain Long Range HIV/AIDS Program Plan	
Governance	Assess Needed Changes to Governance Model Develop and Maintain Governance Model		Evaluate Program Governance Model
Program Standards	Assess Needed Changes to Program Standards Develop and Maintain Program Management Performance Criteria Develop and Maintain Technical Performance Indicators		Evaluate Program Standards
Program Communications	Develop Program Communication Plan	Disseminate Program Guidance	Evaluate Communication Plan
	Develop and Maintain Program Business and Technical Architecture	Disseminate Program Management Information Disseminate HIV/AIDS Knowledge	Identify and Recommend Changes to Agency Communications Infrastructure
Operational Guidance	Assess Needed Changes to Operational Guidance	Review & Approve Operating Unit HIV/AIDS Strategies	Evaluate Program Guidance Effectiveness
	Develop and Maintain Operational Guidance		Analyze HIV/AIDS Program Results

PROGRAM OVERSIGHT <i>To-Be Processes</i>	Program Planning and Budgeting	Program Execution	Program Knowledge Creation
Operational Coordination	Coordinate & Endorse HIV/AIDS Budget Submissions	Monitor and Evaluate Resource Usage and Services	Review and Analyze Program Management Data
	Submit HIV/AIDS Program Budget for Approval	Enforce Program Guidance	
Program Information	Identify Knowledge Requirements	Collect and Aggregate Program Results	Collect and Consolidate Lessons Learned
		QA / Information Assurance	Collect and Consolidate HIV/AIDS Knowledge
		Respond to Program Information Requests	
Resources and Services	Analyze and Plan Support Needs	Advise and Consult	Develop Program Support Lessons Learned

5.3.1.2 Program Oversight As-Is Processes

Table 4. Program Oversight As-Is Processes

PROGRAM OVERSIGHT <i>As-Is Processes</i>	Program Planning and Budgeting	Program Execution	Program Knowledge Creation
Executive Guidance	Formulate HIV/AIDS Program Budget Guidance	Formulate Program Guidance	Recommend Revisions to HIV/AIDS Policy
	Formulate Strategic Planning Policy & Guidance		
	Perform Overall HIV/AIDS Planning		
Governance			
Program Standards			
Program Communications		Distribute HIV/AIDS Program Budget Guidance	
		Coordinate Program Guidance Distribution	
Operational Guidance	Review & Approve Operating Unit HIV/AIDS Strategies		
Operational Coordination	Coordinate & Approve HIV/AIDS Specific Budget Submissions	Oversee Programs (Reviews, Reporting Mechanisms)	
		Review & Consolidate Reports	Analyze HIV/AIDS Program Results

PROGRAM OVERSIGHT <i>As-Is Processes</i>	Program Planning and Budgeting	Program Execution	Program Knowledge Creation
Program Information			Consolidate & Analyze "Lessons Learned"
			Collect & Consolidate HIV/AIDS Related Knowledge
			Disseminate HIV/AIDS Related Knowledge
Resources and Services		Advise & Consult	

5.3.1.3 Program Oversight Gap Analysis

Table 5: Program Oversight Gap Analysis

PROGRAM OVERSIGHT	Program Planning and Budgeting		Program Execution		Program Knowledge Creation	
	As-Is	To-Be	As-Is	To-Be	As-Is	To-Be
Executive Guidance	Formulate HIV/AIDS Program Budget Guidance	Assess Needed Changes to Policies and Procedures			Recommend Revisions to HIV/AIDS Policy	Evaluate Program Policies and Procedures
	Formulate Strategic Planning Policy & Guidance	Develop and Maintain Program Policies and Procedures				Understand Internal and External Forces Affecting the HIV/AIDS Program
	Perform Overall HIV/AIDS Planning	Develop and Maintain Long Range HIV/AIDS Program Plan				
Governance		Assess Needed Changes to Governance Model				Evaluate Program Governance Model
		Develop and Maintain Governance Model				

PROGRAM OVERSIGHT	Program Planning and Budgeting		Program Execution		Program Knowledge Creation	
	As-Is	To-Be	As-Is	To-Be	As-Is	To-Be
Program Standards		Assess Needed Changes to Program Standards				Evaluate Program Standards
		Develop and Maintain Program Management Performance Criteria				
		Develop and Maintain Technical Performance Indicators				
Program Communications		Develop Program Communication Plan	Distribute HIV/AIDS Program Budget Guidance	Disseminate Program Guidance		Evaluate Communication Plan
		Develop and Maintain Program Business and Technical Architecture	Coordinate Program Guidance Distribution	Disseminate Program Management Information		Identify and Recommend Changes to Agency Communications Infrastructure
				Disseminate HIV/AIDS Knowledge		
Operational Guidance	Review & Approve Operating Unit HIV/AIDS Strategies	Assess Needed Changes to Operational Guidance	Formulate Program Guidance	Review & Approve Operating Unit HIV/AIDS Strategies		Evaluate Program Guidance Effectiveness
		Develop and Maintain Operational Guidance		Analyze HIV/AIDS Program Results		
Operational Coordination	Coordinate & Approve HIV/AIDS Specific Budget Submissions	Coordinate & Endorse HIV/AIDS Budget Submissions	Oversee Programs (Reviews, Reporting Mechanisms)	Monitor and Evaluate Resource Usage and Services		Review and Analyze Program Management Data
		Submit HIV/AIDS Program Budget for Approval		Enforce Program Guidance		

PROGRAM OVERSIGHT	Program Planning and Budgeting		Program Execution		Program Knowledge Creation		
	As-Is	To-Be	As-Is	To-Be	As-Is	To-Be	
Program Information		Identify Knowledge Requirements	Review & Consolidate Reports	Collect and Aggregate Program Results	Analyze HIV/AIDS Program Results	Collect and Consolidate Lessons Learned	
				QA / Information Assurance	Consolidate & Analyze "Lessons Learned"		Collect and Consolidate HIV/AIDS Knowledge
				Respond to Program Information Requests	Collect & Consolidate HIV/AIDS Related Knowledge		
					Disseminate HIV/AIDS Related Knowledge		
Resources and Services		Analyze and Plan Support Needs	Advise & Consult	Advise and Consult		Develop Program Support Lessons Learned	

5.3.2 HIV/AIDS Program Operations

The table below maps the processes that enable the capabilities (along the X axis) to the modified HIV/AIDS Program Operations process groupings (along the Y axis).

5.3.2.1 Program Operations To-Be Processes

Table 6: Program Operations To-Be Processes

PROGRAM OPERATIONS To-Be Processes	Plan	Achieve	Assess & Learn
Executive Guidance			
Governance			
Program Standards			
Program Communications			
Operational Guidance	Determine and Articulate Desired Results		
	Formulate Operating Plan		
	Obtain Approval		
Operational Coordination	Develop Resource and Service Plans with Partners	Negotiate Operating Plan Agreement	Monitor and Evaluate Program Performance
		Complete Activity Planning Requirements	
		Coordinate Program Activities	
Program Information	Identify Operational Information Need	Quality Assurance	Review Portfolio
		Collect and Aggregate Activity Information	Evaluate Results
		Respond to Operational Information Requests	Prepare Annual Report
Resources and Services	Inventory Resources	Draft & Execute Procurement Documents	Develop Lessons Learned
	Analyze Service and Resource Needs		
	Plan Services and Resources		

5.3.2.2 Program Operations As-Is Processes

Table 7: Program Operations As-Is Processes

PROGRAM OPERATIONS As-Is Processes	Plan	Achieve	Assess & Learn
Executive Guidance			
Governance			
Program Standards			
Program Communications			
Operational Guidance	Articulate Desired Results		
	Define Approach		
	Formulate Budget		
	Draft Strategic Plan		
	Obtain Approval		
Operational Coordination		Negotiate SO Agreement	Monitor Activity Implementation
		Complete Activity Planning Requirements	
Program Information			
Resources and Services		Draft & Execute Procurement Documents	

5.3.2.3 Program Operations Gap Analysis

Table 8: Program Operations Gap Analysis

PROGRAM OPERATIONS	Plan		Achieve		Assess & Learn	
	As-Is	To-Be	As-Is	To-Be	As-Is	To-Be
Executive Guidance						
Governance						
Program Standards						
Program Communications						
Operational Guidance	Articulate Desired Results	Determine and Articulate Desired Results				
	Define Approach	Formulate Operating Plan				
	Formulate Budget	Obtain Approval				

PROGRAM OPERATIONS	Plan		Achieve		Assess & Learn	
	As-Is	To-Be	As-Is	To-Be	As-Is	To-Be
	Draft Strategic Plan					
	Obtain Approval					
Operational Coordination		Develop Resource and Service Plans with Partners	Negotiate SO Agreement	Negotiate Operating Plan Agreement	Monitor Activity Implementation	Monitor and Evaluate Program Performance
			Complete Activity Planning Requirements	Complete Activity Planning Requirements		
				Coordinate Program Activities		
Program Information		Identify Operational Information Need		Quality Assurance		Review Portfolio
				Collect and Aggregate Activity Information		Evaluate Results
				Respond to Operational Information Requests		Prepare Annual Report
Resources and Services		Inventory Resources	Draft & Execute Procurement Documents	Draft & Execute Procurement Documents		Develop Lessons Learned
		Analyze Service and Resource Needs				
		Plan Services and Resources				

5.3.3 Touch points with other M Bureau functions

5.3.3.1 Touch points to Financial Management

Table 9: Touch points to Financial Management

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

5.3.3.2 Touch points to Acquisition and Assistance

Table 10. Touch points to Acquisitions and Assistance

As-Is Process	To-Be Process	Relationship
A&A / Acquisition and Assistance Planning / Operating Unit Planning and Formation	Program Standards / Assess Needed Changes to Program Standards	Program Standards constantly evolve and change to meet program needs. The Office of Procurement (OP) and HIV/AIDS Program operating units work together to perform annual planning using established Program Standards. In the event that a given standard is not appropriate or is contradictory to OP Policies, the organization responsible for maintaining HIV/AIDS Program
	Program Standards / Develop and Maintain Program Management Criteria	
	Program Standards / Develop and Maintain Technical Performance Indicators	

As-Is Process	To-Be Process	Relationship
	Program Standards / Evaluate Program Standards	Standards is notified of the discrepancy. The standards organization takes the appropriate action to remedy the discrepancy and updates and distributes modified Program Standards as necessary.
A&A / Award Administration / Administer Award	Operational Coordination / Coordinate Program Activities	In the normal course of administering Program activities the operating unit coordinates contract and grant related issues with OP.
A&A / Award Administration / Modify Award	Operational Coordination / Coordinate Program Activities	
A&A / Award Formulation / All Sub-Processes	Operational Coordination / Develop Resource & Service Plans with Partners	Operating Units coordinate with OP to develop resource and service plans in accordance with established Program Standards and defined Program requirements.

5.3.3.3 Touch points to Budget

Table 11. Touch points to Budget

As-Is Process	To-Be Process	Relationship
B / Formulate Agency Budget / Determine Activity Budget	Operational Coordination / Coordinate and Endorse HIV/AIDS Budget Submissions	OHA in coordination with PPC, when appropriate, reviews and endorses HIV/AIDS budget requests.
	Operational Coordination / Submit HIV/AIDS Program Budget for Approval	OHA submits the HIV/AIDS Program budget to PPC for inclusion in the Agency budget request to OMB.
B / Prepare Budget Guidance / Determine Budget Guidance	Program Standards / Assess Needed Changes to Program Standards	Program Standards constantly evolve and change to meet program needs. The Office of Planning and Program Coordination (PPC) and Office of HIV/AIDS work together to perform annual budget planning using established Program Standards. In the event that a given standard is not appropriate or is contradictory to Agency budget policies, the organization responsible for maintaining HIV/AIDS Program Standards is notified of the discrepancy. The standards organization takes the appropriate action to remedy the discrepancy and updates and distributes modified Program Standards as necessary.
	Program Standards / Develop and Maintain Program Management Criteria	
	Program Standards / Develop and Maintain Technical Performance Indicators	
	Program Standards / Evaluate Program Standards	

5.4 Services Architecture

An overall architecture strategy for the HIV/AIDS program developed by examining a number of sources:

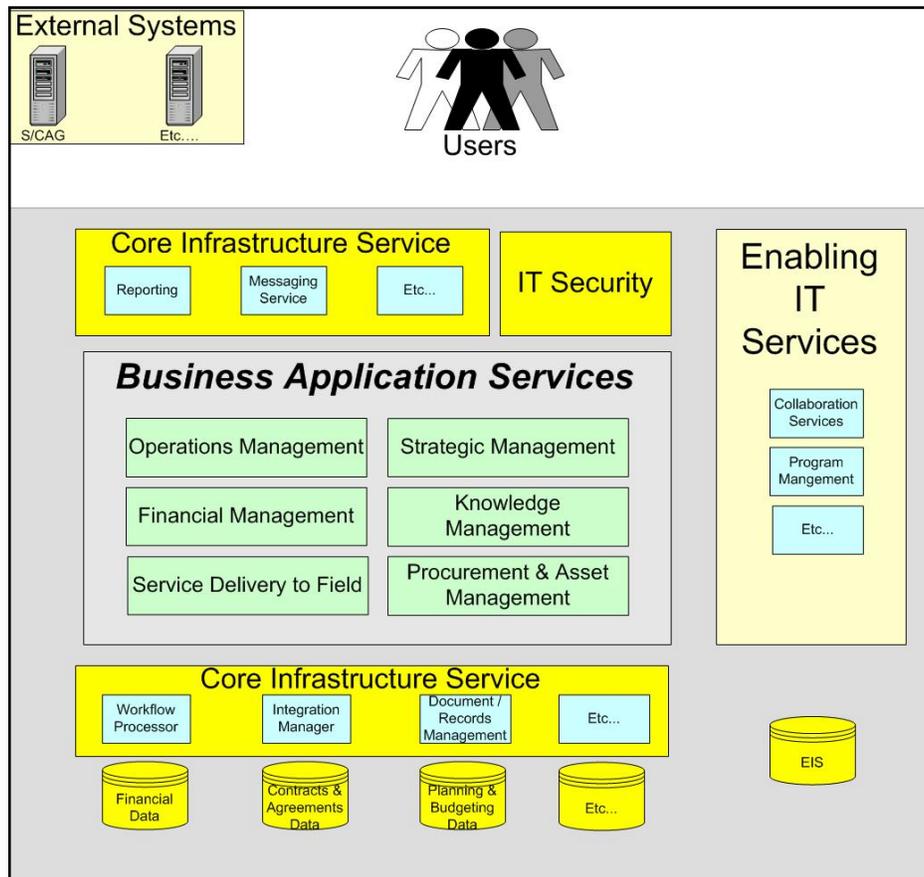
- HIV/AIDS Application and Technical Architecture envisioning session,
- Federal eGovernment initiatives (and in particular, the QuickSilver initiatives),
- Strategic Plan: Fiscal Years 2004-2009, United States Department of State and United States Agency for International Development,
- Ongoing USAID IT initiatives, and
- Current state of IT technologies and the direction of IT technologies.

The architecture strategy for the HIV/AIDS program is to extend USAID's current strategy by developing a web-enabled transactional environment that provides a suite of re-usable service components that can be used to support multiple automation needs. New functionality would be developed using technologies that support component based development, while existing systems would have their functionality exposed by utilizing appropriate wrapper technology. The philosophy moves from monolithic style stovepipe environment to a distributed, component based model. Inherently, this provides a more robust environment whereby non-critical functionality can be turned off and critical functionality maintained during a degraded environment. Further, security is enhanced by examining and enforcing appropriate trust relationships between service components, which is often overlooked in monolithic environments.

To implement this strategy, four classes of automation services are identified and depicted in figure 18 below:

- *Business Application Area Services* provide direct automated support for the business processes,
- *Core Infrastructure Services* provide core functionality that business application area services use to implement their functionality,
- *Enabling IT Services* provide the capabilities to develop, maintain, and support the IT infrastructure, and
- *Data Store Services* provide the capabilities to manage and store the knowledge, information, and data used by the HIV/AIDS program.

Figure 17: Overview of Services Architecture



Direct support of HIV/AIDS program business processes is provided by the following business application areas:

- **Strategic Management** – Provides support for program wide strategic planning and budgeting processes, and in developing and maintaining program wide information. Program wide information includes program policies, procedures, guidance and cross-functional standards. This business application area supports processes in the program oversight business process area.
- **Operational Management** – Provides support for operating unit level planning and budgeting. This includes planning and budgeting for the operating unit, as well as developing the results framework for the operating units. This business application area supports processes in the program operations business process area.
- **Service Delivery to Field** – Provides support for centrally procured and managed services to be available for the missions. This business application area supports processes in the program operations business process area.
- **Knowledge Management** – Provides support for integrating all facets of technical program knowledge. This includes knowledge regarding funding, program categories,

operating unit strategies and objectives, results, best practices, strategies for combating HIV/AIDS, and any other data that can be used and shared about the HIV/AIDS pandemic. This provides support for processes in both the program oversight business process area and the program operations business process area.

- **Financial Management** – Provides support for processes in the financial management business process area.
- **Procurement & Asset Management** – Provides the automation services for acquiring, managing and tracking the purchase and distribution of products and services for the HIV/AIDS program. This provides support for processes in the procurement business process area and the program operations business process area.

6. Measuring Success

Measuring success for any organization is a difficult challenge. In particular, the measure of success for the HIV/AIDS program represents particular challenges in that the variety of viewpoints held by the various stakeholders must be considered when measuring success. For instance, obligating dollars to specific programs in particular countries might be the measure of success for congressional stakeholders. For citizen stakeholders, the measure of success might be the efficiency of programs performed under the HIV/AIDS strategy. Finally, for those receiving goods and services, success can be measured by the reduction of HIV/AIDS prevalence.

In this section, specific critical success factors are discussed in section 6.1. They are HIV/AIDS Program level values that measure the overall success of the Program. They are developed using information gathered in the envisioning session, and information gathered in the As-Is data collection activity. In section 6.2 these Program level critical success factors are applied to individual Program capabilities. This is detailed through a set of specific success criteria for each capability. Finally in section 6.3 the success criteria are then used to develop operationalized indicators for each capability. This completes the alignment of the HIV/AIDS Program Enterprise Architecture to the FEA Performance Reference Model.

Appendix C contains a table that summarizes the relationship between capabilities, critical success factors, success criteria, and the indicators of the performance reference model.

6.1 Critical Success Factors

The following success factors were derived from information gathered during the As-Is analysis and the To-Be envisioning. A description for each critical success factor is provided.

Answer Congressional funding/spending inquiries – This success factor is fundamental to the program and to USAID as an agency. Historically, it has required heroic efforts from individuals to address congressional inquiries. With the rapid scale up of the HIV/AIDS program, there will be more congressional inquiries asking more questions about the program. Key to the perceived success of the program will be the ability to answer these questions in a timely and efficient manner. Typical questions might include:

- How much money is being spent on Prevention and Treatment in country X?
- How much of Prevention funding is being spent on Anti-Retro Viral treatments (ARVs) in country X?
- How much money is going to faith-based programs in country X?
- How many faith-based organizations are receiving money and for what types of programs?
- How much money is going to UN?

- How much is being spent on Monitoring & Evaluation and how many people have been served by this group?
- How many condoms were distributed in Country X?
- Who are USAID's partners, how many different partners is USAID funding?

Match Dollars to Purpose to Outcomes – The level of spending of the HIV/AIDS program by itself puts additional scrutiny on the program, and USAID OHA in particular. One area of interest will most likely be effectiveness of the program. The ability to relate dollars spent to outcomes and then to results will be a critical component for continued funding of the Presidential initiative through USAID.

Leverage USAID core competencies – The ability to leverage USAID's unique understanding and know-how related to in-country issues, and the relationships with its partners will be key to delivering the goods and services necessary to deal with the AIDS pandemic. A critical component of the success for USAID will be to leverage their core competency in this area, and not allow this competency to diminish.

Develop effective and sustainable in-country programs – Providing effective and sustainable in-country programs is an important aspect of the overall HIV/AIDS program. Without this, the long term viability of the HIV/AIDS program and USAID's ability to deliver services will be questioned. The programs have to be effective in that they achieve desired program goals, but must also be sustainable within a number of constraints, including funding levels.

Align in-country strategies and activities with top-down goals – Traditionally USAID has used a bottom up approach to conduct its business. Recently, there has developed a need to more closely align the programs being conducted by USAID with national security. Thus, the ability to see how country specific strategies align with the global objectives being set by the administration is required. By clearly demonstrating this alignment, USAID is better able to address questions regarding program effectiveness in support of national goals.

Ability to adapt to a rapidly changing environment – One of many issues for USAID is the ability to adapt in-country programs to changing global needs. This need becomes clearly evident when USAID attempts to address new top-down priorities. The ability to both manage expectations, and address new priorities is needed in order to demonstrate responsiveness to Administration and Congressional direction.

Ability to aggregate mission data to USAID/W – One means of demonstrating the global effectiveness of the HIV/AIDS program is to be able to aggregate mission data to the regional and global levels. The number and types of data that need to be aggregated vary, from financial data (e.g. budgets, funding against program categories, country level obligations) to performance and outcome data (indicators). It must be noted that USAID has made tremendous progress in determining global indicators. However, these indicators must be incorporated in both new and existing programs. USAID must also be able to relate data in a cross-functional manner. For

instance, USAID must be able to relate budget data to procurement data, to performance data. This cross-functional aggregation is particularly difficult in today's environment.

Manage the HIV/AIDS program from USAID/W to missions – USAID must be able to centrally direct the global HIV/AIDS strategy while still providing the flexibility of missions to meet their in-country needs. This is accomplished by instituting an effective management plan that properly balances the needs for global program oversight while supporting mission autonomy at the operational level. Managing the program will necessarily touch a number of areas including, but not limited to, roles, responsibilities, guidance, direction, coordination, and planning activities. In this vein, a clear understanding of the relationship between program oversight and program operations needs to be promulgated.

The table below shows the capabilities supporting each critical success factor. In section 6.3 this relationship is expanded by assigning specific success criteria to each capability.

Table 12: Capabilities to Critical Success Factors Mapping

Capability	Critical Success Factor							
	Answer Congressional funding/ spending level inquiries	Match Dollars to Purpose to Outcomes	Leverage USAID core competencies	Develop effective and sustainable in-Country programs	Align in-Country strategies & activities with top-down goals	Ability to adapt to a rapidly changing environment	Ability to aggregate mission data to Agency	Manage program from USAID/W to mission
Executive Guidance				●	●			●
Governance								●
Program Standards							●	●
Program Communication				●	●			●
Operational Guidance					●	●		●
Operational Coordination						●		●
Program Information	●	●		●			●	●
Resources & Services				●	●	●		

6.2 Success Criteria

The relationships between the capabilities and critical success factors identified in section 6.1 are captured through the success criteria for the capabilities. The following paragraphs discuss the capability success criteria, and how those success criteria support the critical success factors.

Executive Guidance

Executive guidance provides for coordinating and aligning the activities of various participants in the HIV/AIDS program through effective communication. It addresses the program management and alignment critical success factors.

Table 13: Executive Guidance Success Criteria

Capability	Success Criteria	Critical Success Factor							
		Answer Congressional funding/spending level inquiries	Match Dollars to Purpose to Outcomes	Leverage USAID core competencies	Develop effective and sustainable in-Country programs	Align in-Country strategies & activities with top-down goals	Ability to adapt to a rapidly changing environment	Ability to aggregate mission data to Agency	Manage program from USAID/W to mission
Executive Guidance	Policies and Procedures are clearly documented and understandable								●
	Policies and Procedures are implemented and used consistently across the program								●
	Policies and Procedures reflect all appropriate legislation and Regulations								●
	Policies and Procedures embody program/mission goals					●			
	Performance goals are directly linked to program and Agency goals					●			
	Policy and legislation is analyzed and applied contextually				●				

Governance

Governing the activities of participants enforces the coordination and alignment of activities to support the strategic goals. It also communicates roles, responsibilities, and authorities within the program. It addresses the program management critical success factor.

