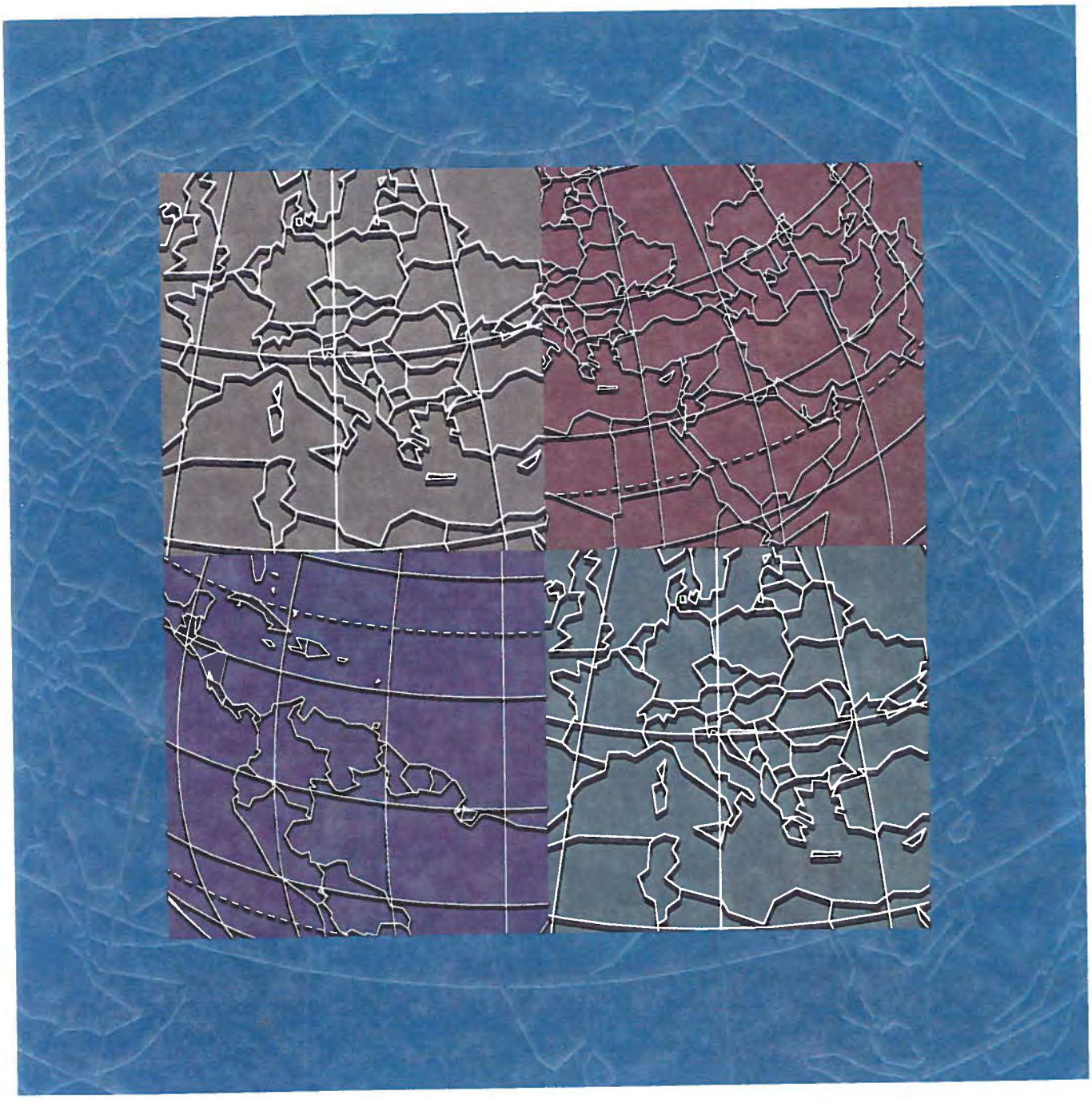
USAID Information Management Strategic Plan

Fiscal Years 2001-2005



OFFICE OF THE CHIEF INFORMATION OFFICER

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USAID

Information Management

Strategic Plan

Fiscal Years 2001 – 2005

Office of the Chief Information Officer
May 31, 2000

Foreword

Global economic, political and social stability is vital to U.S. national interests in the post-Cold War world. Working in concert with the Department of State and the international affairs community, USAID plays an essential role in promoting peace and stability worldwide through the effective application and management of over $7 billion in resources annually. Success in these efforts is directly linked to the success of the Agency's business areas in meeting their goals.