Table 14: Governance Success Criteria

Capability	Success Criteria	Critical Success Factor							
		Answer Congressional funding/ spending level inquiries	Match Dollars to Purpose to Outcomes	Leverage USAID core competencies	Develop effective and sustainable in-Country programs	Align in-Country strategies & activities with top-down goals	Ability to adapt to a rapidly changing environment	Ability to aggregate mission data to Agency	Manage program from USAID/W to mission
Governance	Program personnel and stakeholders understand their roles and responsibilities								●
	Responsibilities and lines of accountability are aligned with program roles								●
	Standardized Roles and Responsibilities								●
	Roles & Responsibilities are contextually appropriate and consistently applied across the program								●
	Accountability is aligned with authority and responsibilities								●

Program Standards

Adopting program wide standards provides for the ability to aggregate information gathered at the mission level to the agency level, and aggregate across functional areas. It supports the management and aggregation critical success factors.

Table 15: Program Standards Success Criteria

Capability	Success Criteria	Critical Success Factor							
		Answer Congressional funding/ spending level inquiries	Match Dollars to Purpose to Outcomes	Leverage USAID core competencies	Develop effective and sustainable in-Country programs	Align in-Country strategies & activities with top-down goals	Ability to adapt to a rapidly changing environment	Ability to aggregate mission data to Agency	Manage program from USAID/W to mission
Program Standards	Standards are consistent across program							●	
	Results can be aggregated							●	
	Stakeholders can expect consistent program information								●

Program Communication

The effectiveness of any organization is dependent upon its ability to effectively communicate. The factors that lead to effective communication are timeliness, relevancy, clarity, and completeness. It supports the management, alignment, and sustainable program critical success factors.

Table 16: Program Communication Success Criteria

Capability	Success Criteria	Critical Success Factor							
		Answer Congressional funding/ spending level inquiries	Match Dollars to Purpose to Outcomes	Leverage USAID core competencies	Develop effective and sustainable in-Country programs	Align in-Country strategies & activities with top-down goals	Ability to adapt to a rapidly changing environment	Ability to aggregate mission data to Agency	Manage program from USAID/W to mission
Program Communication	Program stakeholders receive all relevant communication guidance								●
	Guidance is actionable in time to meet major milestones								●
	Program communication is contextually appropriate					●			●
	Program Results are Comprehensive and useful				●				
	Communications are timely								●

Operational Guidance

Providing clear and timely operational guidance to the operational units supports achieving program results, and the ability to demonstrate those achievements. It also enforces consistency across operating units. It supports the management, adaptability, and alignment critical success factors.

Table 17: Operational Guidance Success Criteria

Capability	Success Criteria	Critical Success Factor							
		Answer Congressional funding/spending level inquiries	Match Dollars to Purpose to Outcomes	Leverage USAID core competencies	Develop effective and sustainable in-Country programs	Align in-Country strategies & activities with top-down goals	Ability to adapt to a rapidly changing environment	Ability to aggregate mission data to Agency	Manage program from USAID/W to mission
Operational Guidance	Performance goals are directly linked to program and agency goals					●			
	Guidance embodies program/mission goals					●			
	Guidance is clearly documented and understandable								●
	Guidance is contextually appropriate and adhered to								●
	Guidance is actionable in time to meet major milestones						●		
	Guidance is aligned to Roles & Responsibilities								●
	Guidance is aligned to Policies & Procedures								●
	Change is managed								●
	Program governance structure is disseminated and enforced								●

Operational Coordination

Coordinating the activities of operating units and USAID partners promotes a global strategy for effectively addressing the HIV/AIDS pandemic. This global coordination reduces the potential for having multiple point programs that when viewed from a global strategic perspective, do not effectively address the pandemic. Coordination also supports the ability to adapt to changes that affect the global strategy. It supports the management, alignment, and adaptability critical success factors.

Table 18: Operational Coordination Success Criteria

Capability	Success Criteria	Critical Success Factor							
		Answer Congressional funding/spending level inquiries	Match Dollars to Purpose to Outcomes	Leverage USAID core competencies	Develop effective and sustainable in-Country programs	Align in-Country strategies & activities with top-down goals	Ability to adapt to a rapidly changing environment	Ability to aggregate mission data to Agency	Manage program from USAID/W to mission
Operational Coordination	Program operations effectively react and adapt to changing environment						●		
	Program operations effectively react and adapt to operational surges and dips						●		
	The "steady state" is predictable and manageable								●

Program Information

Understanding and providing for the information needs at all levels within the HIV/AIDS program supports managing the HIV/AIDS program. It provides for the proper planning of data collection points such that program information can be collected and aggregated with minimal effort. This in turn leads to the ability to provide sustainable programs, and consolidate perspectives across functional areas of planning, budgeting, finance, procurement, and both in-country and global performance. It supports the management, aggregation, sustainable program, funding level, and cross functional view critical success factors.

Table 19: Program Information Success Criteria

Capability	Success Criteria	Critical Success Factor							
		Answer Congressional funding/spending level inquiries	Match Dollars to Purpose to Outcomes	Leverage USAID core competencies	Develop effective and sustainable in-Country programs	Align in-Country strategies & activities with top-down goals	Ability to adapt to a rapidly changing environment	Ability to aggregate mission data to Agency	Manage program from USAID/W to mission
Program Information	Results can be aggregated							●	
	Mgmt milestones & deadlines are understood and acted upon								●
	Funds are tracked viewable at all levels throughout the entire funding cycle (budget to expenditure)	●							

Capability	Success Criteria	Critical Success Factor							
		Answer Congressional funding/ spending level inquiries	Match Dollars to Purpose to Outcomes	Leverage USAID core competencies	Develop effective and sustainable in-Country programs	Align in-Country strategies & activities with top-down goals	Ability to adapt to a rapidly changing environment	Ability to aggregate mission data to Agency	Manage program from USAID/W to mission
	Funds are related to results		●						
	Performance is related to performance goals								●
	Environment is collaborative								●
	Pipeline is analyzed and managed	●							
	Risk is managed								●
	Information is assured								●
	Information extraction processes are standard							●	
	Data is easily converted into useable metrics				●				
	stakeholders get technical support / information that they need to operate								●
	Information is current and applicable								●
	Aggregate Relevant Information							●	

Resources & Services

By identifying and planning for appropriate program resources and services the program can sustain itself over the long term. Capacity needs can be addressed and managed which supports adapting to program needs. Periodic assessment and updating of the portfolio of services is needed for the HIV/AIDS program to remain effective, and deliver on its performance objectives. It supports the adaptability, alignment, and sustainability critical success factors.

Table 20: Resources & Services Success Criteria

Capability	Success Criteria	Critical Success Factor							
		Answer Congressional funding/spending level inquiries	Match Dollars to Purpose to Outcomes	Leverage USAID core competencies	Develop effective and sustainable in-Country programs	Align in-Country strategies & activities with top-down goals	Ability to adapt to a rapidly changing environment	Ability to aggregate mission data to Agency	Manage program from USAID/W to mission
Resources & Services	Surges and Dips in program requirements are successfully addressed managed						●		
	Program stakeholders can obtain critical resources when and where needed						●		
	Contractors and grantees are readily available to meet program requirements						●		
	Program performance measures are consistent					●			
	Program services readily flex to meet the HIV/AIDS evolving environment						●		
	Services are modified based on lessons learned						●		
	Services are linked to Agency and program mission and goals					●			
	Support is readily accessible				●				

6.3 Performance Model

The performance model was developed by first assessing the capabilities against the FEA PMO Performance Reference Model Process and Activities measurement area. From this, the appropriate measurement categories and associated indicator were identified and are presented below. As can be seen in the table below, the measurement category is Management & Innovation for each capability. This is expected in that capabilities derived from the As-Is assessment and To-Be envisioning mostly deal with management issues of executing the HIV/AIDS program and are not necessarily associated with actual service delivery. Measurement indicators were then evaluated against the capability’s associated sub-processes and operationalized.

Table 21: Performance Reference Model Mapping

Capability	Category	Indicator	Operationalized
Executive Guidance	Management & Innovation	Policies	The number of inquiries regarding the application of policies and procedures at the operating unit level (using the assumption that on a macro scale the fewer inquiries, the clearer the understanding of the executive guidance).
Governance	Management & Innovation	Compliance	The number of compliant actions (by executing appropriate authority as defined within the governance structure).
Program Standards	Management & Innovation	Compliance	The number of information needs that Program personnel must make special inquiries to Operating Units in order to process (the lower the better).
Program Communications	Management & Innovation	Knowledge Management	The number of communications areas addressed by the HIV/AIDS communications plan (as a percentage of total communication areas).
Operational Guidance	Management & Innovation	Policies	The number of inquiries regarding operational guidance disseminated to the operating units (the lower the better).
Operational Coordination	Management & Innovation	Participation	The number of participating organizations in the development of appropriate plans, information, requirements, etc (as a percentage of total organizations involved).
Program Information	Management & Innovation	Knowledge Management	The number of information inquiries addressed by formalized information systems (as a percentage of total information inquiries).
Resources & Services	Management & Innovation	Innovation & Improvement	The number of differences between resource/service requirements and resources/services available (the lower the better).

7. Recommendations

This section outlines specific recommendations and priorities needed to achieve the To-Be Architecture. In the architectural analysis numerous pain points were discussed touching on numerous issues across the HIV/AIDS Program. Chief among these were the need to improve the reporting structure, formalize the budget process, and better connect the appropriated dollars with field results.

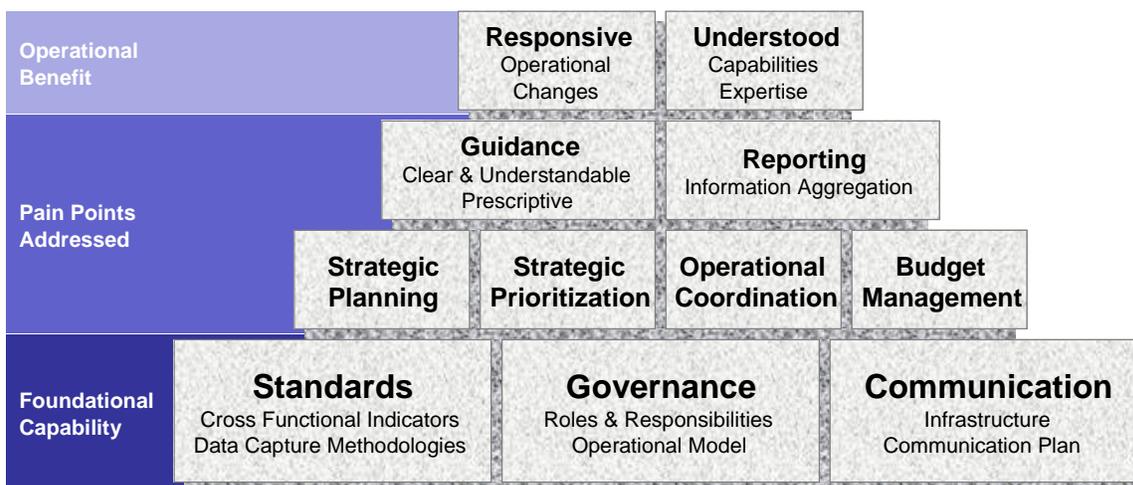


7.1 Capability and Results Building Blocks

To reinforce its position as the US Government’s leader in managing international HIV/AIDS activities, the USAID’s HIV/AIDS Program has many things to accomplish. Yet to do this effectively it must affect change deliberately in a series of well defined, interdependent steps. To gain maximum operational benefit the HIV/AIDS Program must first address certain foundational areas.

- *Standards* – Documenting and formalizing processes, developing and enforcing standards and lexicon and aligning indicators across business areas.
- *Governance* – Formalizing roles and aligning responsibility, authority and accountability.
- *Communications* – Developing and adopting a formal Communication Plan, as well as an executive information system for HIV/AIDS Program reporting.
- *Infrastructure* – Leveraging existing automation capabilities and develop additional automation to support program automation needs.

Figure 18: Program Capability Building Blocks



By developing the three foundational areas, and the infrastructure which supports them, the HIV/AIDS Program can address individual pain points in a significantly more sustainable way, ultimately deriving greater operational benefit.

7.2 Project Recommendations

Below are seventeen recommendation areas which are developed into specific initiatives and projects in section 10 and appendix A. These recommendations were derived through the Enterprise Architecture analysis, and may or may not coincide with other efforts USAID is currently undergoing or considering. This list combines the recommendations made in the Business and Information Architecture and the Application and Technical Architecture. These recommendations are the building blocks used to develop the requirements and scope of the individual projects.

In the list below the recommendations are not in any specific order or priority. Prioritization occurs through developing them into projects, and determining implementation dependencies and requirements.

1. **Document and formalize Program Oversight processes** – Establish a taskforce or several taskforces to design business processes and information systems to support Washington program oversight. For example, a program monitoring taskforce should review current procedures related to the Annual Reporting system, coding methodology as well as other initiatives, such as the establishment of a program database that can be fed by program documents such as the CBJ, annual reports and other related program documentation. A budget taskforce would look at how the budget process could be formalized and used across the Agency for performance based budget formulation.
2. **Develop HIV/AIDS Program Communications Infrastructure** – Develop a Communications Plan that explicitly discusses communications needs by each Operating Unit, Washington, USAID partners, and HIV/AIDS Program influencers (such as Congress or the S/GAC – see section 2.3). This discussion should include, but not be limited to infrastructure, timeliness, and contextual (political, economic, or cultural) requirements. It should include the development of a glossary, or standard lexicon, program categories, data standards, process and system interfaces, and reporting criteria.
3. **Develop and enforce HIV/AIDS Program Standards** – A multi-disciplinary taskforce, of representatives knowledgeable about Program operations, and the various systems that support it, should be chartered to investigate and implement the common set of cross functional codes, standards and indicators to be used across planning, implementation and reporting activities including strategic planning, budget planning and execution, performance planning and monitoring, acquisition and financial management.
4. **Develop and formalize HIV/AIDS Program Governance** – Establish a formalized governance program which describes the business and management system that will enable and provide assurance that the HIV/AIDS Program will accomplish its strategic

goals and objectives. Within the parameters of developing a Governance program three major components should be developed: a governance structure, an operating model, and the infrastructure to support them.

5. **Expand use of applicable business processes and systems to other portions of the Agency** – Review the HIV/AIDS business processes and reporting systems being developed under the S/GAC to determine if they might have broader relevance for USAID.
6. **Develop an executive information system for HIV/AIDS Program reporting** – Developing a program information system will provide an initial means to address pressing program reporting issues in terms of generating reports being requested by HIV/AIDS program stakeholders (namely Congress and the Administration). Caution must be taken to avoid developing this solution into another stove-pipe application. This initial solution should be developed in a manner which facilitates its long term use as a program information repository that can be leveraged by the HIV/AIDS program for the central point of HIV/AIDS program information.
7. **Extend the operational strategy/business model for the Agency** – The Agency should take a step back to get an overall picture of the Agency and its offerings. The HIV/AIDS Program does not operate in a vacuum. Because the HIV/AIDS Program touches so parts of the Agency, any improvements discovered during the current Enterprise Architecture effort must be aligned with the Agency as a whole. The first step in this process is to step back and look at the Agency as a whole, rather than in its piece parts.
8. **Investigate the ability and effectiveness of aligning the ACS with the budget/program categories** – The concept is to determine if aligning the account classification structure (ACS) with the budget/program categories within the ACS, will better addressed financial reporting needs. Furthermore, this might facilitate tracking and reporting on multi-purpose dollars since the purpose is ultimately captured within the SO structure.
9. **Develop work flow capability in budgeting and strategic planning** – To facilitate governance automate the strategic planning and budgeting processes using a work flow capability. This capability should be developed in way that promotes ownership of processes steps, provided that needed authority exists. By developing a generic workflow capability and instantiating it for budget and strategic planning, these difficult and timely processes can be made less of a burden to USAID.
10. **Redefine and standardize the meaning of “Strategic Objective”** – Currently the term “Strategic Objective” has wholly different meanings at different levels, and portions of the Agency. This creates confusion in planning, guidance and reporting. A standardized terminology should be used at different operational levels of the Agency.

11. **Encourage more involvement by PPC, M/FM and M/OP in Financial Management and Acquisition and Assistance HIV/AIDS Program policies and procedures** – Work closely with the Bureau of Policy and Program Coordination, the Office of Procurement and the Office of Financial Management to develop and maintain HIV/AIDS Program Policies and Procedures that pertain to the areas of acquisition and financial management. This coordination will enable the development of a unified HIV/AIDS Program approach to strategic planning, acquisition planning, budget and performance planning, and financial management.
12. **Investigate and unify the primary touch point between the HIV/AIDS Program, A&A, FM, PPC, and Budgeting** - Investigate budget execution to fully understand the touch points between the HIV/AIDS Program and Policy and Program Coordination, Budgeting, Financial Management, and Acquisition and Assistance. The front end of the budget execution phase, where the various planning processes (HIV/AIDS Program, Budgeting, and Acquisitions and Assistance) overlap with the executing program operations. Currently, there are a multitude of cuff systems and informal processes that attempt to facilitate and coordinate information exchange across the various areas. By formally defining the processes, and integrating systems that support these BPAs, this area can be improved, and serve as the keystone to build the rest of the Program and BPA transformation. Some of this will be addressed by the Phoenix Overseas Deployment Project and the Procurement System Improvement Project but more significantly integration is needed to develop a common Agency standard.
13. **Develop web-enabled transactional environment** - Develop a delivery mechanism that integrates existing applications with a web-enabled computing environment. For example, a web portal (single integrated environment) that recognize users when they log-on and automatically provides access to authorized resources they require (personalization).
14. **Integrate program management and technical knowledge sources within a single user environment** - Integrate current program management and technical knowledge sources within a portal. Leverage and aggregate existing program management “know how” from applicable sources. Provide access to program management information through web-enabled infrastructure.
15. **Develop knowledge management infrastructure to support the knowledge management strategy** - Develop a robust knowledge management infrastructure to integrate both program management and technical knowledge. Establish a taskforce to design knowledge management infrastructure to facilitate the development of a knowledge management portal type interface. This discussion should include aligning any knowledge management infrastructure development with current USAID knowledge management strategies/initiatives (such as efforts currently underway at PPC and CDIE). This recommendation could potentially be accomplished through coordinating requirements and solutions with the other initiatives currently under way.

16. Extend field support concept to include catalog management support and pre-procurement support - Evaluate the current approach to the field support initiative and extend the current functionality to include online catalog and pre-procurement capabilities. This will also expand the functionality currently being provided by NewVern. The benefit of extending the field support concept is to supports the development of USAID’s rapid response initiative.

17. Develop, formalize, and enforce web-enabled services architecture standards - Establish a taskforce of technical, systems, and Program operations experts to examine and implement common set of development standards to support web-enabled services architecture. Formalized standards should be enforced and stress a component based infrastructure that allows code re-use and sharing of services.

These recommendations are a direct result of the gap analysis performed in the Business and Information Architecture(BIA) and the Application and Technical Architecture (ATA). The table below shows which of the two documents was the source for each of the recommendations.

Table 22: Recommendation Source

Recommendation		BIA	ATA
1	Document and formalize Program Oversight processes	●	
2	Develop HIV/AIDS Program Communications Infrastructure	●	
3	Develop and enforce HIV/AIDS Program Standards	●	
4	Develop and formalize HIV/AIDS Program Governance	●	
5	Expand use of applicable business processes and systems to other portions of the Agency	●	
6	Develop an executive information system for HIV/AIDS Program reporting	●	●
7	Extend the operational strategy/business model for the Agency	●	
8	Investigate the ability and effectiveness of aligning the ACS with the budget/program categories	●	
9	Develop work flow capability in budgeting and strategic planning	●	●
10	Redefine and standardize the meaning of “Strategic Objective”	●	
11	Encourage more involvement by PPC, M/FM and M/OP in Financial Management and Acquisition and Assistance HIV/AIDS Program policies and procedures	●	
12	Investigate and unify the primary touch point between the HIV/AIDS Program, A&A, FM, PPC, and Budgeting	●	
13	Develop web-enabled transactional environment		●
14	Integrate program management and technical knowledge sources within a single user environment		●
15	Develop knowledge management infrastructure to support the knowledge management strategy		●
16	Extend field support concept to include catalog management support and pre-procurement support		●
17	Develop, formalize, and enforce web-enabled services architecture standards		●

The recommendations are implemented through specifically defined projects. Each project is designed around building the To-Be HIV/AIDS Program capabilities through implementing one or more of the recommendations. The next section, section 8, describes guidelines on how to implement the recommendations. Section 9 and Appendix A describe the projects and how they should be organized. Section 10 describes a practical implementation strategy for the projects.

8. Implementing the Recommendations

The BIA and ATA recommend a set of To-Be capabilities and supporting enablers for the HIV/AIDS Program. If implemented, these capabilities can fulfill the stakeholder wants, needs, and expectations as well as address the Program's pain points. The previous section highlighted the project recommendations which are the key to fulfilling the To-Be architecture. The sections below translate the recommendations into initiatives and discrete projects designed to enable the to-be HIV/AIDS Program capabilities. This section presents a vision for the HIV/AIDS Program to guide the implementation of the recommendations and their related initiatives.

The HIV/AIDS Program vision is comprised of three parts: the transformational vision statement, business goals, and policy recommendations. The transformational vision statement guides the implementation of the initiatives for the HIV/AIDS Program. The value oriented business goals for the HIV/AIDS Program, initially discussed in the BIA, are the "Letter of the Law", detailing what the HIV/AIDS Program must accomplish in order to fulfill its mission. Lastly, the policy recommendations are the "Spirit of the Law" and will guide the implementation of the HIV/AIDS Program initiatives.

8.1 Transformational Vision Statement

In a simple, concise, clearly understandable manner a transformational vision statement describes the purpose of an organization. The vision statement below was derived from the HIV/AIDS Program and Global Health Bureau leadership input and from the joint USAID and US Department of State Strategic Plan.

The HIV/AIDS Program is a catalyst for USAID to demonstrate its leadership in program management of HIV/AIDS projects throughout the developing world. The HIV/AIDS Program does this in support of creating a more secure, democratic, and prosperous world for the benefit of the American people and the international community.

8.2 HIV/AIDS Program Goals

The second step in forming a transformational vision for the HIV/AIDS Program is to set high level goals for the Program to measure the success of its efforts. These goals are embodied in the value added services discussed in the BIA. They reflect defined business objectives and have explicitly defined critical success factors associated with them.

The HIV/AIDS Program has 4 primary goals:

- HIV/AIDS Program policies and procedures are understood and adhered to throughout the Program
- HIV/AIDS Program management can direct the implementation of technical solutions
- The HIV/AIDS Program successfully provides needed services and support to operating units
- The HIV/AIDS Program can provide timely and accurate program information

8.3 Policy Recommendations

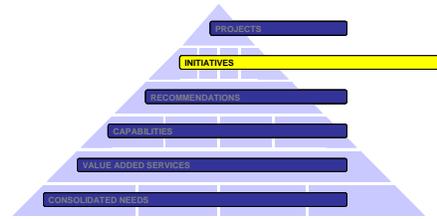
Creating policy to support implementing the initiatives and projects is a critical factor in moving the HIV/AIDS Program towards the transformational vision. These policy recommendations embody the assumptions and constraints in implementing the HIV/AIDS Program initiatives. When considering these in terms of the To-Be capabilities and supporting enablers, the policy recommendations are extremely useful in assisting with the implementation of the initiatives. Whereas the goals above and project recommendations in the previous section are relatively concrete, the policy recommendations are more conceptual and serve as guidelines for making program decisions. The policy recommendations were derived from the analysis performed in the BIA and the ATA.

- 1. Consider the To-Be capabilities when implementing the initiatives and projects** - As the initiatives are implemented the capabilities and the enablers will evolve. The HIV/AIDS To-Be environment is built on these capabilities.
- 2. Consider Agency implications when implementing HIV/AIDS Program initiatives and projects**- The HIV/AIDS Program is knit throughout the Agency. Any change to the Program must consider and be in alignment with other initiatives being implemented in the rest of the Agency.
- 3. Involve executive sponsors in initiative oversight** - The deployment and sustainability of the HIV/AIDS Program EA transformation will be an immense and complex undertaking that cannot succeed without significant and unified executive buy in. This executive support must be clearly demonstrated to the Agency.
- 4. Designate a champion to sponsor each project** - To be successful each project implemented must have a champion who has a vested interest in the project and the overall success of the initiative.
- 5. Make investment decisions based on business transformation criteria not simply technical solutions** - The HIV/AIDS Program EA effort is about transforming Program Oversight and Program Operations into more responsive, sustainable, and effective business operations. This transformation is rooted in the Program's business processes, and supported by the technical systems. It is not simply a technical solution.
- 6. The HIV/AIDS transformation must simplify program management** - Any transformation of the HIV/AIDS Program must simplify program management processes and systems so that Agency personnel can concentrate on critical mission decisions.
- 7. The HIV/AIDS Program EA effort must be extended beyond the Global Health (GH) Bureau** - Although the enterprise architecture effort initially focuses on the Global Health's HIV/AIDS Program, the initiatives and their impact must be implemented so relevant improvements can be extended throughout the Agency.

- 8. The HIV/AIDS Program EA effort must demonstrate cost efficient solutions -**
Transformational initiatives must include developing and sustaining approaches that maximize the effective application of funds and over time exhibit decreasing incremental investment per increment of added value.
- 9. Vet USAID initiatives with ongoing eGovernment initiatives -** Continue to vet current initiatives to the eGovernment framework. This should include development of any new initiatives along a component based, core infrastructure, and web-enabled services framework. Emphasis should be placed on the interoperability with USAID infrastructure.
- 10. Develop, formalize, and enforce web-enabled services architecture standards -** Establish a taskforce of technical, systems, and Program operations experts to examine and implement common set of development standards to support web-enabled services architecture. Formalized standards should be enforced and stress a component based infrastructure that allows code re-use and sharing of services.
- 11. Take an evolutionary approach to developing core infrastructure services –**
Development of functionality of the core services should be done in an evolutionary, centrally controlled manner. Develop additional components for the core infrastructure services architecture as they are needed to address specific user needs.

9. Initiatives

The recommendations of the BIA and the Application and Technical Architecture (ATA), have been organized into eight initiatives with numerous projects (see Appendix A). Each initiative is designed to build a capability, or series of capabilities, in the HIV/AIDS Program. Each project profile is a discrete set of work, with defined objectives, that builds the capabilities described within the initiative it supports. The projects are designed to be accomplished either individually or combined into a larger project according to the investment priorities of USAID. As projects are completed, and capabilities developed, the inventory of capabilities should be revisited to determine if projects should be added, subtracted, or changed to better support the overall HIV/AIDS Program capability portfolio.



The table below provides an overview of the initiatives, detailed initiative descriptions are contained in Appendix A. Also, note that the numbering of the initiatives does not imply prioritization.

Table 23: Initiatives

Initiative	Description	Objective(s)	Projects
Institute HIV/AIDS Program Standards	A multi-disciplinary taskforce should be chartered to investigate and implement a common set of cross functional codes, and standards to be used across planning, implementation and reporting activities	To institutionalize a consistent set of Program standards	1A. Institute HIV/AIDS Program Standards 1B. Develop Automated Capability for Standards Management 1C. Standardize Strategic Objective (SO) Definition 1D. Investigate Accounting Classification Structure (ACS) Alignment
Formalize and Implement HIV/AIDS Program Governance	Establish a formalized governance program which will describe the business and management system that will enable and provide assurance that the HIV/AIDS Program will accomplish its strategic goals and objectives. In particular, address business processes and information systems to support program oversight. Within the parameters of developing a governance program	To enhance the stability and effectiveness of the operating environment	2A. Formalize Program Oversight Processes 2B. Examine and Enhance HIV/AIDS Program Governance Structure 2C. Institute HIV/AIDS Continuous Improvement Framework 2D. Develop Training Program

Initiative	Description	Objective(s)	Projects
	three major components should be developed: a governance structure, an operating model, and a set of supporting information and technology competencies.		
Implement HIV/AIDS Program Communications	Develop a Communications Plan that explicitly discusses communication needs by each Operating Unit, USAID/W, USAID partners, and HIV/AIDS Program influencers.	To provide an infrastructure through which the user community has the Program information and knowledge needed to manage and execute the HIV/AIDS Program	3A. Implement HIV/AIDS Program Communications 3B. Restructure Guidance Format and Delivery Model 3C. Implement Collaborative Communication Environment
Improve Availability and Quality of HIV/AIDS Program Information	Create a body of Program knowledge which is used to manage, evaluate, and report on Program activities.	To provide a single source of Program information which can be used for reporting and other management information purposes.	4A. Develop an Executive Information System for HIV/AIDS Program Reporting 4B. Develop a Program Management Information Reporting Plan 4C. Develop Integrated HIV/AIDS Program Knowledge Management Taxonomy
Enhance Technological Support of the HIV/AIDS Program	Determine the viability of a single or limited number of, touch points between the HIV/AIDS Program, Budgeting, Financial Management, and Acquisition and Assistance, where processes, systems, and information flows can be integrated.	To find the optimal means of integrating Program management information, processes, and systems To provide an environment in which resource and service management is integrated with strategic planning and budgeting.	5A. Institute Integrated Strategic Planning and Budgeting System 5B. Develop HIV/AIDS Component Based Technology Architecture 5C. Implement Formalized Back Office System Communications Infrastructure 5D. Implement Portal Style Common User Interface 5E. Enhance Current Field Support Services

Initiative	Description	Objective(s)	Projects
Establish EA Governance	The Agency should take a step back to get an overall picture of the Agency business model and its offerings. The HIV/AIDS Program does not operate in a vacuum.	To gain a holistic view of the interaction between Agency and Program processes in order to develop a strategic approach to EA throughout the Agency	6A. Define and Implement Enterprise Architecture Governance Program 6B. Leverage EA Findings to Develop Agency Business Model 6C. Expand EA Governance Across the Agency

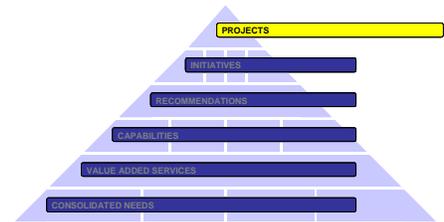
The table below demonstrates the relationship between the initiatives and the capabilities that they support. Each initiative develops one or more capability.

Table 24: Initiatives to Capabilities Mapping

		CAPABILITIES							
		Executive Guidance	Governance	Program Standards	Program Communications	Operational Guidance	Operational Coordination	Program Information	Resources & Services
INITIATIVES	Institute HIV/AIDS Program Standards	●		●					
	Formalize and Implement HIV/AIDS Program Governance	●	●			●			
	Implement HIV/AIDS Program Communications				●	●			
	Improve Availability and Quality of HIV/AIDS Program Information							●	
	Enhance Technological Support of the HIV/AIDS Program						●		●
	Establish EA Governance	●							

10. Implementing the Projects

This section discusses the dependencies between the projects, and recommended ways to order the projects.



10.1 Project Dependencies

Throughout this analysis one of the most resounding findings was the complex interdependency between the initiatives designed around building the to-be capabilities. This interdependence is most visible at the project level. Accomplishing certain projects before others will produce a cascading effect that will have a significantly greater overall impact than completing any single project or Initiative alone. Of particular importance is the need to understand the dependencies between projects, and that in order to achieve the results of a particular project, several other projects may be prerequisites.

10.2 Immediate Opportunities, Intermediate, and Long Term Projects

The projects described in section 9, and detailed in Appendix A, are important in achieving the HIV/AIDS Program capabilities. The projects can be segmented into three probable duration categories. These categories are immediate opportunities, shorter term projects with well defined impact; intermediate, projects which are middling in order of implementation; and long term, those which will take longer, but which will produce high impact outputs at regular intervals throughout their implementation.

Immediate Opportunities

The quick hit projects are designed to accomplish the objectives in a short duration. They are also designed to cascade into providing the inputs to a number of projects across initiatives. The initial quick hit projects are designed to be accomplished as quickly as possible, and do not rely on the output of other projects to initiate. The mid-term quick hit projects require the output of other projects to initiate.

- 1A - Institute HIV/AIDS Program Standards
- 2A - Formalize Program Oversight Processes
- 3A - Implement HIV/AIDS Program Communications
- 4A - Develop an Executive Information System for HIV/AIDS Program Reporting
- 5A - Institute Integrated Strategic Planning and Budgeting System

Intermediate Projects

These projects come after the immediate opportunities.

- 1C - Standardize Strategic Objective (SO) Definition
- 1D - Investigate Accounting Classification Structure (ACS) Alignment
- 2B - Examine and Enhance HIV/AIDS Program Governance Structure
- 2D - Develop Training Program

- 3B - Restructure Guidance Format and Delivery Model
- 3C - Implement Collaborative Communication Environment
- 4B - Develop a Program Management Information Reporting Plan
- 4C - Develop Integrated HIV/AIDS Program Knowledge Management Taxonomy
- 5B - Develop HIV/AIDS Component Based Technology Architecture
- 6A - Enterprise Architecture Governance Program
- 6B - Leverage EA Findings to Develop Agency Business Model
- 6C - Prepare EA Findings and Develop Expanded Implementation Plan

Long Term Projects

These projects are longer in duration. They are designed to produce outputs at regular intervals throughout the project to use as inputs to other projects. The following are recommended long term projects:

- 1B - Develop Automated Capability for Standards Management
- 2C - Institute HIV/AIDS Continuous Improvement Framework
- 5C - Implement Formalized Back Office System Communications Infrastructure
- 5D - Implement Portal Style Common User Interface
- 5E – Enhance Current Field Support Services

The table below outlines which are immediate, intermediate, and long term projects.

Table 25: Project Durations

Project	Duration
1A - Institute HIV/AIDS Program Standards	Immediate Opportunity
1B - Develop Automated Capability for Standards Management	Long Term
1C - Standardize Strategic Objective (SO) Definition	Intermediate
1D - Investigate Accounting Classification Structure (ACS) Alignment	Intermediate
2A - Formalize Program Oversight Processes	Immediate Opportunity
2B - Examine and Enhance HIV/AIDS Program Governance Structure	Intermediate
2C - Institute HIV/AIDS Continuous Improvement Framework	Long Term
2D - Develop Training Program	Intermediate
3A - Implement HIV/AIDS Program Communications	Immediate Opportunity
3B - Restructure Guidance Format and Delivery Model	Intermediate
3C - Implement Collaborative Communication Environment	Intermediate
4A - Develop an Executive Information System for HIV/AIDS Program Reporting	Immediate Opportunity
4B - Develop a Program Management Information Reporting Plan	Intermediate
4C - Develop Integrated HIV/AIDS Program Knowledge Management Taxonomy	Intermediate
5A - Institute Integrated Strategic Planning and Budgeting System	Immediate Opportunity
5B - Develop HIV/AIDS Component Based Technology Architecture	Intermediate
5C - Implement Formalized Back Office System Communications Infrastructure	Long Term
5D - Implement Portal Style Common User Interface	Long Term
5E - Enhance Current Field Support Services	Long Term
6A - Define and Implement Enterprise Architecture Governance Program	Intermediate
6B - Leverage EA Findings to Develop Agency Business Model	Intermediate
6C - Expand EA Governance Across the Agency	Intermediate

10.3 Global Health versus Cross-Functional Projects

Another factor to consider is the scope of the project. Some projects primarily focus on, and require resources from, Global Health to implement. Some projects are broader, and depend on input from other parts of the Agency. The table below illustrates which projects focus primarily on Global Health, and which projects are multi-functional.

Table 26: Project Scope

Project	Applicability
1A - Institute HIV/AIDS Program Standards	Global Health
1B - Develop Automated Capability for Standards Management	Cross Functional
1C - Standardize Strategic Objective (SO) Definition	Cross Functional
1D - Investigate Accounting Classification Structure (ACS) Alignment	Cross Functional
2A - Formalize Program Oversight Processes	Global Health
2B - Examine and Enhance HIV/AIDS Program Governance Structure	Global Health
2C - Institute HIV/AIDS Continuous Improvement Framework	Global Health
2D - Develop Training Program	Global Health
3A - Implement HIV/AIDS Program Communications	Global Health
3B - Restructure Guidance Format and Delivery Model	Cross Functional
3C - Implement Collaborative Communication Environment	Cross Functional
4A - Develop an Executive Information System for HIV/AIDS Program Reporting	Global Health
4B - Develop a Program Management Information Reporting Plan	Global Health
4C - Develop Integrated HIV/AIDS Program Knowledge Management Taxonomy	Global Health
5A - Institute Integrated Strategic Planning and Budgeting System	Cross Functional
5B - Develop HIV/AIDS Component Based Technology Architecture	Cross Functional
5C - Implement Formalized Back Office System Communications Infrastructure	Cross Functional
5D - Implement Portal Style Common User Interface	Cross Functional
5E - Enhance Current Field Support Services	Cross Functional
6A - Define and Implement Enterprise Architecture Governance Program	Cross Functional
6B - Leverage EA Findings to Develop Agency Business Model	Cross Functional
6C - Expand EA Governance Across the Agency	Cross Functional

Appendix A: Individual Initiatives and Project Profiles

The following pages contain the detailed Initiative and Project Profiles referenced in this document.

- **How to read the Initiatives Descriptions**

INITIATIVE	Initiative Name	The name of the Initiative	
Initiative Number	Description	A detailed description of the initiative including an example of its implementation	
	Objective	The objective or objectives of the initiative.	
	Recommendation(s) Supported	A list of the recommendations supported by this initiative	
Value to Stakeholders		Pain Points Addressed	Capability Supported
A listing of specific points of value that address stakeholder wants, needs, and expectations described in the Business and Information Overview.		A listing of the pain points addressed by the projects described in the initiative. The full set of pain points is described in the Business and Information Overview.	A listing of capabilities supported by this initiative.
		Risks / Barriers	Technology
		A listing of OMB approved risks potentially encountered in accomplishing this initiative	A listing of the technological tools used to develop this Initiative
Related Projects		This is a listing of projects to accomplish this initiative	

- **How to read the Project Profiles**

PROJECT	Project Name	The name of the project	
Project Number	Description	A detailed description of the project.	
	Objective(s)	The objective or objectives of the project.	
	Recommendation(s) Supported	A list of the recommendations supported by this project.	
Value to Stakeholders		Prerequisite Projects	Dependent Projects
A listing of specific points of value that address stakeholder wants, needs, and expectations described in the Business and Information Overview.		A listing of other projects upon which this project depends. In most cases, projects listed in this space will need to be completed prior to this projects implementation.	A listing of projects supported by this project. In most cases, this project will need to be completed before the projects listed in this space can be implemented.
		Technologies / Tools	Project Scope
		A listing of the technological tools used to develop this project.	This section indicates a rough estimate of the duration of the project (long term, intermediate, or quick hit), and the project's scope (Global Health Bureau or cross functional)

Initiative 1 – Institute HIV/AIDS Program Standards

INITIATIVE	Initiative Name	Institute HIV/AIDS Program Standards	
1	Description	A multi-disciplinary taskforce should be chartered to investigate and implement a common set of cross functional codes, and standards to be used across planning, implementation and reporting activities <i>Example: A common set of codes should be developed that allows for the aggregation of funding information through strategic planning, budget planning & execution, performance planning & monitoring, acquisition and financial management.</i>	
	Objective(s)	<ul style="list-style-type: none"> ▪ To institutionalize a consistent set of Program standards 	
	Recommendation(s) Supported	3. Develop and enforce HIV/AIDS Program Standards 4. Develop and formalize HIV/AIDS Program Governance 8. Investigate the ability and effectiveness of aligning the ACS with the budget/program categories 10. Redefine and standardize the meaning of “Strategic Objective”	
Value to Stakeholders		Pain Points Addressed	Capability Supported
<ul style="list-style-type: none"> ▪ Allows the Agency to link funding to performance ▪ Links planning, funding, and performance measurement ▪ Facilitates tracking and reporting of multi-purpose funds ▪ Facilitates end to end tracking and reporting from initial planning to expenditure ▪ Reduces confusion over the various meanings and application of the term “Strategic Objective” ▪ Promotes the development of a standard terminology for each level of the organization ▪ Formalizing processes facilitates replicable, scalable, transferable, and implementation of activities throughout the Program ▪ Facilitates a predictable and measurable workflow ▪ Facilitates the preparation and transfer of program information ▪ Reinforces governance ▪ Facilitates training ▪ Enforces governance around standards development process ▪ Simplifies standards development and maintenance ▪ Institutionalizes the use of standards ▪ Facilitates impact analysis when modifying standards ▪ Facilitates the integration of information systems 		<ul style="list-style-type: none"> • Laborious, duplicative and heroic effort is often required to respond to questions • Program categories and program operational outcomes cannot easily be related to budget / expenditures • Country uniqueness prohibits meaningful program comparison across countries • Aggregation of data is often impossible, inaccurate or misleading 	<ul style="list-style-type: none"> • Program Standards • Executive Guidance
		Risks / Barriers	Technologies / Tools
Related Projects		1A. Institute HIV/AIDS Program Standards 1B. Develop Automated Capability for Standards Management 1C. Standardize Strategic Objective (SO) Definition 1D. Investigate Accounting Classification Structure (ACS) Alignment	

Project 1A – Institute HIV/AIDS Program Standards

Project	Name	Institute HIV/AIDS Program Standards	
	Description	<p>Develop and maintain Program standards that incorporate S/GAC mandated standards and realign Program success criteria to the processes and capabilities that they support. This should include developing standards for reporting, program categories, meta (data) model, lexicon, system, data, and process interfaces. Also, investigate using these standards as a basis for developing a broader set of Agency standards.</p> <p>This project develops opportunity 1.</p>	
1A	Objective(s)	<ul style="list-style-type: none"> ▪ To provide a predictable Program operating environment ▪ To create the ability to aggregate and compare program results ▪ To eliminate the need for constant heroics to answer Program questions ▪ To support U.S. government HIV/AIDS effort ▪ To re-align Program success criteria with new findings 	
	Recommendation(s) Supported	<p>3. Develop and enforce HIV/AIDS Program Standards</p> <p>4. Develop and formalize HIV/AIDS Program Governance</p>	
Value to Stakeholders		Prerequisite Projects	Dependent Projects
<ul style="list-style-type: none"> ▪ Allows the Agency to link funding to performance ▪ Links planning, funding, and performance measurement ▪ Facilitates tracking and reporting of multi-purpose funds ▪ Facilitates end to end tracking and reporting from initial planning to expenditure ▪ Reduces confusion over the various meanings and application of the term "Strategic Objective" ▪ Promotes the development of a standard terminology for each level of the organization ▪ Formalizing processes facilitates replicable, scalable, transferable, and implementation of activities throughout the Program ▪ Facilitates a predictable and measurable workflow ▪ Facilitates the preparation and transfer of program information ▪ Reinforces governance ▪ Facilitates training ▪ Enable Program Oversight to better integrate with Program Operations processes and Technological services ▪ Enables the development of a unified HIV/AIDS Program approach to strategic planning, acquisition planning, budget and performance planning, and financial management 		None	<p>1B - Develop Automated Capability for Standards Management</p> <p>2B - Examine and Enhance HIV/AIDS Program Governance Structure</p> <p>2C - Institute HIV/AIDS Continuous Improvement Framework</p> <p>2D - Develop Training Program</p> <p>3B - Restructure Guidance Format and Delivery Model</p> <p>4B - Develop a Program Management Information Reporting Plan</p> <p>4C - Develop Integrated HIV/AIDS Program Knowledge Management Taxonomy</p>
		Technologies / Tools	Project Scope
		<p>Knowledge Management</p> <p>Requirements Management</p> <p>Configuration Management</p> <p>Architectural Development</p> <p>Document Development and Management</p> <p>Decision Support</p>	<div style="border: 1px solid black; padding: 5px; text-align: center; margin-bottom: 10px;">Immediate Opportunity</div> <div style="border: 1px solid black; padding: 5px; text-align: center;">Global Health</div>

Project 1B - Develop Automated Capability for Standards Management

Project	Name	Develop Automated Capability for Standards Management	
	Description	Identify requirements, design, develop, and implement an automated capability for developing, maintaining, managing, and analyzing Program standards.	
1B	Objective(s)	To provide a sustainable and consistent means to manage standards across the Program	
	Recommendation(s) Supported	3. Develop and enforce HIV/AIDS Program Standards	
Value to Stakeholders		Prerequisite Projects	Dependent Projects
<ul style="list-style-type: none"> ▪ Enforces governance around standards development process ▪ Simplifies standards development and maintenance ▪ Institutionalizes the use of standards ▪ Facilitates impact analysis when modifying standards ▪ Facilitates the integration of information systems 		1A - Institute HIV/AIDS Program Standards	None
		Technologies / Tools	Project Scope
		Configuration Management Document Development and Management Requirements Management Knowledge Management	<div style="border: 1px solid black; text-align: center; padding: 5px; width: fit-content; margin: 0 auto;">Long Term</div> <div style="border: 1px solid black; text-align: center; padding: 5px; width: fit-content; margin: 0 auto;">Cross Functional</div>

Project 1C – Standardize Strategic Objective (SO) Definition

Project	Name	Standardize Strategic Objective (SO) Definition	
	Description	Redefine, standardize, and institutionalize the meaning of “Strategic Objective”	
1C	Objective(s)	To alleviate confusion caused by the multiple definitions attributed to SO	
	Recommendation(s) Supported	3. Develop and enforce HIV/AIDS Program Standards 4. Develop and formalize HIV/AIDS Program Governance 10. Redefine and standardize the meaning of “Strategic Objective”	
Value to Stakeholders		Prerequisite Projects	Dependent Projects
<ul style="list-style-type: none"> ▪ Facilitates tracking and reporting of multi-purpose funds ▪ Facilitates end to end tracking and reporting from initial planning to expenditure ▪ Allows the Agency to link funding to performance ▪ Reduces confusion over the various meanings and application of the term “Strategic Objective” ▪ Promotes the development of a standard terminology for each level of the organization 		None	None
		Technologies / Tools	Project Scope
		Knowledge Management	<div style="border: 1px solid black; padding: 5px; text-align: center; width: fit-content; margin: 0 auto;">Intermediate</div> <div style="border: 1px solid black; padding: 5px; text-align: center; width: fit-content; margin: 0 auto;">Cross Functional</div>