One of USAID's biggest challenges in the next five years lies in helping the Agency's business areas meet their goals through effective Information Management (IM). To meet this challenge, USAID began implementation of a new IM strategy that will improve business-area performance and compliance with the Clinger-Cohen and Government Performance and Results Acts and associated guidance. The approach provides Agency-wide IM leadership, identifying and incorporating industry-wide best practices and lessons-learned to improve management discipline.

Underlying the strategy is a fundamental change in the USAID IM philosophy. Faced with declining resources and an ever-increasing dependence on information technology (IT), the Agency refocused its efforts. Substantiated by internal and independent external reviews, the IM program moved from a philosophy of designing and building data systems to one of buying and integrating information management solutions. As a direct result, commercially-available off-the-shelf (COTS) tools began to replace proprietary and customized systems.

To facilitate this transition, contractor assistance was acquired to provide specialized IM advice, support and expertise. In the course of promoting innovative acquisition strategies, a single prime-contractor was acquired to improve system support and reduce redundancy. To this end, many existing IT contracts were either consolidated under the prime-contractor or terminated.

Overall IM program management was improved with the implementation of a capital investment process. Under the leadership of the Chief Information Officer and the Capital Investment Review Board (CIRB), current and proposed investments are reviewed, selected, managed and evaluated on an ongoing basis. Integrated as part of the budget and strategic planning process, the process successfully identified opportunities for improvement and system integration savings. And, information security was reinforced with the development and implementation of an Agency-wide Information Security Plan. Ensuring the confidentiality, integrity and availability of information resources, additional efforts are now underway to incorporate security requirements into every information system and investment.

These accomplishments, among others, successfully addressed the Agency's most critical current information requirements. The USAID Information Management Strategic Plan which follows identifies strategic Agency-wide IM drivers, needs, risks, vision, mission, goals, objectives and initiatives to support USAID in performing its mission and meeting the challenges the next five years present.

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USAID

The United States Agency for International Development (USAID) is the federal agency that manages U.S. foreign economic and humanitarian assistance programs. Its predecessors go back to the Truman administration, the Marshall Plan, reconstruction after World War II and the Point Four Program. Since that time, USAID has been the primary U.S. agent to help countries recover from disaster, escape poverty and become more democratic.

The Agency's influence far exceeds the scale of its funding. USAID contributes not only to development but also to broader U.S. national and foreign-policy interests. The United States' diplomatic, economic and military pre-eminence in the post-Cold War era helps USAID achieve this. By the same token, USAID helps the United States maintain its pre-eminence by remaining a premier development agency.

But, to remain a premier development agency in the twenty-first century, USAID must overcome significant challenges.

* The Agency must adapt to the changing political and economic context of U.S. foreign policy. Part of the change comes from a newly emerging global economy and the rise of worldwide environmental and health concerns. Increasingly, there is a need to manage "failed state" transitions, and with this need comes the growing importance of work to prevent conflict and promote reconciliation. There is also an increasing demand for assistance in recovery from and mitigation of man-made and natural disasters. At the same time, opportunities to work with non-governmental entities are expanding, and private organizations are increasing their capacity to contribute to development.

* USAID must collaborate more effectively with other donors and partners to enhance the effectiveness of combined resources in achieving shared objectives.

* USAID must respond to increased congressional demand for accountability and impact, as reflected in the Paperwork Reduction, Clinger-Cohen, Government Performance and Results and Government Management for Results Acts and related legislation and guidance, and

* USAID must be able to meet current obligations and continue ongoing operations while increasing efficiency, flexibility and consistency of purpose in the face of shrinking staff and declining budgets.

Vision

Recognizing its legacy and the challenges of the future, USAID's vision is that it will evolve into a model international development agency that has the operational flexibility, technical skills, and institutional strengths to meet twenty-first century global challenges.

Mission

The mission of USAID is to contribute to U.S. national interests by supporting the people of developing and transitional countries in their efforts to achieve enduring economic and social progress and to participate more fully in resolving the problems of their countries and the world.

Goals

USAID pursues its vision and mission through seven strategic goals: six in the area of Development and Humanitarian Assistance and one in Management. They are:

Broad-based Economic Growth and Agricultural Development Encouraged

USAID undertakes programs to expand and strengthen critical private markets, encourage more rapid and enhanced agricultural development and food security, and expand and make more equitable access to economic opportunity for the rural and urban poor.