Project 1D – Investigate Accounting Classification Structure (ACS) Alignment

Project	Name	Investigate Accounting Classification Structure (ACS) Alignment	
	Description	Investigate the feasibility and effectiveness of aligning the Accounting Classification Structure (ACS) with the budget/program categories and apply if appropriate	
1D	Objective(s)	To provide the ability to connect funds budgeted to funds expended	
	Recommendation(s) Supported	3. Develop and enforce HIV/AIDS Program Standards 8. Investigate the ability and effectiveness of aligning the ACS with the budget/program categories	
Value to Stakeholders		Prerequisite Projects	Dependent Projects
<ul style="list-style-type: none"> ▪ Allows the Agency to link funding to performance ▪ Facilitates tracking and reporting of multi-purpose funds ▪ Facilitates end to end tracking and reporting from initial planning to expenditure ▪ Reduces confusion over the various meanings and application of the term “Strategic Objective” ▪ Promotes the development of a standard terminology for each level of the organization 		None	None
		Technologies / Tools	Project Scope
		Architectural Development Requirements Management Budget System Accounting System Procurement System	<div style="border: 1px solid black; padding: 5px; text-align: center; width: fit-content; margin: 0 auto;">Intermediate</div> <div style="border: 1px solid black; padding: 5px; text-align: center; width: fit-content; margin: 0 auto;">Cross Functional</div>

Initiative 2 – Formalize and Implement HIV/AIDS Program Governance

INITIATIVE	Initiative Name	Formalize and Implement HIV/AIDS Program Governance	
2	Description	Establish a formalized governance program which will describe the business and management system that will enable and provide assurance that the HIV/AIDS Program will accomplish its strategic goals and objectives. In particular, address business processes and information systems to support program oversight. Within the parameters of developing a governance program three major components should be developed: a governance structure, an operating model, and a set of supporting information and technology competencies. <i>Example: A full set of organizational and roles descriptions should be developed and maintained. These descriptions would include detailed descriptions of responsibilities, authority, accountability and lines of delegation for each organization and role within the organization.</i>	
	Objective(s)	<ul style="list-style-type: none"> ▪ To enhance the stability and effectiveness of the operating environment 	
	Recommendation(s) Supported	<ol style="list-style-type: none"> 1. Document and formalize Program Oversight processes 2. Develop HIV/AIDS Program Communications Infrastructure 3. Develop and enforce HIV/AIDS Program Standards 4. Develop and formalize HIV/AIDS Program Governance 	
Value to Stakeholders		Pain Points Addressed	Capability Supported
<ul style="list-style-type: none"> ▪ Formalizing processes facilitates replicable, scalable, transferable, and implementation of activities throughout the Program ▪ Facilitates a predictable and measurable workflow ▪ Facilitates the preparation and transfer of program information ▪ Reinforces governance ▪ Facilitates training ▪ Enable Program Oversight to better integrate with Program Operations processes and Technological services ▪ Enables the development of a unified HIV/AIDS Program approach to strategic planning, acquisition planning, budget and performance planning, and financial management ▪ Allows the HIV/AIDS Program to align responsibility to authority ▪ Formally aligns the business processes and technological services with the operational structure of the Agency ▪ Formalizes a Program operational structure and lines of communication/authority ▪ Allows decision makers to make decisions 		<ul style="list-style-type: none"> ▪ Program categories and program operational outcomes cannot easily be related to budget / expenditures ▪ Country uniqueness prohibits meaningful program comparison across countries ▪ From an Operating Unit perspective the requirements for management vs. oversight information are blurred ▪ Aggregation of data is often impossible, inaccurate or misleading ▪ Laborious, duplicative and heroic effort is often required to respond to questions 	<ul style="list-style-type: none"> ▪ Executive Guidance ▪ Operational Guidance ▪ Governance
		Risks / Barriers	Technologies / Tools
		Organization/Change Management Risk Project Resources Risk Risk of Project Failure	Architectural Development Process Modeling Simulation Data Modeling Organizational Modeling Configuration Management Requirements Management Document Development and Management Knowledge Management Education Management Computer Based Training (CBT) Collaboration and Communications Courseware Development Multi-Media
Related Projects		2A. Formalize Program Oversight Processes 2B. Examine and Enhance HIV/AIDS Program Governance Structure 2C. Institute HIV/AIDS Continuous Improvement Framework 2D. Develop Training Program	

Project 2A – Formalize Program Oversight Processes

Project	Project Name	Formalize Program Oversight Processes	
	Description	Further refine and document the specific operational details of the “To-Be” Program Oversight processes and their supporting enablers. A key process in this area is to develop an integrated strategic planning and budgeting framework. This project develops opportunity 2.	
2A	Objective(s)	<ul style="list-style-type: none"> ▪ To develop detailed architectural design ▪ To examine Program Operations Processes to verify their validity 	
	Recommendation(s) Supported	1. Document and formalize Program Oversight processes	
Value to Stakeholders		Prerequisite Projects	Dependent Projects
<ul style="list-style-type: none"> ▪ Formalizing processes facilitates replicable, scalable, transferable, and implementation of activities throughout the Program ▪ Facilitates a predictable and measurable workflow ▪ Facilitates the preparation and transfer of program information ▪ Reinforces governance ▪ Facilitates training ▪ Enable Program Oversight to better integrate with Program Operations processes and Technological services ▪ Enables the development of a unified HIV/AIDS Program approach to strategic planning, acquisition planning, budget and performance planning, and financial management 		None	2B - Examine and Enhance HIV/AIDS Program Governance Structure 2C - Institute HIV/AIDS Continuous Improvement Framework 2D - Develop Training Program 3B - Restructure Guidance Format and Delivery Model
		Technologies / Tools	Project Scope
		Architectural Development Process Modeling Simulation Data Modeling Organizational Modeling Configuration Management Requirements Management Document Development and Management	<div style="border: 1px solid black; padding: 5px; text-align: center; margin-bottom: 10px;">Immediate Opportunity</div> <div style="border: 1px solid black; padding: 5px; text-align: center;">Global Health</div>

Project 2B – Examine and Enhance HIV/AIDS Program Governance Structure

Project	Name	Examine and Enhance HIV/AIDS Program Governance Structure	
	Description	Establish a formalized Program Transformation Committee to examine, enhance, and maintain the Program’s governance structure, to formalize roles and responsibilities, and to align roles and responsibilities to authority and accountability. Develop a Program operating model, which aligns incentives to Program goals, integrates Program information with decision processes, and aligns performance measures to Program goals.	
2B	Objective(s)	<ul style="list-style-type: none"> ▪ To enhance the stability, effectiveness, and agility of the operating environment ▪ To sustain an adaptable and scalable Program 	
	Recommendation(s) Supported	4. Develop and formalize HIV/AIDS Program Governance	
Value to Stakeholders		Prerequisite Projects	Dependent Projects
<ul style="list-style-type: none"> ▪ Allows the HIV/AIDS Program to align responsibility to authority ▪ Formally aligns the business processes and technological services with the operational structure of the Agency ▪ Formalizes a Program operational structure and lines of communication/authority ▪ Allows decision makers to make decisions 		1A - Institute HIV/AIDS Program Standards 2A - Formalize Program Oversight Processes	2D - Develop Training Program 3B - Restructure Guidance Format and Delivery Model 3C - Implement Collaborative Communication Environment 4B - Develop a Program Management Information Reporting Plan
		Technologies / Tools	Project Scope
		Knowledge Management Configuration Management Architectural Development Organizational Modeling	<div style="border: 1px solid black; padding: 5px; text-align: center;">Intermediate</div> <div style="border: 1px solid black; padding: 5px; text-align: center;">Global Health</div>

Project 2C – Institute HIV/AIDS Continuous Improvement Framework

Project	Name	Institute HIV/AIDS Continuous Improvement Framework	
	Description	Develop and implement a structured continuous improvement program that provides input into the EA process. This should include implementing a change management system.	
2C	Objective(s)	<ul style="list-style-type: none"> ▪ To develop a learning organization 	
	Recommendation(s) Supported	<ol style="list-style-type: none"> 1. Document and formalize Program Oversight processes 2. Develop HIV/AIDS Program Communications Infrastructure 3. Develop and enforce HIV/AIDS Program Standards 4. Develop and formalize HIV/AIDS Program Governance 	
Value to Stakeholders		Prerequisite Projects	Dependent Projects
<ul style="list-style-type: none"> ▪ Formalizing processes facilitates replicable, scalable, transferable, and implementation of activities throughout the Program ▪ Facilitates a predictable and measurable workflow ▪ Facilitates the preparation and transfer of program information ▪ Reinforces governance ▪ Facilitates training ▪ Enable Program Oversight to better integrate with Program Operations processes and Technological services ▪ Enables the development of a unified HIV/AIDS Program approach to strategic planning, acquisition planning, budget and performance planning, and financial management 		1A - Institute HIV/AIDS Program Standards 2A - Formalize Program Oversight Processes 3A - Implement HIV/AIDS Program Communications	None
		Technologies / Tools	Project Scope
		Knowledge Management Configuration Management Requirements Management	<div style="border: 1px solid black; padding: 5px; text-align: center;">Long-Term</div> <div style="border: 1px solid black; padding: 5px; text-align: center;">Global Health</div>

Project 2D – Develop Training Program

Project	Name	Develop Training Program	
	Description	Expand training throughout the HIV/AIDS Program to include Program specific processes, standards, program management information, and other findings	
2D	Objective(s)	<ul style="list-style-type: none"> ▪ To develop a training program that communicates and reinforces relevant/new procedures, standards, governance model, etc. 	
	Recommendation(s) Supported	<ol style="list-style-type: none"> 1. Document and formalize Program Oversight processes 3. Develop and enforce HIV/AIDS Program Standards 4. Develop and formalize HIV/AIDS Program Governance 	
Value to Stakeholders		Prerequisite Projects	Dependent Projects
<ul style="list-style-type: none"> ▪ Formalizing processes facilitates replicable, scalable, transferable, and implementation of activities throughout the Program ▪ Facilitates a predictable and measurable workflow ▪ Facilitates the preparation and transfer of program information ▪ Reinforces governance ▪ Facilitates training ▪ Enable Program Oversight to better integrate with Program Operations processes and Technological services ▪ Enables the development of a unified HIV/AIDS Program approach to strategic planning, acquisition planning, budget and performance planning, and financial management 		1A - Institute HIV/AIDS Program Standards 2A - Formalize Program Oversight Processes 2B - Examine and Enhance HIV/AIDS Program Governance Structure 3A - Implement HIV/AIDS Program Communications 4A - Develop an Executive Information System for HIV/AIDS Program Reporting	None
		Technologies / Tools	Project Scope
		Education Management Computer Based Training (CBT) Collaboration and Communications Courseware Development Multi-Media Requirements Management Document Development and Management	<div style="border: 1px solid black; padding: 5px; text-align: center;">Intermediate</div> <div style="border: 1px solid black; padding: 5px; text-align: center;">Global Health</div>

Initiative 3 – Implement HIV/AIDS Program Communications

INITIATIVE	Initiative Name	Implement HIV/AIDS Program Communications	
3	Description	Develop a Communications Plan that explicitly discusses communication needs by each Operating Unit, USAID/W, USAID partners, and HIV/AIDS Program influencers. <i>Example: This discussion should include, but not be limited to infrastructure, time sensitive and contextual requirements. It should include the development of a glossary, or standard lexicon.</i>	
	Objective(s)	<ul style="list-style-type: none"> ▪ To provide an infrastructure through which the user community has the Program information and knowledge needed to manage and execute the HIV/AIDS Program 	
	Recommendation(s) Supported	2. Develop HIV/AIDS Program Communications Infrastructure 4. Develop and formalize HIV/AIDS Program Governance 13. Develop web-enabled transactional environment	
Value to Stakeholders		Pain Points Addressed	Capability Supported
<ul style="list-style-type: none"> ▪ Facilitates delivery of information to users in a format that they can understand and use ▪ Facilitates users getting information in a timely fashion in order to comply with internal and external deadlines ▪ Facilitates the exchange of information between USAID, the HIV/AIDS Program, and their partners 		<ul style="list-style-type: none"> ▪ From an Operating Unit perspective the requirements for management vs. oversight information are blurred 	<ul style="list-style-type: none"> ▪ Program Communications ▪ Operational Guidance
		Risks / Barriers	Technologies / Tools
Related Projects		3A. Implement HIV/AIDS Program Communications 3B. Restructure Guidance Format and Delivery Model 3C. Implement Collaborative Communication Environment	

Project 3A – Implement HIV/AIDS Program Communications

Project	Name	Implement HIV/AIDS Program Communications	
	Description	<p>Develop a Program communication plan which conveys critical Program information based on identified user communications requirements. The following should be considered: analyze user communication needs, understand communication paths, understand end user content needs, understand time sensitive requirements, and understand local context.</p> <p>This project develops opportunity 3.</p>	
3A	Objective(s)	<ul style="list-style-type: none"> ▪ To establish a standardized Program communications processes 	
	Recommendation(s) Supported	<p>2. Develop HIV/AIDS Program Communications Infrastructure</p> <p>4. Develop and formalize HIV/AIDS Program Governance</p> <p>13. Develop web-enabled transactional environment</p>	
Value to Stakeholders		Prerequisite Projects	Dependent Projects
<ul style="list-style-type: none"> ▪ Facilitates delivery of information to users in a format that they can understand and use ▪ Facilitates users getting information in a timely fashion in order to comply with internal and external deadlines ▪ Facilitates the exchange of information between USAID, the HIV/AIDS Program, and their partners 		None	<p>2C - Institute HIV/AIDS Continuous Improvement Framework</p> <p>2D - Develop Training Program</p> <p>3B - Restructure Guidance Format and Delivery Model</p> <p>3C - Implement Collaborative Communication Environment</p> <p>4B - Develop a Program Management Information Reporting Plan</p>
		Technologies / Tools	Project Scope
		<p>Knowledge Management</p> <p>Requirements Management</p> <p>Document Development and Management</p> <p>Modeling</p> <p>Simulation</p>	<div style="border: 1px solid black; padding: 5px; text-align: center;">Immediate Opportunity</div> <div style="border: 1px solid black; padding: 5px; text-align: center; margin-top: 10px;">Global Health</div>

Project 3B – Restructure Guidance Format and Delivery Model

Project	Name	Restructure Guidance Format and Delivery Model	
	Description	Restructure the way in which guidance is formatted and distributed to comply with the communications plan. This addresses timely delivery of relevant information to the appropriate recipients by means of acceptable and secure distribution vehicles. The guidance is sensitive to local political, social, and cultural environment.	
3B	Objective(s)	<ul style="list-style-type: none"> ▪ To distribute guidance on time and in a format which Operating Units can effectively act upon 	
	Recommendation(s) Supported	2. Develop HIV/AIDS Program Communications Infrastructure 4. Develop and formalize HIV/AIDS Program Governance 13. Develop web-enabled transactional environment	
Value to Stakeholders		Prerequisite Projects	Dependent Projects
<ul style="list-style-type: none"> ▪ Facilitates delivery of information to users in a format that they can understand and use ▪ Facilitates users getting information in a timely fashion in order to comply with internal and external deadlines ▪ Facilitates the exchange of information between USAID, the HIV/AIDS Program, and their partners 		1A - Institute HIV/AIDS Program Standards 2A - Formalize Program Oversight Processes 2B - Examine and Enhance HIV/AIDS Program Governance Structure 3A - Implement HIV/AIDS Program Communications 5A - Institute Integrated Strategic Planning and Budgeting System	None
		Technologies / Tools	Project Scope
		Knowledge Dissemination Collaboration and Communications	<div style="border: 1px solid black; padding: 5px; text-align: center;">Intermediate</div> <div style="border: 1px solid black; padding: 5px; text-align: center; margin-top: 10px;">Cross Functional</div>

Project 3C- Implement Collaborative Communication Environment

Project	Name	Implement Collaborative Communication Environment	
	Description	Implement the collaborative communication findings to support the communications plan. This includes designing, developing, and implementing the enabling information technology (IT) services and physical infrastructure that provide a collaborative communications environment.	
3C	Objective(s)	<ul style="list-style-type: none"> ▪ To establish a program-wide collaborative environment 	
	Recommendation(s) Supported	2. Develop HIV/AIDS Program Communications Infrastructure 4. Develop and formalize HIV/AIDS Program Governance 13. Develop web-enabled transactional environment	
Value to Stakeholders		Prerequisite Projects	Dependent Projects
<ul style="list-style-type: none"> ▪ Facilitates delivery of information to users in a format that they can understand and use ▪ Facilitates users getting information in a timely fashion in order to comply with internal and external deadlines ▪ Facilitates the exchange of information between USAID, the HIV/AIDS Program, and their partners 		2B - Examine and Enhance HIV/AIDS Program Governance Structure 3A - Implement HIV/AIDS Program Communications	None
		Technologies / Tools	Project Scope
		Multi-Media Discussion Tools Distributed Work Group Computing Network Management Translation	<div style="border: 1px solid black; padding: 5px; text-align: center;">Long-Term</div> <div style="border: 1px solid black; padding: 5px; text-align: center;">Cross Functional</div>

Initiative 4- Improve Availability and Quality of HIV/AIDS Program Information

INITIATIVE	Initiative Name	Improve Availability and Quality of HIV/AIDS Program Information	
4	Description	Create a body of Program knowledge which is used to manage, evaluate, and report on Program activities. <i>Example: A centrally accessible repository of program knowledge should be developed. This repository would contain budget, financial, performance and other information deemed pertinent for the establishment, operation, monitoring and reporting of HIV/AIDS programs. It should be the consolidation point of data collected by the Program.</i>	
	Objective(s)	<ul style="list-style-type: none"> ▪ To provide a single source of Program information which can be used for reporting and other management information purposes. 	
	Recommendation(s) Supported	6. Develop quick hit Program Management Information reporting solutions 14. Integrate program management and technical knowledge sources within a single user environment 15. Develop knowledge management infrastructure to support the knowledge management strategy	
Value to Stakeholders		Pain Points Addressed	Capability Supported
<ul style="list-style-type: none"> ▪ Single source of Program information ▪ Manage and proactively build Program knowledge ▪ Shortens response time to inquires ▪ Increases quality of information ▪ Allows Program data and information to be aggregated and analyzed more efficiently 		<ul style="list-style-type: none"> ▪ Laborious, duplicative and heroic effort is often required to respond to questions ▪ Program categories and program operational outcomes cannot easily be related to budget / expenditures ▪ Aggregation of data is often impossible, inaccurate or misleading ▪ Large pipelines 	<ul style="list-style-type: none"> ▪ Program Information
		Risks / Barriers	Technologies / Tools
Related Projects		4A. Develop an Executive Information System for HIV/AIDS Program Reporting 4B. Develop a Program Management Information Reporting Plan 4C. Develop Integrated HIV/AIDS Program Knowledge Management Taxonomy	

Project 4A – Develop an Executive Information System for HIV/AIDS Program Reporting

Project	Name	Develop an Executive Information System for HIV/AIDS Program Reporting	
	Description	<p>Develop an interim Program management information reporting solution. This is the initial implementation of the Executive Information System. This provides a quick means to address pressing program reporting issues in terms of generating reports being requested by HIV/AIDS program stakeholders, namely Congress and the Administration.</p> <p>This project develops opportunity 4.</p>	
4A	Objective(s)	<ul style="list-style-type: none"> To quickly address acute reporting Program needs 	
	Recommendation(s) Supported	<p>6. Develop quick hit Program Management Information reporting solutions</p> <p>14. Integrate program management and technical knowledge sources within a single user environment</p>	
Value to Stakeholders		Prerequisite Projects	Dependent Projects
<ul style="list-style-type: none"> Single source of Program information Manage and proactively build Program knowledge Shortens response time to inquires Increases quality of information Allows Program data and information to be aggregated and analyzed more efficiently 		<p>1A - Institute HIV/AIDS Program Standards</p> <p>2B - Examine and Enhance HIV/AIDS Program Governance Structure</p> <p>3A - Implement HIV/AIDS Program Communications</p> <p>4C - Develop Integrated HIV/AIDS Program Knowledge Management Taxonomy</p>	None
		Technologies / Tools	Project Scope
		<p>Architectural Development</p> <p>Requirements Management</p> <p>Extract, Transform, and Load</p> <p>Data Store</p> <p>User Interface</p> <p>Query</p>	<p>Intermediate</p> <p>Global Health</p>

Project 4B – Develop a Program Management Information Reporting Plan

Project	Name	Develop a Program Management Information Reporting Plan	
	Description	Determine user knowledge requirements and develop a long term plan for reporting management information to internal and external stakeholders.	
4B	Objective(s)	<ul style="list-style-type: none"> ▪ To enhance ability to monitor and manage Program operations 	
	Recommendation(s) Supported	6. Develop quick hit Program Management Information reporting solutions 15. Develop knowledge management infrastructure to support the knowledge management strategy	
Value to Stakeholders		Prerequisite Projects	Dependent Projects
<ul style="list-style-type: none"> ▪ Single source of Program information ▪ Manage and proactively build Program knowledge ▪ Shortens response time to inquires ▪ Increases quality of information ▪ Allows Program data and information to be aggregated and analyzed more efficiently 		4C - Develop Integrated HIV/AIDS Program Knowledge Management Taxonomy 5A - Institute Integrated Strategic Planning and Budgeting System	2D - Develop Training Program
		Technologies / Tools	Project Scope
		Architectural Development Requirements Management Knowledge Management Document Development and Management	<div style="border: 1px solid black; padding: 5px; text-align: center;">Immediate Opportunity</div> <div style="border: 1px solid black; padding: 5px; text-align: center; margin-top: 10px;">Global Health</div>

Project 4C – Develop Integrated HIV/AIDS Program Knowledge Management Taxonomy

Project	Name	Develop Integrated HIV/AIDS Program Knowledge Management Taxonomy	
	Description	Develop the knowledge management infrastructure, which defines an information collection methodology, knowledge taxonomy, consolidates information into a single logical source, and develops integrated extraction methodologies.	
4C	Objective(s)	<ul style="list-style-type: none"> To provide authorized users the knowledge they need, when they need it 	
	Recommendation(s) Supported	6. Develop quick hit Program Management Information reporting solutions 15. Develop knowledge management infrastructure to support the knowledge management strategy	
Value to Stakeholders		Prerequisite Projects	Dependent Projects
<ul style="list-style-type: none"> Single source of Program information Manage and proactively build Program knowledge Shortens response time to inquires Increase quality of information Allows Program data and information to be aggregated and analyzed more efficiently 		1A - Institute HIV/AIDS Program Standards	4A - Develop an Executive Information System for HIV/AIDS Program Reporting 4B - Develop a Program Management Information Reporting Plan
		Technologies / Tools	Project Scope
		Architecture Development Extract, Transform, and Load Knowledge Mapping Catalog and Index Collaboration Data Store User Interface Integration Query	<div style="border: 1px solid black; text-align: center; padding: 5px;">Intermediate</div> <div style="border: 1px solid black; text-align: center; padding: 5px; margin-top: 10px;">Global Health</div>