Democracy and Good Governance Strengthened

USAID supports the transition to and consolidation of democratic regimes throughout the world through programs that strengthen democratic institutions and practices, foster a vibrant civic society, and encourage pluralism, inclusion, and peaceful conflict resolution.

Human Capacity Built Through Education and Training

USAID emphasizes expanding access to high quality basic education, especially for girls and women, and facilitates the responsiveness of in-country institutions of higher education through means such as international institutional partnerships.

World Population Stabilized and Human Health Protected

USAID focuses on interventions that contribute directly and in an integrated fashion to achieving both stabilization of the world's population and protection of human health.

The World's Environment Protected for Long-term Sustainability

USAID supports programs that reduce the threat of global climate change, conserve biological diversity, promote sustainable urbanization including pollution management, increase the use of environmentally sound energy services and encourage the sustainable management of natural resources.

Lives Saved, Suffering Reduced, and Conditions for Political and Economic Development Re-established

USAID applies both humanitarian and development assistance to support economic and political transitions to safeguard sustainable development in the post Cold-War era.

USAID Remains a Premier Development Agency

In support of its Management goal, USAID is working to enhance leadership to achieve development results and enhance management capacity to achieve results and deliver assistance resources.

Objectives

Each of the Agency's goals has specific Objectives associated with it. Within the Management goal are two Objectives, each of which have applicability to the USAID IM program:

Leadership and Learning Capacity to Achieve Results Enhanced

To ensure the Agency's continued leadership in research and technology development, policy, partnerships, performance measurement and evaluation, USAID is strengthening its recognition of the role that information and information technologies and access to them play in achieving sustainable development and humanitarian assistance goals.

Management and Delivery of Development Assistance Resources Improved

To achieve the best development results, USAID is working to improve its decision-making, financial, acquisition and assistance, human resources and information resources management.

Performance Goals

In support of its Management Goal Objectives, the Agency has identified nine Performance Goals, each of which depend upon the IM program:

Strengthened Technical Leadership and Research

To achieve its goals, USAID will address current challenges and prepares for the future through research, training, innovative approaches and partnerships.

Strengthened Partnerships

To promote partnerships, USAID will increase the percentage of USAID-managed assistance channeled through private voluntary organizations.

Improved Policies

The Agency will synthesize research, evaluation, implementation and other data into a clarification of issues, opportunities, strategies and policies for future programs through annual goal reviews and policy studies.

More Effective Performance Measurement and Evaluation

USAID will improve the measurement and evaluation of its performance by improving the quality of performance indicators and data, assessing the status of operational evaluations, conducing evaluation studies, creating performance information databases and improving access to development experience information.

More Effective Operational Decision-making

To ensure the timely accomplishment of critical reform objectives and external requirements while managing the demands of change processes affecting operations and associated information and administrative systems, USAID will develop and implement improved decision-making processes.

More Effective Human Resources Management

Faced with declining staff resources, the Agency will implement a dynamic workforce planning process to fill critical positions, retain qualified people, improve staff training and address possible changes in operational structure.

More Effective Acquisition and Assistance

USAID will broaden the use of performance-based contracting and results-oriented assistance instruments, provide cross-functional training, additional guidance and an exchange of best-practices.

More Effective Financial Management

USAID will implement a new core financial management system based on business process improvement and well-defined functional requirements.

More Effective Information Resources Management

The Agency will improve the supervision of the development, acquisition and implementation of information systems, increase responsibility and accountability of government employees for systems that work and support the Agency's goals and objectives and ensure that Agency investments are wisely selected and managed.

Information Management

Drivers

USAID accomplishes its mission by ensuring that people, organizations, and governments of developing and transition countries have access to the knowledge, services, and commodities that they need to pursue market-oriented economic growth, participate in public life, acquire skills, protect their health and manage their natural resources and environments.

New information technologies are transforming the way USAID does business and the terms of engagement. Due in part to globalization and the emergence of a new Information "E-conomy," Agency activities are increasingly global and cross-sectoral in scope and undertaken collaboratively with development partners, often with the private sector. Electronic transactions and networking are increasing the quality and speed of interventions and diversifying the sources of intellectual and institutional inputs for solutions.

This global context suggests conditions for the 'workplace' with implications for USAID capital investments in information technology. 'Anytime, anywhere work,' rapid Net access and facility with distance collaboration, including virtual conferencing, are increasingly useful and expected. Electronic consultative processes and filing are within a year or two of becoming commonplace. IM capacity on a par with Agency partners has become more important than ever, as USAID increases its reliance on collaborative work. In some sense, USAID's development leadership is tied to its ability to also be a leader in enhancing the 'workplace' with the power of state-of-the-art information technology.

As an organization that outsources virtually all of its program implementation functions, USAID needs to be able to monitor the efficiency and performance of its outsourced partners as well as its own staff. This requires IM solutions that provide managers with information on financial and procurement operations as well as program (knowledge generation, transfer, and management; provision of other services; and commodity delivery) operations.

As a U.S. Government (USG) agency working in an increasingly complex multi-agency USG environment, USAID must be able to communicate information, accurately and in a timely way, to other USG agencies, the Congress and the taxpayers, holding itself to the highest standards of public transparency and accountability but, at the same time, assuring security of information on procurement, personnel and partners. This requires IM solutions that safeguard raw data but organize and disseminate reports based on this information in such as way as to support decision-making, public oversight and public awareness of USAID operations. Public accountability also requires compliance with legislative and executive guidance in the acquisition of IM technology and its utilization in IM solutions.

To accomplish these things as a global organization with a small direct-hire staff, USAID needs IM solutions that are adaptable to a wide variety of communication, infrastructure, and security challenges. The solutions must be capable of meeting day-to-day needs for somewhat independent operating units within the organization as well as integrating information flows for the organization as a whole.

In the process of performing its mission, USAID makes available the kinds of knowledge that people, organizations and governments need through: 1) technical assistance - professionals who personally transfer knowledge through on-site consulting, advisory, or on-the-job training services either on a short-term or long-term basis, either individually or as part of teams, 2) training - either short-term/long-term; in-country/in the U.S.; formal/informal; and, increasingly, on-site/at a distance and 3) networks, presentations and publications – conferences and documents, "live" and electronic.

Knowledge generation results from experience as well as analysis. Information is an essential component of knowledge, but it is the organization of information and its exchange that is most critical to knowledge

generation. The organization, management and exchange of information, therefore, are fundamental to USAID's accomplishment of its program goals.

Information and its management are, then, a principal competitive advantage of the Agency. To maintain its status as a premier development agency, USAID relies on IM to plan, achieve and monitor its initiatives and evaluate their results. Existing IM systems and processes ensure the performance and compliance of Agency programs around the world. But, to evolve into a model international development agency to meet twenty-first century global challenges, USAID will have to leverage existing information infrastructures through the application of new technologies and business models.

Innovative IM solutions will be needed to re-engineer Agency systems and processes to help USAID realize its potential and provide it with the competitive advantage it will need in the future. To reduce costs and improve performance and maintenance, expensive custom-fit systems will be replaced with more generic Commercially-available Off-The-Shelf (COTS) solutions. As an example, implementation of the Agency's new core financial systems will require that the Agency adapt existing infrastructure and processes to the COTS-based systems. Rising Public expectations and the spread of the internet and electronic commerce, or "e-commerce," will drive the Agency to participate more fully in electronic government, or "e-gov."

Interaction with the Agency's overseas Missions, partners and participants will also force changes in the way USAID manages information and delivers services. The very collaborative nature of USAID will compel the Agency to move to collaborative tools and "groupware," software that enables simultaneous, appropriately secured, cooperative computing and communication. The Agency will also look to the Internet as the preferred provider of voice, face-to-face communications and distance-learning via internet phone, videoconferencing and internet-based training. Indeed, driven by limited resources, expanding worldwide responsibilities and advances in technology and telecommunications, USAID will be compelled to institutionalize the Internet as its defacto "office" environment.

However, USAID's ability to realize its potential and retain its competitive advantage in the development community is threatened. While program resource levels for most USAID program accounts are projected to remain at fixed levels in constant dollar terms over the course of the planning period, USAID support costs, including most IM support, will remain fixed in *current* dollar terms over the planning period. As a result, Agency operations will effectively shrink annually at the rate of inflation.

In order to continue to operate effectively at such reduced levels, IM must do more, increasing efficiency and productivity, to ensure the Agency meets its Program goals and objectives.