Initiative 5- Enhance Technological Support of the HIV/AIDS Program

INITIATIVE	Initiative Name	Enhance Technological Support of the HIV/AIDS Program	
5	Description	<p>Determine the viability of a single or limited number of, touch points between the HIV/AIDS Program, Budgeting, Financial Management, and Acquisition and Assistance, where processes, systems, and information flows can be integrated.</p> <p><i>Example: It is clear that budgeting and financial management information is related and that financial management and A&A information is related. It is also clear that budgeting and A&A information is related. Finding a point at which the information from all or many processes comes together will provide an efficient, accurate and quality controlled information source.</i></p>	
	Objective(s)	<ul style="list-style-type: none"> ▪ To find the optimal means of integrating Program management information, processes, and systems ▪ To provide an environment in which resource and service management is integrated with strategic planning and budgeting. 	
	Recommendation(s) Supported	<ol style="list-style-type: none"> 1. Document and formalize Program Oversight processes 6. Develop quick hit Program Management Information reporting solutions 9. Develop work flow capability in budgeting and strategic planning 12. Investigate and unify the primary touch point between the HIV/AIDS Program, A&A, FM, and Budgeting 13. Develop web-enabled transactional environment 14. Integrate program management and technical knowledge sources within a single user environment 16. Extend field support concept to include catalog management support and pre-procurement support 17. Develop, formalize, and enforce web-enabled services architecture standards 	
Value to Stakeholders		Pain Points Addressed	Capability Supported
<ul style="list-style-type: none"> ▪ Allows a single point of focus to create a starting point for broader program wide integration ▪ Coordinated alignment of Agency resources ▪ Enable Program Oversight to better integrate with Program Operations processes and Technological services ▪ Enables the development of a unified HIV/AIDS Program approach to strategic planning, acquisition planning, budget and performance planning, and financial management ▪ Enables the Program to better utilize the full extent of the Agency's services and resources ▪ Facilitate communications 		<ul style="list-style-type: none"> ▪ Laborious, duplicative and heroic effort is often required to respond to questions ▪ Program categories and program operational outcomes cannot easily be related to budget / expenditures ▪ Country uniqueness prohibits meaningful program comparison across countries ▪ From an Operating Unit perspective the requirements for management vs. oversight information are blurred ▪ Aggregation of data is often impossible, inaccurate or misleading ▪ Large pipelines 	<ul style="list-style-type: none"> ▪ Operational Coordination ▪ Resources and Services
		Risks / Barriers	Technologies / Tools

INITIATIVE	Initiative Name	Enhance Technological Support of the HIV/AIDS Program	
<ul style="list-style-type: none"> ▪ Facilitate exchange of information between stakeholders ▪ Facilitate transfer of program standards and terminology ▪ Facilitates a predictable and measurable workflow ▪ Facilitates the preparation and transfer of program information ▪ Facilitates training ▪ Increase usage and visibility of key systems, applications, tools, and information ▪ Provides a stable integration strategy Allows a single point of focus to create a starting point for broader program wide integration ▪ Provides a stable integration strategy Formalizing processes facilitates replicable, scalable, transferable, and implementation of activities throughout the Program ▪ Reinforces governance ▪ Shortens Procurement Cycle ▪ Single information source ▪ 		<p>Project Resources Risk</p>	<p>Accounting System Application Development Budget System Cost Analysis Document Development and Management Integration Knowledge Management Modeling Procurement System Requirements Management Simulation Testing USAID Standard desktop Workflow Application</p>
<p>Related Projects</p>	<p>5A. Institute Integrated Strategic Planning and Budgeting System 5B. Develop HIV/AIDS Component Based Technology Architecture 5C. Implement Formalized Back Office System Communications Infrastructure 5D. Implement Portal Style Common User Interface 5E. Enhance Current Field Support Services</p>		

Project 5A – Institute Integrated Strategic Planning and Budgeting System

Project	Name	Institute Integrated Strategic Planning and Budgeting System	
	Description	<p>Formalize a single strategic planning and budgeting system for the HIV/AIDS Program that is consistent with Agency planning and budgeting standards and methodologies. This includes implementation of a formal workflow structure.</p> <p>This project develops opportunity 5.</p>	
5A	Objective(s)	<ul style="list-style-type: none"> ▪ To enforce Program standards ▪ To develop a Program wide budgeting system that is integrated with the planning process ▪ To facilitates aggregation of Bureau/Mission /Operating Unit budgets into the Agency budget ▪ To provide transparency into infrastructure ▪ To provide traceability through the strategic planning and budgeting process 	
	Recommendation(s) Supported	<p>1. Document and formalize Program Oversight processes</p> <p>9. Develop work flow capability in budgeting and strategic planning</p>	
Value to Stakeholders		Prerequisite Projects	Dependent Projects
<ul style="list-style-type: none"> ▪ Formalizing processes facilitates replicable, scalable, transferable, and implementation of activities throughout the Program ▪ Facilitates a predictable and measurable workflow ▪ Facilitates the preparation and transfer of program information ▪ Reinforces governance ▪ Facilitates training ▪ Enable Program Oversight to better integrate with Program Operations processes and Technological services ▪ Enables the development of a unified HIV/AIDS Program approach to strategic planning, acquisition planning, budget and performance planning, and financial management 		None	<p>3B - Restructure Guidance Format and Delivery Model</p> <p>4A - Develop an Executive Information System for HIV/AIDS Program Reporting</p> <p>5E – Enhance Current Field Support Services</p>
		Technologies / Tools	Project Scope
		<p>Requirements Management</p> <p>Budget System</p> <p>Integration</p> <p>Workflow Application</p>	<div style="border: 1px solid black; padding: 5px; text-align: center;">Immediate Opportunity</div> <div style="border: 1px solid black; padding: 5px; text-align: center; margin-top: 10px;">Cross Functional</div>

Project 5B – Develop HIV/AIDS Component Based Technology Architecture

Project	Name	Develop HIV/AIDS Component Based Technology Architecture	
	Description	Determine the optimal touch points for information integration by considering systems, processes, and information flows. Develop component based technology architecture (standards) to support the integration. Implement the service architecture and include considerations for single sign-on and security. Evaluate existing systems, those currently in development and those planned for the future, against the architectural standards to determine if additional standards are needed to integrate them and perform technological and investment assessments for applicable solutions (specifications).	
5B	Objective(s)	<ul style="list-style-type: none"> ▪ To identify integration points ▪ To identify additional standards needed to integrate the Agency's heritage systems ▪ To identify a suite of technological standards needed to implement the component based architecture ▪ To identify list of products that enables the implementation of the architecture 	
	Recommendation(s) Supported	6. Develop quick hit Program Management Information reporting solutions 12. Investigate and unify the primary touch point between the HIV/AIDS Program, A&A, FM, and Budgeting 13. Develop web-enabled transactional environment 17. Develop, formalize, and enforce web-enabled services architecture standards	
Value to Stakeholders		Prerequisite Projects	Dependent Projects
<ul style="list-style-type: none"> ▪ Allows a single point of focus to create a starting point for broader program wide integration ▪ Single information source ▪ Facilitate transfer of program standards and terminology ▪ Facilitate exchange of information between stakeholders ▪ Facilitate communications ▪ Increase usage and visibility of key systems, applications, tools, and information ▪ Provides a stable integration strategy 		None	5C – Implement Formalized Back Office System Communications Infrastructure 5E – Enhance Current Field Support Services
		Technologies / Tools	Project Scope
		Architectural Development Knowledge Management Simulation Modeling Document Development and Management Requirements Management Modeling Simulation Testing Cost Analysis USAID Standard desktop	<div style="border: 1px solid black; width: 100%; height: 20px; text-align: center; margin-bottom: 10px;">Intermediate</div> <div style="border: 1px solid black; width: 100%; height: 20px; text-align: center;">Cross Functional</div>

Project 5C – Implement Formalized Back Office System Communications Infrastructure

Project	Name	Implement Formalized Back Office System Communications Infrastructure			
	Description	Systematize and formalize process connectivity between operational planning, budgeting, performance monitoring, and financial management			
5C	Objective(s)	<ul style="list-style-type: none"> To formally connect relevant systems and processes 			
	Recommendation(s) Supported	12. Investigate and unify the primary touch point between the HIV/AIDS Program, A&A, FM, and Budgeting 17. Develop, formalize, and enforce web-enabled services architecture standards			
Value to Stakeholders		Prerequisite Projects	Dependent Projects		
<ul style="list-style-type: none"> Allows a single point of focus to create a starting point for broader program wide integration 		5B - Develop HIV/AIDS Component Based Technology Architecture	5E – Enhance Current Field Support Services		
		Technologies / Tools		Project Scope	
		Architectural Development Budget System Accounting System Procurement System		<div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;">Long Term</div> <div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;">Cross Functional</div>	

Project 5D – Implement Portal Style Common User Interface

Project	Name	Implement Portal Style Common User Interface	
	Description	Develop components and implement the central interface	
5D	Objective(s)	<ul style="list-style-type: none"> To make the benefits of the architecture available to the users 	
	Recommendation(s) Supported	6. Develop quick hit Program Management Information reporting solutions 13. Develop web-enabled transactional environment 14. Integrate program management and technical knowledge sources within a single user environment	
Value to Stakeholders		Prerequisite Projects	Dependent Projects
<ul style="list-style-type: none"> Single information source Facilitate transfer of program standards and terminology Facilitate exchange of information between stakeholders Facilitate communications Increase usage and visibility of key systems, applications, tools, and information Provides a stable integration strategy 		None	None
		Technologies / Tools	Project Scope
		Architecture Development Document Development and Management Knowledge Management Testing USAID Standard hardware and software configurations and suites Application Development	<div style="border: 1px solid black; padding: 5px; text-align: center;">Long Term</div> <div style="border: 1px solid black; padding: 5px; text-align: center;">Cross Functional</div>

Project 5E – Enhance Current Field Support Services

Project	Name	Enhance Current Field Support Services	
	Description	Enhance the existing resource and service management infrastructure to support Program field operations, including strategic planning and budgeting, procurement and financial management. This should include a catalog capability to support mission procurement of products and services, asset transfer automation and management capability to facilitate management of the bulk procurement of goods and services, and an automated sourcing capability to analyze costs, acquisition execution life cycles, supplier performance, sourcing data, usage data, and customer satisfaction data.	
5E	Objective(s)	<ul style="list-style-type: none"> ▪ To optimize value of support and services provided by the Program ▪ To provide an automated interface to allow Operating Units to requisition goods and services. ▪ To facilitate the movement of goods and services between Regional Bureaus and Operating Units 	
	Recommendation(s) Supported	<p>16. Extend field support concept to include catalog management support and pre-procurement support</p> <p>17. Develop, formalize, and enforce web-enabled services architecture standards</p>	
Value to Stakeholders		Prerequisite Projects	Dependent Projects
<ul style="list-style-type: none"> ▪ Enables the Program to better utilize the full extent of the Agency's services and resources ▪ Coordinated alignment of Agency resources ▪ Shortens Procurement Cycle 		<p>5A - Institute Integrated Strategic Planning and Budgeting System</p> <p>5B - Develop HIV/AIDS Component Based Technology Architecture</p> <p>5C - Implement Formalized Back Office System Communications Infrastructure</p>	None
		Technologies / Tools	Project Scope
			<div style="border: 1px solid black; padding: 5px; text-align: center;">Long Term</div> <div style="border: 1px solid black; padding: 5px; text-align: center;">Cross Functional</div>

Initiative 6 – Establish EA Governance

INITIATIVE	Initiative Name	Establish EA Governance	
6	Description	<p>The Agency should take a step back to get an overall picture of the Agency business model and its offerings. The HIV/AIDS Program does not operate in a vacuum.</p> <p><i>Example: The HIV/AIDS Program touches many parts of the Agency. Any improvements discovered during the current Enterprise Architecture effort can only be effective if they are aligned with the Agency as a whole. This involves assessing the precise processes impacted within supporting and associated organizations and recommending and negotiating mutually beneficial modifications to those processes.</i></p>	
	Objective(s)	<ul style="list-style-type: none"> ▪ To gain a holistic view of the interaction between Agency and Program processes in order to develop a strategic approach to EA throughout the Agency 	
	Recommendation(s) Supported	<p>5. Expand use of applicable business processes and systems to other portions of the Agency</p> <p>7. Extend the operational strategy/business model for the Agency</p>	
Value to Stakeholders		Pain Points Addressed	Capability Supported
<ul style="list-style-type: none"> ▪ Avoids reinventing the wheel ▪ Coordinated alignment of Agency resources ▪ Enables standardization across the Agency ▪ Enables the Program to better utilize the full extent of the Agency's services and resources ▪ Facilitates the formalization and integration of cuff systems and informal processes by reducing duplicate efforts and providing a common Agency-wide view ▪ Provides perspective to the HIV/AIDS Program so that it can better fulfill its role within the Agency ▪ Uses formalized processes and technological services as foundational pilot to transform the rest of the Agency 		<p>From an Operating Unit perspective the requirements for management vs. oversight information are blurred</p>	<p>Executive Guidance</p>
		Risks / Barriers	Technologies / Tools
		<p>Organization/Change Management Risk</p> <p>Project Resources Risk</p>	<p>Architectural Development</p> <p>Document Development and Management</p> <p>Knowledge Management</p> <p>Modeling</p> <p>Requirements Management</p> <p>Simulation</p>
Related Projects		<p>6A. Define and Implement Enterprise Architecture Governance Program</p> <p>6B. Leverage EA Findings to Develop Agency Business Model</p> <p>6C. Expand EA Governance Across the Agency</p>	

Project 6A – Define and Implement Enterprise Architecture Governance Program

Project	Name	Define and Implement Enterprise Architecture Governance Program	
	Description	Establish a formalized Enterprise Architecture Review Board to maintain EA governance, monitor IT investment dollars, and review projects for EA compliance.	
6A	Objective(s)	<ul style="list-style-type: none"> To enhance the stability and effectiveness of the EA infrastructure 	
	Recommendation(s) Supported		
Value to Stakeholders		Prerequisite Projects	Dependent Projects
<ul style="list-style-type: none"> Coordinated alignment of Agency resources Facilitates the formalization and integration of cuff systems and informal processes by reducing duplicate efforts and providing a common Agency-wide view Uses formalized processes and technological services as foundational pilot to transform the rest of the Agency Avoids reinventing the wheel Enables standardization across the Agency 		None	6B - Leverage EA Findings to Develop Agency Business Model 6C- Expand EA Governance Across the Agency
		Technologies / Tools	Project Scope
		Architectural Development Knowledge Management Document Development and Management	<div style="border: 1px solid black; text-align: center; padding: 5px;">Intermediate</div> <div style="border: 1px solid black; text-align: center; padding: 5px;">Cross Functional</div>

Project 6B – Leverage EA Findings to Develop Agency Business Model

Project	Name	Leverage EA Findings to Develop Agency Business Model	
	Description	Leverage the EA findings and methodology to develop the Agency's Business Model. Also, incorporate applicable recommendations and To-Be capabilities into the Agency overall strategy and business model.	
6B	Objective(s)	<ul style="list-style-type: none"> ▪ To leverage EA findings to develop the Agency's business vision ▪ To leverage EA findings to develop Agency's operating model 	
	Recommendation(s) Supported	7. Extend the operational strategy/business model for the Agency	
Value to Stakeholders		Prerequisite Projects	Dependent Projects
<ul style="list-style-type: none"> ▪ Provides perspective to the HIV/AIDS Program so that it can better fulfill its role within the Agency ▪ Enables the Program to better utilize the full extent of the Agency's services and resources ▪ Coordinated alignment of Agency resources ▪ Facilitates the formalization and integration of cuff systems and informal processes by reducing duplicate efforts and providing a common Agency-wide view 		6A - Define and Implement Enterprise Architecture Governance Program	None
		Technologies / Tools	Project Scope
		Architectural Development Knowledge Management Document Development and Management	<div style="border: 1px solid black; text-align: center; padding: 5px;">Intermediate</div> <div style="border: 1px solid black; text-align: center; padding: 5px; margin-top: 10px;">Cross Functional</div>

Project 6C – Expand EA Governance Across the Agency

Project	Name	Expand EA Governance Across the Agency	
	Description	Analyze findings of the HIV/AIDS Program EA and develop an implementation plan which details how to expand applicable processes and systems to the rest of the Agency	
6C	Objective(s)	<ul style="list-style-type: none"> ▪ To take maximum advantage of analysis completed ▪ To discover applicability of current EA effort to rest of Agency 	
	Recommendation(s) Supported	5. Expand use of applicable business processes and systems to other portions of the Agency	
Value to Stakeholders		Prerequisite Projects	Dependent Projects
<ul style="list-style-type: none"> ▪ Uses formalized processes and technological services as foundational pilot to transform the rest of the Agency ▪ Avoids reinventing the wheel ▪ Enables standardization across the Agency 		6A - Define and Implement Enterprise Architecture Governance Program	None
		Technologies / Tools	Project Scope
		Architectural Development Requirements Management Knowledge Management Modeling Simulation Document Development and Management	<div style="border: 1px solid black; width: 100%; text-align: center; padding: 5px;">Intermediate</div> <div style="border: 1px solid black; width: 100%; text-align: center; padding: 5px;">Cross Functional</div>

Appendix B: Capabilities with Supporting Enablers

Program Oversight – Roles by Process

OVERSIGHT Capability	Process	Roles
Executive Guidance	Assess Needed Changes to Policies and Procedures	Policy Manager Policy SME Legislative & Regulatory Analyst Policy Analyst
	Develop and Maintain Program Policies and Procedures	Policy Manager Policy SME Legislative & Regulatory Analyst Policy Analyst
	Develop and Maintain Long Range HIV/AIDS Program Plan	Policy Manager Strategic Planner Program Management SME HIV/AIDS SME
	Evaluate Program Policies and Procedures	Policy Manager Policy SME Legislative & Regulatory Analyst Policy Analyst
	Understand Internal and External Forces Affecting the HIV/AIDS Program	Knowledge Manager Regional SME HIV/AIDS SME Knowledge SME Legislative & Regulatory Analyst HIV/AIDS Analyst
Governance	Assess Needed Changes to Governance Model	Program Manager Program Management SME Policy SME
	Develop and Maintain Governance Model	Program Manager Program Management SME Policy SME Policy Analyst
	Evaluate Program Governance Model	Program Manager Program Management SME Policy SME Performance SME
Program Standards	Assess Needed Changes to Program Standards	Standards Manager Program Management SME Performance SME HIV/AIDS SME
	Develop and Maintain Program Performance Management Criteria	Standards Manager Program Management SME Performance SME
	Develop and Maintain Technical Performance Indicators	Standards Manager Performance SME HIV/AIDS SME Knowledge SME

OVERSIGHT Capability	Process	Roles
	Evaluate Program Standards	Standards Manager Program Management SME Performance SME Standards SME
Program Communications	Develop Program Communication Plan	Communications Manager Program Management SME Regional SME Enterprise Architect Information Security SME Information Technology SME Communications Coordinator
	Develop and Maintain Program Business and Technical Architecture	Program Manager Program Management SME Performance SME Enterprise Architect Information Technology SME
	Disseminate Program Guidance	Communications Manager Communications Coordinator
	Disseminate Program Management Information	Communications Manager Communications Coordinator
	Disseminate HIV/AIDS Knowledge	Communications Manager Communications Coordinator
	Evaluate Communication Plan	Communications Manager Program Management SME Regional SME Enterprise Architect Information Security SME Information Technology SME Communications Coordinator
	Identify and Recommend Changes to Agency Communications Infrastructure	Communications Manager Program Management SME Regional SME Enterprise Architect Information Security SME Information Technology SME
Operational Guidance	Assess Needed Changes to Operational Guidance	Program Manager Program Management SME Policy SME, Performance SME Regional SME HIV/AIDS SME Standards SME
	Develop and Maintain Operational Guidance	Program Manager Program Management SME Policy SME Performance SME Regional SME HIV/AIDS SME Standards SME Policy Analyst

OVERSIGHT Capability	Process	Roles
	Review & Approve Operating Unit HIV/AIDS Strategies	Program Manager Program Management SME Policy SME Performance SME Regional SME HIV/AIDS SME Standards SME Strategic Planner
	Evaluate Program Guidance Effectiveness	Program Manager Program Management SME Policy SME Performance SME Regional SME HIV/AIDS SME Standards SME Performance Analyst
	Analyze HIV/AIDS Program Results	Program Manager Program Management SME Policy SME Performance SME Regional SME HIV/AIDS SME Standards SME HIV/AIDS Analyst
Operational Coordination	Coordinate and Endorse HIV/AIDS Budget Submissions	Program Manager Operations Manager Program Management SME Regional SME Strategic Planner Budget Analyst
	Submit HIV/AIDS Program Budget for Approval	Program Manager
	Monitor and Evaluate Resource Usage and Services	Program Manager Performance SME Performance Analyst Resource Analyst
	Enforce Program Guidance	Program Manager
	Review and Analyze Program Management Data	Budget Analyst Financial Analyst Knowledge Manager Performance Analyst Standards SME
Program Information	Identify Knowledge Requirements	Knowledge Manager Program Management SME HIV/AIDS SME

OVERSIGHT Capability	Process	Roles
	Collect and Aggregate Program Results	Knowledge Manager Financial Analyst HIV/AIDS Analyst Performance Analyst Program Coordinator Quality Assurance Analyst Resource Analyst Budget Analyst
	QA / Information Assurance	Knowledge Manager Information Security SME Knowledge SME Quality Assurance Analyst
	Respond to Program Information Requests	Knowledge Manager Knowledge SME Communications Coordinator Program Coordinator
	Collect and Consolidate "Lessons Learned"	Knowledge Manager Knowledge SME HIV/AIDS Analyst Program Coordinator Quality Assurance Analyst
	Collect and Consolidate HIV/AIDS Knowledge	Knowledge Manager HIV/AIDS SME Knowledge SME HIV/AIDS Analyst Program Coordinator Quality Assurance Analyst
Resources and Services	Analyze and Plan Support Needs	HIV/AIDS Analyst HIV/AIDS SME Knowledge SME Program Manager Regional SME Resource Analyst
	Advise and Consult	Budget Analyst Communications Coordinator Contracts & Procurement Liaison Financial Analyst HIV/AIDS Analyst Information Technology SME Knowledge Manager Knowledge SME Performance Analyst Policy Analyst Program Management SME Quality Assurance Analyst Resource Analyst Risk Analyst Standards SME

OVERSIGHT Capability	Process	Roles
	Develop Program Support Lessons Learned	Contracts & Procurement Liaison Financial Analyst HIV/AIDS Analyst HIV/AIDS Technical Writer Knowledge SME Program Manager Performance Analyst Regional SME Resource Analyst

Program Oversight – Knowledge by Process

OVERSIGHT Capability	Process	Knowledge
Executive Guidance	Assess Needed Changes to Policies and Procedures	Policies and Procedures Changes in Internal and External Factors GAC and Agency Mission and Goals
	Develop and Maintain Program Policies and Procedures	Policies and Procedures Changes in Internal and External Factors GAC and Agency Mission and Goals
	Develop and Maintain Long Range HIV/AIDS Program Plan	Policies and Procedures Changes in Internal and External Factors GAC and Agency Mission and Goals
	Evaluate Program Policies and Procedures	Policies and Procedures Changes in Internal and External Factors GAC and Agency Mission and Goals
	Understand Internal and External Forces Affecting the HIV/AIDS Program	Policies and Procedures Changes in Internal and External Factors GAC and Agency Mission and Goals HIV/AIDS Technical Knowledge Target Audience Program Operating Environment Industry Leading Practices
Governance	Assess Needed Changes to Governance Model	Governance Model Program Operating Environment Changes in Internal and External Factors
	Develop and Maintain Governance Model	Governance Model Program Operating Environment Changes in Internal and External Factors
	Evaluate Program Governance Model	Governance Model Program Operating Environment Changes in Internal and External Factors
Program Standards	Assess Needed Changes to Program Standards	Program Standards Program Operating Environment Changes in Internal and External Factors GAC and Agency Mission and Goals
	Develop and Maintain Program Performance Management Criteria	Program Standards Program Operating Environment Changes in Internal and External Factors GAC and Agency Mission and Goals