The IM Strategic Plan assumes that the recently initiated workforce planning process will be implemented successfully and that its results will effectively staff the Agency to manage its information in the course of carrying out the Agency mission and assuring the transparency and accountability of a public organization. The Plan anticipates an increased utilization of information resources in all six strategic goals in the areas of development and humanitarian assistance. This will require additional program resources to be committed in achieving these goals. The Plan also assumes that as IM takes on additional program-related responsibilities, necessary support and program resources will be made available to fund associated information management activities.

Needs

In order to respond to these drivers, the IM program worked interactively with senior management throughout the Agency to identify and prioritize USAID IM needs for the next five years. Presented in descending overall priority, they are:

Financial Management

USAID needs Agency-wide financial management systems that meet federal requirements, provide timely, accurate financial information and enable the issuance of an unqualified opinion on the Agency's financial statements. The systems should link to program information, push financial management responsibilities down to project officers to improve accountability, minimize vulnerabilities and include a plan for remediation of existing financial systems.

Systems Planning

The Agency needs seamless connectivity to business partners and USAID staff worldwide. The Agency needs the capacity to develop systems specific to Program areas and integrate the systems in a defined seamless way that links Program and Support information into an Executive Information System. The systems should be reliable, accurate and timely and provide an environment based on simplified business rules and regulations. USAID systems should enable the sharing of information and allow managers to work together to make the necessary changes in their processes to achieve effective systems implementations.

Procurement

USAID needs a fully accessible Agency-wide procurement management system that provides sufficient acquisition and assistance alternatives through enhanced planning and allows accurate tracking of procurement vehicles and associated data.

Data Management

To provide consistent, accurate, appropriate and timely information sharing across the Agency, USAID needs a data management system. Reducing or eliminating data-entry costs, the system should be able to track documents and cases and manage archives. It should broaden access to qualitative and quantitative data and facilitate its manipulation through user-friendly search engines and sharing capabilities.

Budget

USAID needs a flexible, responsive budget system that can provide timely budget information and projections. It should also be able to report on mortgage information and funds obligated but not yet spent.

Knowledge Management

The Agency needs coherent systematic knowledge management systems and plans to improve access to and sharing of information on development experience. The system should coherently link hardware, software and value-added services to make policy and experience lessons transparent and accessible. The system should include data on closed-out missions, information on disaster responses by the U.S. and other donor nations and the ability to capture and retain formal and informal General Counsel advice.

Congressional External Information

USAID must respond to oral and written inquiries from Congress. Solutions are needed to identify and collect information from throughout the Agency and assemble materials for speeches, briefings and testimony.

IM Skills Capacity

Proper and timely support is required to improve Agency-wide capability to use information technologies when and where they are needed. Staff familiarity and facility with word-processing, spreadsheet, e-mail and Internet tools need to be improved.

Human Resources Information

Current, accurate personnel information is critical to Agency operations. Agency-wide workforce planning and management solutions are necessary. Systems are needed to improve employee skill, training, grievance, award, attrition, position, performance and promotion tracking and reporting. Better personal employee data is needed to address staffing requirements and availability. Additional information and tools are needed to identify trends in staff grades and labor costs.

Operations

Senior Agency officials and program managers need accurate and timely information to make effective decisions and report on the Agency's progress and successes. Much as it was with Y2K remediation efforts, USAID needs to manage its operational resources to assure that priorities and resources are directed to achieve critical results. To accomplish this, planning, performance and emphasis-area information needs to be linked with budget and resource systems to track and evaluate associated costs and results, both centrally and locally. And, phased implementation of operational solutions needs to be accepted Agency-wide while the organization plans and budgets for Agency priority projects.

Resources

To meet its upcoming challenges, appropriate staffing levels must be maintained and adequate funding must be acquired to support program implementation. Additional information technology staff are required to directly support Agency program offices.

Communication & Collaboration

To fulfill its role in the development community, USAID needs to be able to interact and share information with its external partners. It needs seamless interaction with "sister" agencies and bureaus as well as its own Missions, Bureaus and Offices. To achieve such communication and collaboration, USAID needs timely and dependable world-wide communication facilities. Electronic messaging facilities need to be used to help standardize business practices and reduce paperwork.

Public External Information

To improve its dissemination of public information, USAID needs to improve internet-based universal access to public information and documents, whether within the Agency or beyond. Such information should provide total transparency into the Agency's work and successes, to include access to plain-English articles, newsletters and oral or written media releases.

IM Planning

Effective information management planning is necessary to ensure that USAID meets its goals. That requires IM staff to maintain a close working relationship with Agency business units to understand their processes and needs. An effective portfolio of information technology investments must be developed, with high priority given to the computing infrastructure needed to support operations.

Audit

In order to effectively respond to and address audit recommendations, information on vulnerabilities must be easily accessible. An improved audit tracking system is needed.

Administrative Management

Improvements are needed to more accurately track and manage Agency property and travel.

Miscellaneous

Successful fulfillment of USAID IM needs requires Agency-wide objectives, commitment and collaboration and cooperation.

These needs form the basis of the IM Strategic Plan for Fiscal Years 2001-2005. IM technical support and insight will continue to support ongoing Program operations, ensuring that USAID fully realizes its potential as a premier development Agency.

Risks

Meeting the Agency's IM needs is not without risk. USAID has learned through previous project performance reviews, external assessments, Inspector General audits and internal reviews that the Agency has had high technical, producibility, operability, supportability, management, political and financial risks. These risks have impacted the success of software development projects in the past, resulting in cost and schedule overruns and poor quality deliverables.

Risk is a function of the probability of an undesirable event occurring, and the significance of the consequences of the occurrence. These combinations of the frequency and severity of undesirable events manifest themselves in IM as risks to the successful satisfaction of Agency IM needs. Grouped into ten categories, risks include: technical, producibility, operability, supportability, programmatic, managerial, cost, schedule, political and financial.

Technical risks are associated with the design, development or re-engineering of IM capabilities, such as the use of new, as yet unproven, technology such as Windows 2000. Producibility risks are those associated with factors that might limit the actual production of IM solutions, the recent shortage of skilled programmers a good example. Operability risks involve how well components operate within and among IM architecture components, such as interfaces between new and existing systems. Supportability risks are associated with the implementation and maintenance of IM solutions, exemplified by the Agency's outdated Personnel system. Programmatic risks include obtaining and using resources outside the direct control of the IM program, one example being USAID's reliance on the Diplomatic Telecommunications Services Program Office (DTSPO) for world-wide communications support. Managerial risks involve the organization and operation of resources within the direct control of the program, staff reorganizations and reductions serving as examples. Cost and schedule risks involve the estimation of funding and time and management of IM project progress and expenditures, with Government-wide information system overruns a good example. Political risks are those associated with the ongoing support and good-will of the Agency, the Congress and the American people. They are related to financial risks, those associated with the availability and ongoing flow of monies needed. One example of these kinds of risk is seen in recent Agency IM resource reductions based on enacted appropriation levels.

USAID has made significant strides in managing the risks associated with IM. The Agency's decision to maximize the use of Commercially-available-Off-the-Shelf (COTS) products instead of custom-developed systems will significantly reduce technical, producibility and supportability risks. Completion of the Agency IM Architecture will reduce operability risks by providing standards and guidance on technical interfaces. Alternatives are being explored to avoid service-provider monopolies and minimize programmatic risk. Managerial risks are being reduced through IM process improvement and the re-alignment of technical resources to meet business area needs. Cost and schedule risks are being addressed through the addition of project management specialists, tools and training. It is anticipated that these improvements will result in reductions in IM financial and political risk, providing justification for ongoing support and funding.

Strategic, tactical and operational planning has also been expanded. This has resulted in the early identification and management of risk as part of the Agency-wide Capital Investment process. Working with senior management across the Agency, the process has already recognized that each of the Agency-wide IM Needs present a different level of risk. Listed in descending order of risk, they are: Financial Management, Systems Planning, Procurement, Data Management, Operations, Human Resources Information, Budget, Knowledge Management, Communication and Collaboration, IM Skills Capacity, Congressional External Information, Resources, Audit, Administrative Management, Miscellaneous, IM Planning and Public External Information.

To ensure that the Agency's IM needs are met without unacceptable risks, the IM program has incorporated risk identification and management. As an integral part of its Capital Planning and project management process, risk management will ensure the successful accomplishment of IM's vision, mission and goals.

Vision

Based on identified needs and priorities, and recognizing the challenges USAID will face in the next five years, the Agency has developed a vision of the future of USAID IM in which:

USAID and its constituencies are empowered by "one-stop" transparent access to timely, accurate, appropriate and cost-effective information and associated tools.