OVERSIGHT Capability	Process	Knowledge
	Develop and Maintain Technical Performance Indicators	Program Standards Program Operating Environment Changes in Internal and External Factors GAC and Agency Mission and Goals Technical Performance Metrics Technical Performance Indicators HIV/AIDS Technical Knowledge
	Evaluate Program Standards	Program Standards Program Operating Environment Changes in Internal and External Factors GAC and Agency Mission and Goals Technical Performance Metrics Technical Performance Indicators HIV/AIDS Technical Knowledge
Program Communications	Develop Program Communication Plan	Program Operating Environment Target Audience Program Policies and Procedures Agency Communications Infrastructure Program Standards External Guidance
	Develop and Maintain Program Business and Technical Architecture	Program Operating Environment GAC and Agency Mission and Goals Program Mission and Goals Technical Performance Metrics Architecture
	Disseminate Program Guidance	Program Operating Environment Target Audience Program Management Information Operational Guidance
	Disseminate Program Management Information	Program Operating Environment Target Audience Program Management Information
	Disseminate HIV/AIDS Knowledge	Program Operating Environment Target Audience Program Results Technical Performance Metrics
	Evaluate Communication Plan	Program Operating Environment Target Audience Program Policies and Procedures Agency Communications Infrastructure Program Standards External Guidance

OVERSIGHT Capability	Process	Knowledge
	Identify and Recommend Changes to Agency Communications Infrastructure	Program Operating Environment Target Audience Program Policies and Procedures Agency Communications Infrastructure Resource and Service Usage Program Standards External Guidance
Operational Guidance	Assess Needed Changes to Operational Guidance	Program Policies and Procedures Program Standards Program Operating Environment Changes in Internal and External Factors GAC and Agency Mission and Goals Program Mission and Goals Technical Performance Metrics Technical Performance Indicators HIV/AIDS Technical Knowledge
	Develop and Maintain Operational Guidance	Program Policies and Procedures Program Standards Program Operating Environment Changes in Internal and External Factors GAC and Agency Mission and Goals Program Mission and Goals Technical Performance Metrics Technical Performance Indicators HIV/AIDS Technical Knowledge
	Review & Approve Operating Unit HIV/AIDS Strategies	Program Policies and Procedures Program Standards Program Operating Environment Changes in Internal and External Factors GAC and Agency Mission and Goals Program Mission and Goals Technical Performance Metrics Technical Performance Indicators HIV/AIDS Technical Knowledge Current HIV/AIDS Strategies
	Evaluate Program Guidance Effectiveness	Program Policies and Procedures Program Standards Program Operating Environment Changes in Internal and External Factors GAC and Agency Mission and Goals Program Mission and Goals Technical Performance Metrics Technical Performance Indicators HIV/AIDS Technical Knowledge Current HIV/AIDS Strategies

OVERSIGHT Capability	Process	Knowledge
	Analyze HIV/AIDS Program Results	Program Policies and Procedures Program Standards Program Operating Environment Changes in Internal and External Factors GAC and Agency Mission and Goals Program Mission and Goals Technical Performance Metrics Technical Performance Indicators HIV/AIDS Technical Knowledge Current HIV/AIDS Strategies
Operational Coordination	Coordinate and Endorse HIV/AIDS Budget Submissions	Program Operating Environment Changes in Internal and External Factors GAC and Agency Budget Direction Current HIV/AIDS Strategies Current HIV/AIDS Funding Planned HIV/AIDS Appropriations
	Submit HIV/AIDS Program Budget for Approval	Appropriate Approving Authorities
	Monitor and Evaluate Resource Usage and Services	Resource and Service Usage Technical Performance Metrics Technical Performance Indicators Program Management Performance Criteria Program Standards
	Enforce Program Guidance	Agency Communications Infrastructure Governance Model Operational Guidance Policies and Procedures Program Budget Guidance Program Management Performance Criteria Program Mission and Goals Program Standards Standard Reporting Formats Technical Performance Indicators Technical Performance Metrics
	Review and Analyze Program Management Data	Changes in Internal and External Factors Current HIV/AIDS Funding Local Conditions and Needs Operational Guidance Previous Activities Program Budget Guidance Program Management Information Program Management Performance Criteria Program Mission and Goals Program Operating Environment Program Results Program Standards Resource and Service Usage Technical Performance Indicators

OVERSIGHT Capability	Process	Knowledge
Program Information	Identify Knowledge Requirements	Program Operating Environment Target Audience Program Policies and Procedures Agency Communications Infrastructure Resource and Service Usage Program Standards
	Collect and Aggregate Program Results	Program Management Performance Criteria Technical Performance Indicators Technical Performance Metrics Program Standards
	QA / Information Assurance	Program Management Performance Criteria Technical Performance Indicators Technical Performance Metrics Program Standards Program Management Information Program Results
	Respond to Program Information Requests	Program Management Information Program Results Target Audience Standard Reporting Formats
	Collect and Consolidate "Lessons Learned"	Program Management Information Program Results Target Audience Standard Reporting Formats Activity Lessons Learned
	Collect and Consolidate HIV/AIDS Knowledge	Program Management Information Program Results Target Audience Standard Reporting Formats HIV/AIDS Technical Knowledge

OVERSIGHT Capability	Process	Knowledge
Resources and Services	Analyze and Plan Support Needs	Activity Lessons Learned Changes in Internal and External Factors Current HIV/AIDS Funding Current HIV/AIDS Strategies GAC and Agency Budget Direction GAC and Agency Mission and Goals HIV/AIDS Technical Knowledge Local Conditions and Needs Planned HIV/AIDS Appropriations Policies and Procedures Previous Activities Program Budget Guidance Program Management Performance Criteria Program Mission and Goals Program Operating Environment Resource and Service Usage Technical Performance Indicators Technical Performance Metrics
	Advise and Consult	Activity Lessons Learned Changes in Internal and External Factors Current HIV/AIDS Funding Current HIV/AIDS Strategies GAC and Agency Mission and Goals Governance Model HIV/AIDS Technical Knowledge Industry Leading Practices Planned HIV/AIDS Appropriations Program Budget Guidance Program Management Performance Criteria Program Mission and Goals Program Operating Environment Program Policies and Procedures Program Standards Resource and Service Usage Standard Reporting Formats Technical Performance Indicators Technical Performance Metrics
	Develop Program Support Lessons Learned	Activity Lessons Learned HIV/AIDS Technical Knowledge Local Conditions and Needs Previous Activities Program Mission and Goals Program Operating Environment Program Results Program Standards Resource and Service Usage Technical Performance Indicators Technical Performance Metrics

Program Oversight – Technology by Process

OVERSIGHT Capability	Process	Technological Services
Executive Guidance	Assess Needed Changes to Policies and Procedures	Business Management Services.Management of Processes
	Develop and Maintain Program Policies and Procedures	Business Management Services.Management of Processes
	Develop and Maintain Long Range HIV/AIDS Program Plan	Business Management Services.Management of Processes
	Evaluate Program Policies and Procedures	Business Management Services.Management of Processes
	Understand Internal and External Forces Affecting the HIV/AIDS Program	Business Management Services.Management of Processes
Governance	Assess Needed Changes to Governance Model	Business Management Services.Management of Processes
	Develop and Maintain Governance Model	Business Management Services.Management of Processes
	Evaluate Program Governance Model	Business Management Services.Management of Processes
Program Standards	Assess Needed Changes to Program Standards	Business Management Services.Management of Processes
	Develop and Maintain Program Performance Management Criteria	Business Management Services.Management of Processes
	Develop and Maintain Technical Performance Indicators	Business Management Services.Management of Processes
	Evaluate Program Standards	Business Management Services.Management of Processes
Program Communications	Develop Program Communication Plan	Business Management Services.Management of Processes
	Develop and Maintain Program Business and Technical Architecture	Back Office Services.Development and Integration
	Disseminate Program Guidance	Digital Asset Services.Knowledge Management
	Disseminate Program Management Information	Digital Asset Services.Knowledge Management
	Disseminate HIV/AIDS Knowledge	Digital Asset Services.Knowledge Management
	Evaluate Communication Plan	Business Management Services.Management of Processes
	Identify and Recommend Changes to Agency Communications Infrastructure	Business Management Services.Management of Processes

OVERSIGHT Capability	Process	Technological Services
Operational Guidance	Assess Needed Changes to Operational Guidance	Business Management Services.Management of Processes
	Develop and Maintain Operational Guidance	Business Management Services.Management of Processes
	Review & Approve Operating Unit HIV/AIDS Strategies	Business Management Services.Management of Processes
	Evaluate Program Guidance Effectiveness	Business Management Services.Management of Processes
	Analyze HIV/AIDS Program Results	Business Management Services.Management of Processes
Operational Coordination	Coordinate and Endorse HIV/AIDS Budget Submissions	Business Management Services.Investment Management
	Submit HIV/AIDS Program Budget for Approval	Business Management Services.Investment Management
	Monitor and Evaluate Resource Usage and Services	Business Management Services.Management of Processes
	Enforce Program Guidance	Business Management Services.Management of Processes
	Review and Analyze Program Management Data	Business Management Services.Management of Processes
Program Information	Identify Knowledge Requirements	Business Management Services.Management of Processes
	Collect and Aggregate Program Results	Business Management Services.Management of Processes
	QA / Information Assurance	Business Management Services.Management of Processes
	Respond to Program Information Requests	Digital Asset Services.Knowledge Management
	Collect and Consolidate "Lessons Learned"	Digital Asset Services.Knowledge Management
	Collect and Consolidate HIV/AIDS Knowledge	Digital Asset Services.Knowledge Management
Resources and Services	Analyze and Plan Support Needs	Business Management Services.Management of Processes
	Advise and Consult	Digital Asset Services.Knowledge Management
	Develop Program Support Lessons Learned	Digital Asset Services.Knowledge Management

Program Operations – Roles by Process

OPERATIONS Capability	Process	Roles
Operational Guidance	Determine and Articulate Desired Results	Operations Manager Regional SME HIV/AIDS SME HIV/AIDS Analyst
	Formulate Operating Plan	Cognizant Technical Officer Performance SME Regional SME HIV/AIDS SME HIV/AIDS Analyst Resource Analyst HIV/AIDS Technical Writer Budget Analyst
	Obtain Approval	Operations Manager Cognizant Technical Officer
Operational Coordination	Develop Resource and Service plans with partners	Operations Manager Resource Manager Cognizant Technical Officer Contracts & Procurement Liaison Resource Analyst Communications Coordinator Program Coordinator Strategic Planner Program Management SME Regional SME
	Negotiate Operating Plan Agreement	Operations Manager Cognizant Technical Officer Regional SME Program Management SME Legislative & Regulatory Analyst Risk Analyst Communications Coordinator
	Complete Activity Planning Requirements	Operations Manager Program Management SME Performance SME Regional SME HIV/AIDS SME Contracts & Procurement Liaison HIV/AIDS Analyst Performance Analyst Program Coordinator HIV/AIDS Technical Writer
	Coordinate Program Activities	Operations Manager Contracts & Procurement Liaison Communications Coordinator Program Coordinator

OPERATIONS Capability	Process	Roles
	Monitor and Evaluate Program Performance	Operations Manager Performance SME Performance Analyst Financial Analyst HIV/AIDS Analyst Budget Analyst
Program Information	Identify Operational Information Need	Operations Manager Regional SME HIV/AIDS SME Knowledge SME HIV/AIDS Analyst Performance Analyst
	Quality Assurance	Operations Manager Information Security SME Knowledge SME Quality Assurance Analyst
	Collect and Aggregate Activity Information	Operations Manager HIV/AIDS Analyst Performance Analyst Program Coordinator
	Respond to Operational Information Requests	Operations Manager HIV/AIDS Analyst Performance Analyst Quality Assurance Analyst
	Review Portfolio	Operations Manager Program Management SME Performance SME HIV/AIDS Analyst Performance Analyst Resource Analyst
	Evaluate Results	Operations Manager Program Management SME HIV/AIDS SME Performance SME Performance Analyst
	Prepare Annual Report	Operations Manager Program Management SME HIV/AIDS SME Performance SME Performance Analyst Strategic Planner HIV/AIDS Technical Writer
Resources & Services	Inventory Resources	Operations Manager Resource Analyst
	Analyze Service and Resource Needs	Operations Manager Resource Analyst
	Plan Services and Resources	Operations Manager Resource Analyst

OPERATIONS Capability	Process	Roles
	Draft & Execute Procurement Documents	Operations Manager Resource Analyst Cognizant Technical Officer
	Develop Lessons Learned	Cognizant Technical Officer Contracts & Procurement Liaison Financial Analyst HIV/AIDS Analyst HIV/AIDS Technical Writer Knowledge SME Operations Manager Performance Analyst Regional SME Resource Analyst

Program Operations – Knowledge by Process

OPERATIONS Capability	Process	Knowledge
Operational Guidance	Determine and Articulate Desired Results	Program Operating Environment GAC and Agency Mission and Goals Program Mission and Goals Local Conditions and Needs Previous Activities HIV/AIDS Technical Knowledge
	Formulate Operating Plan	Program Operating Environment GAC and Agency Mission and Goals Program Mission and Goals Local Conditions and Needs Previous Activities HIV/AIDS Technical Knowledge Current HIV/AIDS Funding Program Budget Guidance
	Obtain Approval	Appropriate Approving Authorities
Operational Coordination	Develop Resource and Service plans with partners	Program Operating Environment GAC and Agency Mission and Goals Program Mission and Goals Local Conditions and Needs Previous Activities HIV/AIDS Technical Knowledge Current HIV/AIDS Funding Partner Capabilities
	Negotiate Operating Plan Agreement	Program Operating Environment GAC and Agency Mission and Goals Program Mission and Goals Local Conditions and Needs Previous Activities HIV/AIDS Technical Knowledge Current HIV/AIDS Funding Partner Capabilities
	Complete Activity Planning Requirements	Program Operating Environment GAC and Agency Mission and Goals Program Mission and Goals Local Conditions and Needs HIV/AIDS Technical Knowledge Partner Capabilities
	Coordinate Program Activities	Program Operating Environment GAC and Agency Mission and Goals Program Mission and Goals Local Conditions and Needs HIV/AIDS Technical Knowledge Partner Capabilities
	Monitor and Evaluate Program Performance	Program Management Performance Criteria Technical Performance Indicators Technical Performance Metrics Program Standards Resource and Service Usage

OPERATIONS Capability	Process	Knowledge
Program Information	Identify Operational Information Need	Program Operating Environment Program Mission and Goals Local Conditions and Needs Program Management Information Program Results Target Audience Standard Reporting Formats
	Quality Assurance	Program Management Performance Criteria Technical Performance Indicators Technical Performance Metrics Program Standards
	Collect and Aggregate Activity Information	Program Management Performance Criteria Technical Performance Indicators Technical Performance Metrics Program Standards
	Respond to Operational Information Requests	Program Management Performance Criteria Technical Performance Indicators Technical Performance Metrics Program Standards
	Review Portfolio	Program Management Performance Criteria Technical Performance Indicators Technical Performance Metrics Program Standards
	Evaluate Results	Program Management Performance Criteria Technical Performance Indicators Technical Performance Metrics Program Standards
	Prepare Annual Report	Current HIV/AIDS Funding Current HIV/AIDS Strategies GAC and Agency Budget Direction Industry Leading Practices Operational Guidance Previous Activities Program Management Information Program Management Performance Criteria Program Results Resource and Service Usage Target Audience Technical Performance Indicators

OPERATIONS Capability	Process	Knowledge
Resources & Services	Inventory Resources	Partner Capabilities Resource and Service Usage
	Analyze Service and Resource Needs	Changes in Internal and External Factors Current HIV/AIDS Strategies GAC and Agency Mission and Goals Local Conditions and Needs Partner Capabilities Planned HIV/AIDS Appropriations Previous Activities Program Mission and Goals Program Operating Environment Resource and Service Usage
	Plan Services and Resources	Activity Lessons Learned Changes in Internal and External Factors Current HIV/AIDS Funding Current HIV/AIDS Strategies GAC and Agency Mission and Goals Local Conditions and Needs Operational Guidance Partner Capabilities Planned HIV/AIDS Appropriations Previous Activities Program Budget Guidance Program Mission and Goals Program Operating Environment Resource and Service Usage
	Draft & Execute Procurement Documents	Local Conditions and Needs Policies and Procedures Technical Performance Indicators Technical Performance Metrics
	Develop Lessons Learned	Activity Lessons Learned HIV/AIDS Technical Knowledge Local Conditions and Needs Previous Activities Program Mission and Goals Program Operating Environment Program Results Program Standards Resource and Service Usage Technical Performance Indicators Technical Performance Metrics

Program Operations – Technology by Process

OPERATIONS Capability	Process	Technological Services
Operational Guidance	Determine and Articulate Desired Results	Business Management Services. Management of Processes
	Formulate Operating Plan	Business Management Services. Management of Processes
	Obtain Approval	Business Management Services. Management of Processes
Operational Coordination	Develop Resource and Service plans with partners	Business Management Services. Management of Processes
	Negotiate Operating Plan Agreement	Business Management Services. Management of Processes
	Complete Activity Planning Requirements	Business Management Services. Management of Processes
	Coordinate Program Activities	Business Management Services. Management of Processes
	Monitor and Evaluate Program Performance	Business Management Services. Management of Processes
Program Information	Identify Operational Information Need	Business Management Services. Management of Processes
	Quality Assurance	Business Management Services. Management of Processes
	Collect and Aggregate Activity Information	Digital Asset Services. Knowledge Management
	Respond to Operational Information Requests	Digital Asset Services. Knowledge Management
	Review Portfolio	Business Management Services. Management of Processes
	Evaluate Results	Business Management Services. Management of Processes
	Prepare Annual Report	Business Management Services. Management of Processes
Resources & Services	Inventory Resources	Business Management Services. Management of Processes
	Analyze Service and Resource Needs	Business Management Services. Management of Processes
	Plan Services and Resources	Business Management Services. Management of Processes
	Draft & Execute Procurement Documents	Business Management Services. Management of Processes
	Develop Lessons Learned	Digital Asset Services. Knowledge Management

Appendix C: Capabilities with Success Criteria

Capability	Success Criteria	Operational Indicator	Critical Success Factor									
			Answer Congressional funding/ spending level inquiries	Match Dollars to Purpose to Outcomes	Leverage USAID core competencies	Develop effective and sustainable in-Country programs	Align in-Country strategies & activities with top-down goals	Ability to adapt to a rapidly changing environment	Ability to aggregate mission data to Agency	Manage program from USAID/W to mission		
Executive Guidance	Policies and Procedures are clearly documented and understandable	The number of inquiries regarding the application of policies and procedures at the operating unit level (using the assumption that on a macro scale the fewer inquiries, the clearer the understanding of the executive guidance).									●	
	Policies and Procedures are implemented and used consistently across the program										●	
	Policies and Procedures reflect all appropriate legislation and Regulations											●
	Policies and Procedures embody program/mission goals						●					
	Performance goals are directly linked to program and Agency goals							●				
	Policy and legislation is analyzed and applied contextually						●					
Governance	Program personnel and stakeholders understand their roles and responsibilities	The number of compliant actions (by executing appropriate authority as defined within the governance structure).									●	
	Responsibilities and lines of accountability are aligned with program roles										●	
	Standardized Roles and Responsibilities											●

Capability	Success Criteria	Operational Indicator	Critical Success Factor								
			Answer Congressional funding/ spending level inquiries	Match Dollars to Purpose to Outcomes	Leverage USAID core competencies	Develop effective and sustainable in-Country programs	Align in-Country strategies & activities with top-down goals	Ability to adapt to a rapidly changing environment	Ability to aggregate mission data to Agency	Manage program from USAID/W to mission	
Capability	Roles & Responsibilities are contextually appropriate and consistently applied across the program										●
	Accountability is aligned with authority and responsibilities										●
Program Standards	Standards are consistent across program	The number of information needs that Program personnel must make special inquiries to Operating Units in order to process (the lower the better).								●	
	Results can be aggregated									●	
	Stakeholders can expect consistent program information										
Program Communication	Program stakeholders receive all relevant communication guidance	The number of communications areas addressed by the HIV/AIDS communications plan (as a percentage of total communication areas).									●
	Guidance is actionable in time to meet major milestones										●
	Program communication is contextually appropriate						●				●
	Program Results are Comprehensive and useful					●					
	Communications are timely										

Capability	Success Criteria	Operational Indicator	Critical Success Factor							
			Answer Congressional funding/spending level inquiries	Match Dollars to Purpose to Outcomes	Leverage USAID core competencies	Develop effective and sustainable in-Country programs	Align in-Country strategies & activities with top-down goals	Ability to adapt to a rapidly changing environment	Ability to aggregate mission data to Agency	Manage program from USAID/W to mission
Operational Guidance	Performance goals are directly linked to program and agency goals	The number of inquiries regarding operational guidance disseminated to the operating units (the lower the better).					●			
	Guidance embodies program/mission goals						●			
	Guidance is clearly documented and understandable									●
	Guidance is contextually appropriate and adhered to									●
	Guidance is actionable in time to meet major milestones							●		
	Guidance is aligned to Roles & Responsibilities									●
	Guidance is aligned to Policies & Procedures									●
	Change is managed									●
	Program governance structure is disseminated and enforced									●

Capability	Success Criteria	Operational Indicator	Critical Success Factor								
			Answer Congressional funding/spending level inquiries	Match Dollars to Purpose to Outcomes	Leverage USAID core competencies	Develop effective and sustainable in-Country programs	Align in-Country strategies & activities with top-down goals	Ability to adapt to a rapidly changing environment	Ability to aggregate mission data to Agency	Manage program from USAID/W to mission	
Operational Coordination	Program operations effectively react and adapt to changing environment	The number of participating organizations in the development of appropriate plans, information, requirements, etc (as a percentage of total organizations involved).						●			
	Program operations effectively react and adapt to operational surges and dips							●			
	The "steady state" is predictable and manageable									●	
Program Information	Results can be aggregated	The number of information inquiries addressed by formalized information systems (as a percentage of total information inquiries).							●		
	Mgmt milestones & deadlines are understood and acted upon									●	
	Funds are tracked viewable at all levels throughout the entire funding cycle (budget to expenditure)		●								
	Funds are related to results			●							
	Performance is related to performance goals										●
	Environment is collaborative										●
	Pipeline is analyzed and managed		●								

Capability	Success Criteria	Operational Indicator	Critical Success Factor								
			Answer Congressional funding/ spending level inquiries	Match Dollars to Purpose to Outcomes	Leverage USAID core competencies	Develop effective and sustainable in-Country programs	Align in-Country strategies & activities with top-down goals	Ability to adapt to a rapidly changing environment	Ability to aggregate mission data to Agency	Manage program from USAID/W to mission	
	Risk is managed										●
	Information is assured										●
	Information extraction processes are standard								●		
	Data is easily converted into useable metrics					●					
	stakeholders get technical support / information that they need to operate										●
	Information is current and applicable										●
	Aggregate Relevant Information								●		
Resources & Services	Surges and Dips in program requirements are successfully addressed managed	The number of differences between resource/service requirements and resources/services available (the lower the better).						●			
	Program stakeholders can obtain critical resources when and where needed							●			
	Contractors and grantees are readily available to meet program requirements							●			

Capability	Success Criteria	Operational Indicator	Critical Success Factor							
			Answer Congressional funding/ spending level inquiries	Match Dollars to Purpose to Outcomes	Leverage USAID core competencies	Develop effective and sustainable in-Country programs	Align in-Country strategies & activities with top-down goals	Ability to adapt to a rapidly changing environment	Ability to aggregate mission data to Agency	Manage program from USAID/W to mission
	Program performance measures are consistent						●			
	Program services readily flex to meet the HIV/AIDS evolving environment							●		
	Services are modified based on lessons learned							●		
	Services are linked to Agency and program mission and goals					●				
	Support is readily accessible				●					

Appendix D: Process Descriptions

Advise and Consult – Provide in house and contracted Program management and technical advice to operating units.

Analyze and Plan Support Needs – Analyze and predict operating unit needs and support them in achieving their operating objectives.

Analyze HIV/AIDS Program Results – Gather and analyze HIV/AIDS Program performance results.

Analyze Service and Resource Needs – Analyze and predict services and resource needs based on available resources and an understanding of internal and external factors affecting Program activities.