Mission

Based on USAID's goal to remain a premier development agency, the IM program supports the objective of improving the management and delivery of development resources through the IM mission, which is:

To support USAID in meeting its goals and objectives through strategic investments in and management of information.

Goals

In support of its mission, the IM program has three goals. They are in turn supported by Strategic Objectives (SOs) and associated Initiatives. The three goals are:

Exemplary Leadership

To improve the management and use of information through strategic policy, planning, analysis, budgeting, architecture, investment and risk management.

Superior Performance

To improve the quality of Agency decision-making and business area results while minimizing associated costs by increasing IT productivity, efficiency and effectiveness.

Full Compliance

To improve the compliance of IM activities, including IT acquisition, by more fully implementing industry-wide best-practices and the relevant provisions of applicable statutes, regulations, policies and guidance.

Performance Measures

The success of the IM Strategic Plan hinges upon the Agency's success in achieving the IM SOs, which in turn depends on the performance of associated IM Initiatives.

To ensure the success of the Initiatives, SOs and Plan, USAID will develop performance plans for each Initiative and measure their progress on an ongoing basis. Metrics for measurement could include, for example: the degree of IM user community satisfaction, the timeliness and cost-effectiveness of IM Capital Investments, the quantity of outstanding IM audit/review recommendations, effectiveness of mandated IM reports and the quality of IM guidance and direction.

Performance metrics will be identified as part of each Capital Investment proposal and will be monitored throughout the process of investment selection, control and monitoring and evaluation.

Strategic Objectives

To accomplish its goals, the IM program has worked with senior management from each of the Agency's major business units to identify and prioritize IM SOs. They are: Improved Information Infrastructure, Cost-effective Support Solutions, Integrated Program Solutions, Effective Knowledge Management and Comprehensive Information Management.

The Infrastructure and Support Solutions SOs reflect the Agency's recognition of the need for a solid information management environment within which the Agency can work. Based on the large body of work to date in these areas, the Program Solutions and Knowledge Management SOs reflect a new Agency-wide perspective. The fifth SO, Information Management, provides the focus for the integration of the other SOs and the IM program.

Implementation of the SOs will be accomplished through associated strategies comprised of phased, modular Initiatives and Ongoing Activities compatible with the USAID Information Architecture. Successes will be measured in terms of customer satisfaction, regulatory compliance and initiative budget, schedule and management milestones.

The five SOs are as follows:

Improved Information Infrastructure

World-wide operations and management requires USAID to have an effective information infrastructure. This includes the uninterrupted operation, support and maintenance of the Agency mainframe computer, local/wide area network (LAN/WAN) and desktop computers, as well as world-wide voice, data and image communications and information security. While the Agency's information management infrastructure has proven adequate in the past, declining budgets and staff and expanding international responsibilities compel USAID investment in major improvements.

Strategy

Five strategies will be employed to achieve this SO: Hardware, Software, Data, Communications and Security. The **Hardware** strategy will eliminate obsolete mainframe, mini- and personal computers, replacing them with industry-standard technology. The **Software** strategy will eliminate obsolete mainframe, mini- and personal computer software, re-engineering and consolidating legacy systems wherever appropriate. The **Data** strategy will consolidate Agency database management for common use and data consistency. The **Communications** strategy will replace obsolete Network Operating Systems and re-size and re-configure voice, data and image networks to accommodate load shifts. The **Security** strategy will implement and enforce information security controls throughout the Agency.

Initiatives

In FY2000 the Agency's network operating system will be upgraded replacing the current, soon-to-be-discontinued operating system with newer industry-standard technology. To meet its expanding need for world-wide interaction and communications, USAID will upgrade the capacity of its telecommunications network in FY2000-01

Capitalizing on these improvements, in FY2001 the Agency will complete the migration of mainframe applications to the client-server environment. Associated migration costs will be offset by the savings realized by retirement of the mainframe computer and discontinuation of associated hardware and software maintenance fees. Similarly, in the FY2001-03 timeframe, remaining RISC-6000 mini-computer applications will be migrated into a new client-server environment. Savings realized through the phased retirement of the RISC-6000s will offset the cost of migrating data to a repository for reporting legacy information.