Assess Needed Changes to Governance Model – Analyze and interpret changes to legislation and regulations and identify necessary changes to existing governance model based on understanding of internal and external factors affecting the HIV/AIDS program, in particular the directives from the Global AIDS Coordinator (GAC).

Assess Needed Changes to Operational Guidance – Analyze and develop a comprehensive understanding of the policies and procedures and determine necessary changes to operational guidance.

Assess Needed Changes to Policies and Procedures – Analyze and interpret changes to legislation and regulations and identify necessary changes to existing policies and procedures based on understanding of internal and external factors affecting the HIV/AIDS program, in order to translate the direction of Program influencers in particular the directives from the Global AIDS Coordinator (GAC) to specific HIV/AIDS Program policies and procedures.

Assess Needed Changes to Program Standards – Analyze the program executive guidance and understand the internal and external factors affecting the HIV/AIDS program, in particular the directives from the Global AIDS Coordinator (GAC) to determine if changes are necessary.

Collect and Aggregate Activity Information – Gather and aggregate activity information including performance results, financial management, budget, and technical information in such a way that Program activities can be compared and analyzed.

Collect and Aggregate Program Results – Gather and aggregate program information including performance results, financial management, budget, and technical information in such a way that Program activities can be compared and analyzed.

Collect and Consolidate Lessons Learned – Collect, consolidate and analyze Program activity lessons learned.

Collect and Consolidate HIV/AIDS Knowledge – Gather and consolidate technical and performance knowledge.

Complete Activity Planning Requirements – Draft a Work Plan which addresses the main activities to be carried out, their output, their timing, the parties involved, who will use the results and how they will be used.

Coordinate & Endorse HIV/AIDS Budget Submissions – Coordinate and review HIV/AIDS budget request submissions, work with operating units to revise request and provide Program budgetary endorsement.

Coordinate Program Activities – Coordinate program resources and services with partners and suppliers to support the operating plan.

Determine and Articulate Desired Results – Analyze local conditions and stakeholder guidance to identify target outcomes.

Develop Resource and Service Plans with Partners – Coordinate collaborative environment, develop proactive plans, collaborative agreements, and negotiate roles and responsibilities with internal and external Program participants.

Develop and Maintain Governance Model – Develop a comprehensive governance model that associates responsibility, authority and accountability with specific roles and update model based on assessed changes.

Develop and Maintain Long Range HIV/AIDS Program Plan – Develop and/or update long range HIV/AIDS Program Plan based on needed changes.

Develop and Maintain Operational Guidance – Create and or update proactive and understandable operational guidance which sets clear goals, expectations and priorities.

Develop and Maintain Program Business and Technical Architecture – Develop and maintain a comprehensive business and technical architecture for the program that aligns program processes, technological services, skills, and knowledge to accomplish the program mission and goals.

Develop and Maintain Program Management Performance Criteria – Identify and maintain a set of performance criteria to monitor and measure the relative performance of individual projects managed within the HIV/AIDS Program. These criteria should be standard across the Program so that program management data can be collected, aggregated, and analyzed.

Develop and Maintain Program Policies and Procedures – Develop and/or update policies and procedures based on needed changes.

Develop and Maintain Technical Performance Indicators – Identify and maintain a standard set of technical results indicators across the entire HIV/AIDS Program, so that results can be collected, aggregated and analyzed at any level. A standard superset should be maintained so that individual projects can pick those that apply to their individual situation within specific programmatic guidelines.

Develop Lessons Learned – Coordinate with partners, supplier and complimentors to document and analyze the effectiveness of services rendered.

Develop Program Communication Plan – Analyze program guidance and standards, develop an understanding of internal and external factors affecting the HIV/AIDS program and create a proactive and comprehensive communications plan detailing who to share program information with, what format it will be presented in, when it will be presented and how the existing Agency communications infrastructure will be used to disseminate the information.

Develop Program Support Lessons Learned – Monitor and document use and effectiveness of support services provided to operating units and analyze performance metrics to enable continuous improvement.

Disseminate HIV/AIDS Knowledge – Disseminate Program lessons learned, technical and performance knowledge to users through appropriate communication vehicles.

Disseminate Program Guidance – Disseminate Program operational guidance, standards, and governance to users through appropriate communications vehicles.

Disseminate Program Management Information – Disseminate financial, budgetary, and performance information to users through appropriate communications vehicles.

Draft and Execute Procurement Documents – Develop an Acquisition and Assistance Plan at the activity level, which describes plans for competition and discusses source and origin requirements.

Enforce Program Guidance – Monitor program activities to determine compliance with operational guidance. This includes the program governance model, communications plan and program standards and applicable policies and procedures.

Evaluate Communication Plan – Analyze Program communication needs and assess the effectiveness of the Program communication plan.

Evaluate Program Governance Model – Analyze the program executive guidance; assess the program operations and performance to determine the effectiveness of the governance model.

Evaluate Program Guidance Effectiveness – Evaluate the application of program operational guidance and assess their ability to successfully carryout the HIV/AIDS Program mission and goals.

Evaluate Program Policies and Procedures – Assess policies and procedures application to determine if intended results are being achieved.

Evaluate Program Standards – Evaluate the application of program standards and assess their effectiveness in enabling consistency across the Program.

Evaluate Results – Determine if results are being achieved according to plan, if they are likely to be sustainable, if the current approach should be modified or cancelled, and make recommendations for changes to tools and tactics.

Formulate Operating Plan – Determine appropriate intervention approach and define the tools and tactics that will support the program. Determine the total cost of the operating objective and identify how the plan will be financed. Draft the operating plan incorporating the HIV/AIDS situation goals, operating objectives, targets, and priorities.

Identify and Recommend Changes to Agency Communications Infrastructure – Analyze Program communication needs and usage and determine the effectiveness of the Agency's infrastructure in meeting program needs, identify gaps, and make recommendations for improvement.

Identify Knowledge Requirements – Analyze and predict user needs in order to develop Program knowledge requirements.

Identify Operational Information Need – Identify information requirements in order to satisfy specific activity needs.

Inventory Resources – Develop and maintain an inventory of available resource internal and external to the HIV/AIDS program.

Monitor and Evaluate Program Performance – Based on applicable program performance criteria, assess program artifacts and results to determine if the Program activities are achieving planned results.

Monitor and Evaluate Resource Usage and Services – Monitor and evaluate program operations in order to determine if services are being performed at optimal effectiveness, and resources at optimal efficiency.

Negotiate Operating Plan Agreement – Negotiate an agreement with the host government reflecting the commitment of USAID and the host government or partners within the host country to carry out the operating plan.

Obtain Approval – Submit operating plan for approval as part of the Management Agreement process.

Plan Services and Resources – Set service and resource requirements, plan for programmatic surges and dips, analyze programmatic risk, align Program resources to defined needs/requirements and develop and coordinate scalable service and resource usage plans with partners, complimentors, and suppliers.

Prepare Annual Report – Review and document progress toward achieving results and re-planning of resources required to meet the operating objectives.

QA / Information Assurance – Implement a quality / information assurance process to provide accurate information and maintain information integrity.

Quality Assurance – Implement a quality assurance process to report accurate results.

Respond to Operational Information Requests – Respond to ad hoc request for activity information and provide information in the format that they need.

Respond to Program Information Requests – Respond to ad hoc Program information request and provide information in the format that they need.

Review & Approve Operating Unit HIV/AIDS Strategies – Review and approve operating unit HIV/AIDS strategies, and work with operating units to revise strategies in order to comply with operational guidance.

Review and Analyze Program Management Data – Identify, coordinate, extract and analyze program data such as financial, budgetary, performance, forecast and resource / service inventory data.

Review Portfolio – Carry out a periodic review of all aspects of an Operating Unit's operating plan in preparation for inclusion in the Annual Report.

Submit HIV/AIDS Program Budget for Approval – Submit consolidated Program budget to appropriate authority for approval (GAC).

Understand Internal and External Forces Affecting the HIV/AIDS Program – Identify and analyze legislation and regulations affecting the HIV/AIDS program, Agency and Program mission and goals, industry leading practices; develop a comprehensive understanding of the target audience (operating unit, field, Washington, etc) and the program operating environment (political, social, cultural, economic).

Appendix E: Role Descriptions

Budget Analyst - An individual who possesses the appropriate knowledge and experience in the area of program budgeting to provide comprehensive and reliable analysis.

Cognizant Technical Officer - The CTO function is designed to help manage the formal relationship between USAID and the awardee institution, and to perform certain administrative actions required in the award. (ADS 202.3.4.3b)

Communications Coordinator - An individual who possesses the appropriate knowledge and experience in the area of program communications to provide reliable day-to-day administration of all communications activities.

Communications Manager - The individual responsible for the Program Communications Plan and the day-to-day management of the overall program communications effort.

Contracts & Procurement Liaison - An individual or group who interfaces with Acquisition & Assistance, OHA and its partners to provide a single point of contact for all contract and procurement issues.

Enterprise Architect - An individual or group who possesses the appropriate knowledge and experience in the area of enterprise architecture techniques and best practices and OHA's architectural structure to provide comprehensive and reliable analysis and recommendations.

Financial Analyst - An individual who possesses the appropriate knowledge and experience in the area of financial management to provide comprehensive and reliable analysis.

HIV/AIDS Analyst - An individual who possesses the appropriate knowledge and experience in the area of HIV/AIDS issues and interventions to provide comprehensive and reliable analysis.

HIV/AIDS SME - An individual or group who possesses expert level knowledge in all areas of the subject matter related to HIV/AIDS.

HIV/AIDS Technical Writer - An individual who possesses appropriate knowledge and experience in recording technical information and who is sufficiently familiar with the HIV/AIDS and OHA practices and lexicon to produce accurate documentation.

Information Security SME - An individual or group who possesses expert level knowledge in all areas of the subject matter related to Information Security.

Information Technology SME - An individual or group who possesses expert level knowledge in all areas of the subject matter related to Information Technology.

Knowledge Manager - The individual responsible for the Program Knowledge Management Plan and the day-to-day management of the overall program knowledge management effort.

Knowledge SME - An individual or group who possesses expert level knowledge in all areas of the subject matter related to Knowledge Management.

Legislative & Regulatory Analyst - An individual who possesses the appropriate knowledge and experience in the area of legislation, regulation and public & program policy to provide comprehensive and reliable analysis.

Operations Manager - The individual responsible for the Operations Plan and the day-to-day management of the Operating Objective effort.

Performance Analyst - An individual who possesses the appropriate knowledge and experience in the area of performance management to provide comprehensive and reliable analysis.

Performance SME - An individual or group who possesses expert level knowledge in all areas of the subject matter related to Performance Management.

Policy Analyst - An individual who possesses the appropriate knowledge and experience in the area of Program policy to provide comprehensive and reliable analysis.

Policy Manager - The individual responsible for the overall interpretation day-to-day management of legislation and regulation affecting the Program and the development of Program Policies and Procedures effort.

Policy SME - An individual or group who possesses expert level knowledge in all areas of the subject matter related to Policies & Procedures.

Program Coordinator - An individual who possesses the appropriate knowledge and experience in the area of the Program to provide reliable day-to-day administration of all program activities.

Program Management SME - An individual or group who possesses expert level knowledge in all areas of the subject matter related to Program Management.

Program Manager - The individual responsible for the overall Program Management Plan and the day-to-day management of the OHA Program Management effort. This individual possesses the management knowledge and experience to provide expertise in any and all aspects of the program planning and management. HIV/AIDS technical expertise may not be necessary for this role.

Quality Assurance Analyst - An individual who possesses the appropriate knowledge and experience in the area of quality assurance to provide comprehensive and reliable analysis.

Regional SME - An individual or group who possesses expert level knowledge in all areas of the subject matter related to a specific geographic region.

Resource Analyst - An individual who possesses the appropriate knowledge and experience in the area of Program resource allocation and management to provide comprehensive and reliable analysis.

Risk Analyst - An individual who possesses the appropriate knowledge and experience in the area of risk management to provide comprehensive and reliable analysis.

Standards Manager - The individual responsible for the Program Standards Management Plan and the day-to-day management of the overall program standards management effort.

Standards SME - An individual or group who possesses expert level knowledge in all areas of the subject matter related to Standards Management.

Strategic Planner - An individual or group who possesses the appropriate knowledge and experience in the areas of program policy, Agency and bureau strategies, HIV/AIDS issues and interventions and a comprehensive knowledge related to OHA and its partners to provide an overall Program plan.

Appendix F: Knowledge Descriptions

Current HIV/AIDS Funding - Knowledge of the current funding for HIV/AIDS activities.

Current HIV/AIDS Strategies – An understanding of the prevalent HIV/AIDS technical strategies reflecting USG, GAC and Agency guidance.

External Guidance – Familiarity with guidance provide to OHA, in its Oversight role, by organizations and entities external to OHA.

GAC and Agency Budget Direction – Knowledge of guidance provided to the Operating Unit by the GAC and the Agency. This will be reflective of guidance provided to the Agency by OMB.

GAC and Agency Mission and Goals – An understanding of Agency and GAC management and performance objectives.

Governance Model – An understanding of the organization structure including roles, responsibilities, chain of command and accountability.

HIV/AIDS Technical Knowledge – Thorough medical, clinical and intervention knowledge related HIV/AIDS.

Industry Leading Practices – Familiarity with best practices employed by other programs and organizations in managing HIV/AIDS related activities.

Local Conditions and Needs – A thorough familiarity of the local HIV/AIDS situation and an understanding of steps required to provide adequate interventional support.

Operational Guidance – Knowledge of the management and technical guidance provided to Operating Units by OHA Oversight. This guidance will reflect Executive Guidance provided to OHA by external entities.

Partner Capabilities – A knowledge of the resources and services available from a given partner or team of partners.

Planned HIV/AIDS Appropriations – Knowledge of the anticipated future funding for HIV/AIDS activities.

Policies and Procedures – An understanding of the OHA Policies and Procedures Governing HIV/AIDS activities.

Previous Activities – Historical knowledge related to a given program or activity and to activities similar to the activity in question.

Program Budget Guidance - Knowledge of guidance provided to the OHA by the GAC and OMB.

Program Management Information – Detailed knowledge of the various types of management and technical information generated by an HIV/AIDS program or activity.

Program Management Performance Criteria – Familiarity with the standards and metrics used to measure the effectiveness of a program’s performance.

Program Mission and Goals – An understanding of the fundamental purpose for the implementation of a program or activity and how they relate to and impact the day-to-day operating objectives and performance goals.

Program Operating Environment – Familiarity with the general circumstances, issues, situation and location of a given activity.

Program Policies and Procedures – see *Policies & Procedures*

Program Results – The information generated by a specific program or activity indicating achievements as well as financial and technical performance against established standards.

Program Standards – An understanding of the policies, procedures, guidance and management / performance metrics established for the oversight and implementation of HIV/AIDS related activities.

Resource and Service Usage – Knowledge related to the availability and application of resources and services.

Standard Reporting Formats – Familiarity with the general format and informational contents of standard electronic or manual reports.

Target Audience – An understanding of the makeup, expectations and needs of a group for whom a service or information will be provided.

Technical Performance Indicators – Familiarity with the set of indicators applied to program technical performance measures, across all activities, in order to gauge the effectiveness of the activity.

Technical Performance Metrics – Familiarity with the values, applied to the Technical Performance Indicators that indicate level of performance effectiveness.

Appendix G: Consolidated Technical Services

FEA PMO SRM Consolidated Services	
Back Office Services	
Assets/Materials Management	<ul style="list-style-type: none"> ▪ Asset Transfer, Allocation and Maintenance ▪ Property/Asset Management
Development and Integration	<ul style="list-style-type: none"> ▪ Enterprise Application Integration
Financial Management	<ul style="list-style-type: none"> ▪ Auditing ▪ Billing and Accounting ▪ Budget Execution (*) ▪ Credit/Charge ▪ Debt Collection ▪ Expense Management ▪ Financial Reporting ▪ Payment/Settlement ▪ Revenue Management
Business Analytic Services	
Analysis and Statistics	<ul style="list-style-type: none"> ▪ Demographics (*) ▪ Population and Health (*)
Business Intelligence	<ul style="list-style-type: none"> ▪ Decision Support and Planning
Business Management Services	
Investment Business Management	<ul style="list-style-type: none"> ▪ Budgeting (*) ▪ Strategic Planning and Management
Management of Process	<ul style="list-style-type: none"> ▪ Business Rule Management ▪ Change Management ▪ Governance/Policy Management ▪ Operations Planning (*) ▪ Performance Management (*) ▪ Program/Project Management ▪ Quality Management ▪ Requirements Management ▪ Standards Management (*) ▪ Strategic Planning (*)
Supply Chain Management	<ul style="list-style-type: none"> ▪ Invoice/Requisition Tracking and Approval ▪ Sourcing Management
Third Party Services (*)	<ul style="list-style-type: none"> ▪ Award Management (*) ▪ Dispute Resolution (*) ▪ Offering Response Management (*) ▪ Performance Management (*) ▪ Solicitation Development (*)
Digital Asset Services	
Document Management	<ul style="list-style-type: none"> ▪ Document Development (*) ▪ Document Imaging and OCR ▪ Document Review and Approval ▪ Document Revisions ▪ Library/Storage
Knowledge Management	<ul style="list-style-type: none"> ▪ Information Mapping/Taxonomy ▪ Information Sharing ▪ Knowledge Capture ▪ Knowledge Distribution and Delivery
Support Services	
Collaboration	<ul style="list-style-type: none"> ▪ Document Library

Appendix H: Technical Services Gap Analysis

Business Application Area	As-Is Application	USAID Initiatives	Assessment
Strategic Management	OPIN, BDRC, FSD, Ask Paul, Economic & Social Database		The Strategic Management business application area provides support for Program strategic planning and budgeting (global). Currently this need is being met by heroic efforts and a few small applications which meet a niche. There is a need to develop a workflow engine and standards. Workflow services can work in conjunction with other services and applications to automate the flow of business transactions such as document creation. Existing tools such as Documentum can assist to facilitate this service. In addition, there is a need to create, disseminate, and enforce Program policies & procedures and guidance. These results (policies & procedures and guidance) can be incorporated into Knowledge Management business application area.
Operational Management	AFR OYB, OYB Budget Spreadsheets		The Operational Management business application area provides support for Program operational planning and budgeting at the OU level. Currently this need is not being met by an application/system. Several smaller Cuff records applications such as the Africa Bureau OYB spreadsheet are being used. In addition, emphasis needs to be placed on developing and enforcing standards, increase collaboration/communication globally, information sharing globally, and building the framework to support this.
Service Delivery to Field	FSD, NewVern		The Service Delivery to Field business area provides support OHA's role in centrally procuring HIV/AIDS products and services for the missions. Similar to the Strategic Management business application area needs are currently being met by niche applications/systems. For example, NewVern has been developed to meet the contraceptive commodity need. Improvements can be made by investigating the possibility of creating one commodity system or expanding NewVern with additional functionality covered by FSD. Efficiency can increase by providing missions access to this improved commodity system. This can be done with a web-enabled catalog of products and services against which OU can place orders.
Knowledge Management	Dolphn, OPIN, Ask Paul	EIS, PPC KM, CDIE KM	The Knowledge Management business application area shall provide a consistent suite of services which are accessed through a single information point. Currently there is no single source for Program and technical knowledge. Current applications such as Ask Paul and OPIN need to be integrated into a single data access point and advertised to all potential users looking for Program knowledge. The Economic and Social Database is used for statistical information on socio-economic trends. There is a need to aggregate such data into a central repository for analysis, drill-down functionality, and reporting. This need can be met with a knowledge management system and an Executive Information System supported by a data mart. The knowledge management initiatives worked on by PPC and CDIE further supports this business area. There is a need to leverage common knowledge taxonomy

Business Application Area	As-Is Application	USAID Initiatives	Assessment
			for the HIV/AIDS Program. Emphasis will need to be placed on the quality of the data for HIV/AIDS Program and easy access through a central web-enabled location for the Program, Agency, OUs, and other appropriate knowledge users such as partners (NGOs, PVOs), influencers (S/CAG, State, OMB), and suppliers (HHS, CDC).
Financial Management	Phoenix, MACS, MAL, GHED, ARD, FTS	POD	The Financial Management business application area consolidates the services required to support making informed financial management decisions. Currently the primary system to support this business area is Phoenix with supporting secondary systems such as MACS and MAL. The POD initiative provides the users at the missions the Phoenix functionality they need from a central repository. Similar to Knowledge Management business application area, current initiatives are a first step to fill the gap. These initiatives should have HIV/AIDS Program participants to see if Program needs will be met. There is a need that initiative data be accessible. Specifically, systems need to be developed based on pre-defined standards. To support exposing Phoenix functionality within a web services environment, appropriate interfaces need to be developed using integration technologies. This further leverages and builds upon the current POD initiative under development.
Procurement & Asset Management	NMS A&A, ARD, BDRC	PSIP, eAcquisition, eGrants	The Procurement and Asset Management business application area consolidates the services required to support acquiring and Managing HIV/AIDS procurements. Currently the primary system supporting this effort is NMS A&A with the assistance/integration of ProDoc (document management system). The current procurement improvement projects should look to leverage federal e Acquisition and eGrants work to facilitate putting these capabilities in place. This also addresses the OMB guidance by leveraging the Quicksilver initiatives. Data access from procurement and asset management systems could be needed by other systems. Procurement and asset management systems need to be folded into Program architecture. This will give the HIV/AIDS Program access to procurement data for integration and give procurement systems access to other services throughout the infrastructure.

Core Infrastructure Services	As-Is Application	USAID Initiatives	Assessment
External Transaction/Data Exchange Processor			Build a data exchange service. Develop a predefined interface allowing linked applications to exchange data with Agency applications.
Real Time Communication			Currently Agency supports many of these services such as telephony, instant messaging, and Video/audio conferencing.
Search			Currently search services are provided by the Agency. Emphasis on taxonomy and data structure will need to be addressed especially in regards to the knowledge management.
Messaging Service			Several messaging services are supported by the Agency. Secure (over USAID network) instant messaging service could be a cost effective method to increase collaboration and communication between Agency employees (domestic/overseas).
Reporting (Predefined & Ad-Hoc)	Crystal Report	EIS (management reporting)	Need to generate a reporting service which can support generating reports for HIV/AIDS Program stakeholder and executives.
Support Public Queries			Need additional services to compliment suite of services to support information requests from the Agency employees and customers. For example, need service to track queries. This includes documenting the actual query, point of contact, date and time information etc.
USAID Public Access	www.usaid.gov		Currently being provided
Access & Security			Develop a centralized security infrastructure consistent with eAuthentication, and supports authentication, encryption, auditing, intrusion detection, and certificate management.
Workflow Processor			Develop a workflow processor capability that supports the HIV/AIDS Strategic Planning and Budgeting business process.
Rules Processor			Investigate development of a service that allows data manipulation based on predefined rules.
Process Controller/Scheduler			Develop a service to support event-based process execution.
Integration Manager			Continue to investigate use of WebSphere.
Audit Logging			Develop non-intrusive service for tracking and recording transactions which are stored in one repository.
Directory Processor			Need to investigate further
Report Processor	Crystal Enterprise		Institutionalize Crystal Enterprise as the USAID report processor.

Core Infrastructure Services	As-Is Application	USAID Initiatives	Assessment
Content Manager			Continue to investigate use of WebSphere.
Document/Records Management	Documentum		Institutionalize Documentum as the document/records management solution for USAID. Expose functionality through a web services framework.
Data Aggregation/Translation			Develop suite of services to support the process information gathering and dissemination. Continue to investigate use of data mart
Database Access and Control	Oracle, SQL Server		Currently being provided.

Enabling IT Service	As-Is Application	USAID Initiative	Assessment
Service Level Management			Develop service suite to support set of capabilities to manage service levels for IT. For example, a service that monitors "up-time" for an application based upon contractors SLA.
Change Management			Develop service to support capabilities to establish and execute automation when changes are made in the IT infrastructure (roll back).
Configuration Management			Investigate current configuration management services available to HIV/AIDS Program.
Security Risk Management			Enforce and continue using ISSO standards, assessments, and guidance.
Contingency Management			Develop set of capabilities for planning and execution of contingency IT operations.
Infrastructure/ Operations			Investigate USAID capabilities to manage and operate IT infrastructure for HIV/AIDS Program.
Program Management			
Backup & Recovery			Investigate backup & recovery services for HIV/AIDS Program
Software Management			Investigate services that record and maintain software licensing data and automated software distribution.
Service Support			Develop services to support IT users of new application and services. Investigate and continue supporting current IT service support.
Data Management			Investigate and enforce current data management services and extend to HIV/AIDS Program. Develop and disseminate data standards, data exchange rules, and policies & procedures regarding data.
Collaboration Services	MS Outlook		Investigate additional services which can be used to increase collaboration (domestic/ overseas)
Investment Management			Investigate investment management services currently used and align with PMO efforts.

Appendix I: Applicable Legislation

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

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

- Pub. L. 106-554, Section 515 of the Treasury and General Government Appropriation Act for Fiscal Year 2001
- Pub. L. 108-7, Section 533, Foreign Operations, Export Financing, and Related Programs Appropriations Act, 2003
- Pub. L. 480, Section 416 (b), FAS Online - Food Aid
- 22 U.S.C. 63, Support for Eastern European Democracy (SEED) Act of 1989
- 22 U.S.C. 2391, Missions and Staffs Abroad
- 28 U.S.C. 1920, Taxation of Costs
- 31 U.S.C. 1108, Preparation and Submission of Appropriations Requests to the President
- 31 U.S.C. Section 1301(a) -- General Appropriations Law
- 31 U.S.C. 1341, Limitations on Expending and Obligation
- 31 U.S.C. 1501, Documentary Evidence Requirement for Government Obligations
- 31 U.S.C. 1502, Balances Available
- 31 U.S.C. 1535, 1536, Economy Act
- 31 U.S.C. 1552, Procedure for Appropriation Accounts Available for Definite Periods
- 31 U.S.C. 1554, Audit, Control, and Reporting
- 31 U.S.C. 3512 (5)b
- 31 U.S.C. 3527-3529
- 31 U.S.C. 3528, Responsibilities and Relief from Liability of Certifying Officials
- 31 U.S.C. 3716, Debt Collection Act of 1982
- 31 U.S.C. 3721, The Claims Act of 1964
- 31 U.S.C. 3726, Payment for Transportation
- 31 U.S.C. 6301-8, Federal Grants and Cooperative Agreements Act
- 40 U.S.C. 486, Policies, Regulations, and Delegations
- 40 U.S.C. 757, Information Technology Fund
- 41 U.S.C. 253, Competition in Contracting Act
- 42 U.S.C. 1651, and following (Defense Base Act)

Appendix J: References and Interviews

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

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

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

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

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

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

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

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

USAID Strategic Plan, Revised 2000

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

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

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

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

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

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

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

- PRIME

Appendix K: Ongoing Projects

Financial and Mixed Financial Systems Maintenance

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

Financial Systems Integration (FSI) – Phoenix System

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

Strategic Budgeting Initiative

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

- a) integration of performance information into the budget decision-making process;
- b) demonstration of what USAID budget allocations would look like absent earmarks and directives; and

- c) creation of analytical tools that can be used as inputs into Agency resource allocation decisions.

Phoenix Overseas Deployment Project

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

Procurement System Improvement Project (PSIP)

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

Appendix L: List of Acronyms

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

ECS	Electronic Certification System
EPS	Electronic Payment Schedule
FAR	Federal Acquisition Regulations
FBO	Faith Based Organization
FEA	Federal Enterprise Architecture
FEAF	Federal Enterprise Architecture Framework
FFMIA	Federal Financial Management Improvement Act
FM	Financial Management
FMFIA	Federal Management Financial Integrity Act
FTE	Full Time Equivalent
FY	Fiscal Year
GAC	Global Health Coordinator
GFATM	Global Fund to Fight AIDS, Tuberculosis, and Malaria
GH	Global Health Bureau
GL	General Ledger
GMRA	Government Management Reform Act
GOALS	Government On-line Accounting Link System
GPRA	Government Relief & Result Act
GSA	General Services Administration
HHS	Health & Human Services
IA	Implementing Agency
ICASS	International Cooperative Administrative Support Services
IPAC	Intra-Governmental Payment and Collection
IRM	Office of Information Resources Management
IRS	Internal Revenue Service
JFMIP	Joint Financial Management Improvement Program
LOC	Letter of Credit
M	Management Bureau
MACS	Mission Accounting and Control System
MAL	MACS Auxiliary Ledge
MCA	Managerial Cost Accounting

MPE	Manage Portfolio Execution
MTCT	Mother to Child Transmission
NFC	National Finance Center
NGO	Non Governmental Agency
NIH	National Institutes of Health
NMS	New Management System
OE	Operating Expense
OHA	Office of HIV/AIDS
OP	Office of Procurement
OU	Operating Unit
OYB	Operating Year Budget
OMB	Office of Management and Budget
ORG	Organization
PB	Pillar Bureau
PEPFAR	President's Emergency Plan for AIDS Relief
PMS	Payment Management System
PO	Program Oversight
PPC	Policy and Program Coordination
PPMM	Program Performance, Management and Monitoring
PRM	Performance Reference Architecture
PSC	Personal Service Contractor
PVO	Private Voluntary Organization
QA	Quality Assurance
RB	Regional Bureau
SBA	Small Business Administration
SCRM	Service Component Reference Model
SEED	Support for Eastern European Democracy
SGL	Standard General Ledger
SME	Subject Matter Expert
SO	Strategic Objective
SOW	Statement of Work

SP	Sub-processes
SRM	Service Reference Model
TCO	Terminating Contracting Officer
TIN	Taxpayer Identification Number
TOP	United States Treasury Offset Program
UN	United Nations
UNAIDS	United Nations AIDS
USAID	United States Agency for International Development
USDO	United States Disbursing Office
W	Washington
WHO	World Health Organization
W, N&E	Wants, Needs & Expectations

Appendix M: List of Systems

Following is a complete list of the systems / applications / tools referenced in the various processes outlined in the As-Is Business and Application Architecture documents.

Application Name	Acronym	Type	Description
Annual Report Database	ARD	System	Agency wide database that is used to collect information from operating units annually for reporting in Washington DC. The database collects both narrative and indicator results information including baseline, targets and actuals.
Surveillance DB		System	Desktop based Microsoft Access database which provided information on the AIDS pandemic and on the HIV seroprevalence (infection) in population groups in developing countries.
Field Support Database	FSD or FSDB	System	The Field support database maintains all field support data for USAID. Two front end web applications are provided. The first is the GH portion which allows the missions to enter their field support information for the current fiscal year, summarize that data into different views, view previous year data and export current and past data to excel to graph and use the data. The second front end web application is the NGH portion. This portion displays the data entered by the missions and allows that data to be processed by the pillar bureaus and viewed by their regional bureaus.
Global Health Expenditures Database	GHED	System	The Global Health Expenditures Database (GHED) is a web-based application designed to collect expenditures data from USAID Missions and CA's to make data collection more efficient for PHNI and improve the Agency's ability to enforce business rules in reporting.
AFR Budgeting	cuffs/MS Excel	Tool	Microsoft Excel based reporting tool to support accounting of obligated funds in the Africa Bureau.
HIV/AIDS Programmatic Database	PDB	System	Communications and resource sharing system. Designed by Synergy Project for USAID and its HIV/AIDS contractors. System allows manual data entry of obligation and outcome survey data by implementing Agency personnel which is verified consistency and anomalies.
Newvern System		System	Web-based expenditure tracking system for HIV/AIDS program commodities. Including supply chain tracking for mission commodities (procurement, financial, shipping, forecasting).
New Management System A&A	NMS A&A (aka A&A DB)	System	A&A is the Acquisition and Assistance system used to create requests for acquisition, assistance and interagency agreement awards and modifications, generate various documents required during the procurement process, record awards, and record receipt and acceptance of deliverables. A&A is used by Bureaus to generate their requests, and by the Office of Procurement and other obligating officials to create awards.
ProDoc		Application	Contract writing application. Quarterly updates sent to A&A.
AID Worldwide Accounting and Control	AWACS	System	AWACS contains the Agency's general ledger and reporting functions as well as accounts payable, accounts receivable,

Application Name	Acronym	Type	Description
System			and funds management. Phoenix replaced AWACS as the Agency's financial management system, but AWACS will remain in use for reporting historical data.
Documentum		Application	Enterprise Content Management (ECM) package with integrated vertical applications such as eRoom, ACTS, E-mail Tracking, Assist, and Collaboration.
Mission Accounting and Control System	MACS	System	Mission Accounting and Control System (MACS) is a computer-based accounting and financial management system. It is at the center of a process which provides financial information to the United States Agency for International Development in Washington, D.C. (USAID/W), as well as to Mission management and other interested parties. MACS contains programs which maintain data security and recovery, reconcile accounting records for specific periods, archive historical data and meet various other accounting and financial management objectives. MACS is an on-line, interactive, fully integrated processing system in which data is updated continuously as transactions are posted via computer terminal.
Mission Auxiliary Ledger	MAL	System	The MAL is a custom-developed central repository and staging area that was developed to aggregate MACS data. Each month, MACS transaction-level data is extracted to an ASCII text file and submitted to USAID/W. USAID loads the file into the MAL, which summarizes transactional data, and then creates a second file that is posted to Phoenix via a custom-developed batch process.
Online Presidential Initiative Network	OPIN	System	A PPC web based system used to track the presidential Initiatives. Used to collect quarterly budget and performance data.
Phoenix		System	Phoenix is the Agency core financial system used for processing Agency transactions in the areas of general ledger, budget execution/funds control, accounts payable, disbursements, accounts receivable, loan management/credit, and cost allocation.
OYB MS Excel Spreadsheet	cuffs/MS Excel	Tool	The Budget office uses an MS Excel OYB spreadsheet to track OYB. Phoenix does not track back to the original funding level so the office established the OYB spreadsheet to track every transfer and the historical information for the year.
TraiNet		Application	TraiNet is a federal desktop application used by Missions and partner organizations to capture information about training events and trainees. Each desktop client can exchange information with other clients and a central data repository.
e-Focus	ARS	System	e-Focus is a manual data entry web-based system to update accruals and crosswalks.
Red Light Green Light		System	Web-based system for tracking high level field funds from appropriation to obligation.
Business Objects		Tool	Business Objects is an ad-hoc reporting tool that works in conjunction with Phoenix. It provides users with ad hoc query and custom reports. Functionality includes cross-tab reports, trends, graphs, and drill-down features. Business

Application Name	Acronym	Type	Description
			Objects replaced Impromptu (previous Agency ad-hoc reporting tool).
Crystal Enterprise		Tool	Web-based ad-hoc tool for reporting and analysis. Functionality for Wizard based querying and SQL statements with exporting capabilities to PDF, Microsoft Excel, Microsoft Word, and XML.
Coding System			These were identified early in the project by Ken.
Dolphn			The Data Online for Population, Health and Nutrition (DOLPHN) system is an online statistical data resource containing selected current and historical country-level demographic and health indicator data. The DOLPHN system is designed to provide users with quick and easy access to frequently used statistics and can be helpful as both a reference and analytical tool.
CDIE Statistical Database			These were identified early in the project by Ken.
Ask Paul			Ask Paul is a database targeted to OHA employees. It contains briefings, memos, and PPT presentations. Content is added on a daily basis.
Financial Tracking System	FTS	System	A comprehensive financial planning and tracking tool for USAID's Bureau for Global Health (GH). This system tracks CORE, Field Support, MAARD and OE funds at the agreement level through all fund stages (planned, received, committed, obligated). In addition, the system records result package and agreement information and the emphasis area coding for CORE obligations.

Appendix N: Service Reference Model Alignment

Customer Services		
The Set Of Capabilities That Are Directly Related To The End Customer, The Interaction Between The Business And The Customer, And The Customer-Driven Activities Or Functions		
Service Type	Component	Process Reference
CUSTOMER RELATIONSHIP MANAGEMENT	Call Center Management	
	Customer Analytics	
	Sales and Marketing	
	Product Management	
	Brand Management	
	Customer / Account Management	
	Contact Management	
	Partner Relationship Management	
	Customer Feedback	
	Surveys	
CUSTOMER PREFERENCES	Personalization	
	Subscriptions	
	Alerts and Notifications	
	Profile Management	
CUSTOMER INITIATED ASSISTANCE	Online Help	
	Online Tutorials	
	Self-Service	
	Reservations / Registration	
	Multi-Lingual Support	
	Assistance Request	
	Scheduling	

Process Automation Services		
The Set Of Capabilities That Support The Automation Of Process And Management Activities That Assist In Effectively Managing The Business		
Service Type	Component	Process Reference
TRACKING AND WORKFLOW	Process Tracking	
	Case / Issue Management	
	Conflict Resolution	
ROUTING AND AUTOMATION	Inbound Correspondence Management	
	Outbound Correspondence Management	

Business Management Services		
The Set Of Capabilities That Support The Management And Execution Of Business Functions And Organizational Activities That Maintain Continuity Across The Business And Value-Chain Participants		
Service Type	Component	Process Reference
MANAGEMENT OF PROCESS	Change Management	Oversight.Program Communications.Identify and Recommend Changes to Agency Communications Infrastructure
	Configuration Management	
	Requirements Management	Oversight.Program Information.Identify Knowledge Requirements Operations.Program Information.Identify Operational Information Need
	Program / Project Management	Oversight.Executive Guidance.Develop and Maintain Long Range HIV/AIDS Program Plan Oversight.Operational Coordination.Review and Analyze Program Management Data Oversight.Program Communications.Evaluate Communication Plan Operations.Operational Coordination.Coordinate Program Activities
	Governance / Policy Management	Oversight.Executive Guidance.Assess Needed Changes to Policies & Procedures Oversight.Executive Guidance.Develop and Maintain Program Policies and Procedures Oversight.Executive Guidance.Evaluate Program Policies and Procedures Oversight.Executive Guidance.Understand Internal and External Forces affecting the HIV/AIDS Program Oversight.Governance.Assess Needed Changes to Governance Model Oversight.Governance.Develop and Maintain Governance Model Oversight.Governance.Evaluate Program Governance Model Oversight.Operational Coordination.Enforce Program Guidance
	Quality Management	Oversight.Program Information.QA / Information Assurance Operations.Program Information.Quality Assurance

Business Management Services		
The Set Of Capabilities That Support The Management And Execution Of Business Functions And Organizational Activities That Maintain Continuity Across The Business And Value-Chain Participants		
Service Type	Component	Process Reference
	Business Rule Management	Oversight.Operational Guidance.Assess Needed Changes to Operational Guidance Oversight.Operational Guidance.Develop and Maintain Operational Guidance Operations.Operational Guidance.Determine and Articulate Desired Results
	Risk Management	
	Strategic Planning (*)	Oversight.Operational Guidance.Review & Approve Operating Unit HIV/AIDS Strategies Oversight.Resources and Services.Analyze Plan Support Needs
	Operations Planning (*)	Oversight.Operational Coordination.Monitor and Evaluate Resource Usage and Services Oversight.Operational Coordination.Develop Resource and Services with Partners Operations.Operational Guidance.Formulate Operating Plan Operations.Operational Guidance.Obtain Approval Operations.Operational Guidance.Develop Resource and Service Plans with Partners Operations.Operational Coordination.Negotiate Operating Plan Agreement Operations.Operational Coordination.Complete Activity Planning Requirements Operations.Resources and Services.Inventory Resources Operations.Resources and Services.Analyze Service and Resource Needs
	Standards Management (*)	Oversight.Program Standards.Assess Needed Changes to Program Standards Oversight.Program Standards.Develop and Maintain Program Management Criteria Oversight.Program Standards.Evaluate Program Standards
	Performance Management (*)	Oversight.Program Standards.Develop and Maintain Technical Performance Indicators Oversight.Operational Guidance.Evaluate Program Guidance Effectiveness Oversight.Operational Guidance.Analyze HIV/AIDS Program Results Oversight.Program Information.Collect and Aggregate Program Results Operations.Operational Coordination.Monitor and Evaluate Program Performance Operations.Program Information.Review Portfolio Operations.Program Information.Evalute Results
ORGANIZATIONAL MANAGEMENT	Workgroup / Groupware	
	Network Management	
INVESTMENT MANAGEMENT	Strategic Planning & Management	
	Portfolio Management	
	Performance Management	

Business Management Services		
The Set Of Capabilities That Support The Management And Execution Of Business Functions And Organizational Activities That Maintain Continuity Across The Business And Value-Chain Participants		
Service Type	Component	Process Reference
	Budgeting (*)	Oversight.Operational Coordination.Coordinate & Endorse HIV/AIDS Budget Submissions Oversight.Operational Coordination.Submit HIV/AIDS Budget for Approval
SUPPLY CHAIN MANAGEMENT	Procurement	
	Sourcing Management	Operations.Resources and Services.Inventory Resources
	Catalog Management	
	Ordering / Purchasing	
	Invoice / Requisition Tracking and Approval	
	Storefront / Shopping Cart	
THIRD PARTY SERVICES (*)	Returns Management	
	Solicitation Development (*)	Operations.Resources and Services.Draft & Execute Procurement Documents
	Offering Response Management (*)	
	Award Management (*)	
	Dispute Resolution (*)	
	Performance Management (*)	

Digital Asset Services		
The Set Of Capabilities That Support The Generation, Management And Distribution Of Intellectual Capital And Electronic Media Across The Business And Extended Enterprise		
Service Type	Component	Process Reference
CONTENT MANAGEMENT	Content Authoring	
	Content Review and Approval	
	Tagging and Aggregation	
	Content Publishing and Delivery	
	Syndication Management	
DOCUMENT MANAGEMENT	Document Imaging and OCR	
	Document Referencing	
	Document Revisions	
	Library / Storage	
	Document Review and Approval	
	Document Conversion	
	Indexing	
	Classification	
	Document Development (*)	Oversight.Program Communications.Develop Program Communication Plan Operations.Program Information.Prepare Annual Report
KNOWLEDGE	Information Retrieval	

Digital Asset Services		
The Set Of Capabilities That Support The Generation, Management And Distribution Of Intellectual Capital And Electronic Media Across The Business And Extended Enterprise		
Service Type	Component	Process Reference
MANAGEMENT	Information Mapping / Taxonomy	Operations.Program Information.Collect and Aggregate Activity Information
	Information Sharing	Oversight.Program Communications.Disseminate Program Guidance Oversight.Program Communications.Disseminate Program Management Information Oversight.Program Communications.Disseminate HIV/AIDS Knowledge Oversight.Program Information.Respond to Program Information Requests Oversight.Resources and Services.Advise and Consult Operations.Program Information.Respond to Operational Informational Requests
	Categorization	
	Knowledge Engineering	
	Knowledge Capture	Oversight.Program Information.Collect and Consolidate "Lessons Learned" Oversight.Program Information.Collect and Consolidate HIV/AIDS Knowledge Oversight.Resources and Services.Develop Program Support Lessons Learned Operations.Resources and Services.Develop Lessons Learned
	Knowledge Discovery	
	Knowledge Distribution and Delivery	
	RECORDS MANAGEMENT	Record Linking / Association
	Document Classification	
	Document Retirement	
	Digital Rights Management	

Business Analytic Services		
The Set Of Capabilities That Support The Extraction, Aggregation And Presentation Of Information To Facilitate Decision Analysis And Business Evaluation		
Service Type	Component	Process Reference
ANALYSIS AND STATISTICS	Modeling	
	Predictive	
	Simulation	
	Mathematical	
	Structural / Thermal	
	Radiological	
	Forensics	
	Population and Health (*)	
	Demographics (*)	
VISUALIZATION	Graphing / Charting	
	Imagery	
	Multimedia	
	Mapping / Geospatial / Elevation / GPS	
	CAD	
BUSINESS INTELLIGENCE	Demand Forecasting / Management	
	Balanced Scorecard	
	Decision Support and Planning	
	Data Mining	
REPORTING	Ad Hoc	
	Standardized / Canned	
	OLAP	

Back Office Services		
The Set Of Capabilities That Support The Management Of Enterprise Planning Transactional-Based Functions		
Service Type	Component	Process Reference
DATA MANAGEMENT	Data Exchange	
	Data Mart	
	Data Warehouse	
	Meta Data Management	
	Data Cleansing	

Back Office Services		
The Set Of Capabilities That Support The Management Of Enterprise Planning Transactional-Based Functions		
Service Type	Component	Process Reference
	Extraction and Transformation	
	Loading and Archiving	
	Data Recovery	
	Data Classification	
HUMAN RESOURCES	Recruiting	
	Resume Management	
	Career Development and Retention	
	Time Reporting	
	Awards Management	
	Benefit Management	
	Retirement Management	
	Personnel Administration	
	Education / Training	
	Health and Safety	
	Travel Management	
FINANCIAL MANAGEMENT	Billing and Accounting	
	Credit / Charge	
	Expense Management	
	Payroll	
	Payment / Settlement	
	Debt Collection	
	Revenue Management	
	Auditing	
	Activity – Based Management	
	Currency Translation	
	Financial Reporting	
	Budget Execution (*)	
ASSETS / MATERIALS MANAGEMENT	Property / Asset Management	
	Asset Cataloging / Identification	
	Asset Transfer, Allocation, and Maintenance	
	Facilities Management	

Back Office Services		
The Set Of Capabilities That Support The Management Of Enterprise Planning Transactional-Based Functions		
Service Type	Component	Process Reference
	Computers / Automation Management	
DEVELOPMENT AND INTEGRATION	Enterprise Architecture	Oversight.Program Communications.Develop and Maintain Program Business and Technical Architecture
	Legacy Integration	
	Enterprise Application Integration	
	Data Integration	
	Instrumentation and Testing	
	Software Development	
HUMAN CAPITOL / WORKFORCE MANAGEMENT	Resource Planning and Allocation	
	Skills Management	
	Workforce Directory / Locator	
	Team / Organization Management	
	Contingent Workforce Management	
	Workforce Acquisition / Optimization	

Support Services		
The Set Of Cross-Functional Capabilities That Can Be Leveraged Independent Of Service Domain Objective Or Mission		
Service Type	Component	Process Reference
SECURITY MANAGEMENT	Identification and Authentication	
	Access Control	
	Encryption	
	Intrusion Detection	
	Verification	
	Digital Signature	
	User Management	
	Role / Privilege Management	
	Audit Trail Capture and Analysis	

Support Services The Set Of Cross-Functional Capabilities That Can Be Leveraged Independent Of Service Domain Objective Or Mission		
Service Type	Component	Process Reference
COLLABORATION	Email	
	Threaded Discussion	
	Document Library	
	Shared Calendaring	
	Task Management	
SEARCH	Query	
	Precision / Recall Ranking	
	Classification	
	Pattern Matching	
COMMUNICATION	Real Time / Chat	
	Instant Messaging	
	Audio Conferencing	
	Video Conferencing	
	Events / News Management	
	Community Management	
	Computer / Telephony Integration	
SYSTEMS MANAGEMENT	License Management	
	Remote Systems Control	
	System Resource Monitoring	
	Software Distribution	
FORMS MANAGEMENT	Forms Creation	
	Forms Modification	