Other initiatives currently under consideration for the next five years include: a secure network for classified communications, deployment of collaboration tools, remote management of desktop computer hardware and software, "instant messaging" for real-time person-to-person(s) network communication, improved interconnectivity of in-country facilities via Metropolitan Area Networks (MANs), deployment of handheld/personal digital assistant (PDA) computers, improved IT problem tracking and resolution capabilities, video-conferencing facilities, voice-activated computers, wireless communication tools, world-wide internet access with "firewalls" for information security and phased replacement of personal computers and associated software.

Ongoing Activities

To meet ongoing programmatic requirements, existing mainframe, mini- and personal computer hardware and software will be maintained, as appropriate, throughout the five-year period. Maintenance and administration of Agency databases, networks and information security measures will also continue to ensure uninterrupted world-wide operations.

Benefits

A number of Agency IM needs will be supported by this Strategic Objective. Principal among these are Systems Planning, Data Management, Knowledge Management, Operations, Communication and Collaboration and IM Planning. Financial Management, Procurement, Budget, Congressional External Information, Human Resources Information, Public External Information, Audit, and Administrative Management needs will also benefit from USAID's improved information infrastructure.

Cost-effective Support Solutions

USAID has been hampered in its mission by outdated Support processes and systems. Support systems provide fundamental operational resources, management and reporting in a number of areas, including policy, planning, budget, personnel, finance and facilities, among others. Often engineered to stand-alone, Support systems exhibit their origins through antiquated processes and outdated technology. As a result, they can be inadequate in terms of regulatory compliance and suffer from data-entry, integration and reporting performance gaps.

Strategy

Over the next five years, USAID will re-engineer Support processes and systems based on COTS solutions to improve compliance and performance. Cost-effective solutions will be deployed that reduce data-entry, improve integration and enhance reporting, providing timely, accurate and appropriate access to internal and external Support information and tools.

Two strategies will be employed to achieve this SO: Financial and Administrative. The **Financial** strategy will consolidate and integrate financial systems and information. The **Administrative** strategy will enhance and integrate the rest of the Agency's non-Program information and systems. These strategies will be supported by the development and implementation of associated Support policies, procedures and plans.

Initiatives

Financial Management has been identified as the Agency's most critical IM Need. To address this requirement USAID will implement a new COTS Core Accounting system in Washington in FY2000-01. The system will be extended overseas through a phased deployment to the Missions in FY 2001-02. In FY2002-03 associated Managerial Cost Accounting systems will be implemented.

Administrative improvements will reinforce Financial enhancements. In FY2000 antiquated Personnel and Payroll processing will be cross-serviced to the Department of Agriculture's National Finance Center (NFC). Agency Procurement systems will be replaced and linked to the new COTS Financial system in FY2002-03. In the same timeframe, outdated Budget systems will be replaced and linked to the COTS Financial system.

Existing Budget, Procurement, Personnel and Payroll data will be migrated from legacy systems to a data repository for reporting purposes as necessary. A COTS-based Position Classification system will be implemented in FY2000 to improve Human Resources information. At the same time, a Subcontractor Monitoring system will be completed for the Office of Small and Disadvantaged Business Utilization. And, in FY2003-05 an internet-based Portal will be implemented to provide a "one-stop" source for Support information and tools.

Other Support initiatives under consideration for the next five years include: migration of legacy financial data from the RISC-6000 mini-computers to a data repository for reporting purposes, expanded distance-learning systems, use of electronic signatures, implementation of an Executive Information System, development of a Web interface for employee access to human resources information, integration of existing property systems and replacement of legacy travel and report writing systems.

Ongoing Activities

Existing Support solutions and operations will continue throughout the period. However, to ensure the success of the new initiatives, Support policies, procedures and plans will be extensively revised to reflect the operational constraints and opportunities afforded by the application of COTS solutions.

Benefits

Implementation of this strategy will provide the most benefits in terms of Financial Management, Systems Planning, Procurement, Budget, Congressional External Information, Human Resources Information,

Operations, Resources, Communication and Collaboration, Public External Information, Audit and Administrative Management user Needs. Additional benefits will be realized in the areas of Knowledge Management and IM Planning.

Integrated Program Solutions

Agency Programs have often been faced with a dearth of appropriate information technology tools. Existing legacy information systems, evidencing their varied origins and history, often feature multiple points-of-entry, non-standard interfaces, redundant data-entry, insufficient information and inadequate reporting. To address the problem, USAID will develop and implement integrated Program solutions and policies.

Strategy

Successful achievement of this SO will be based on two strategies: Program and Policy. The **Program** strategy will develop and deploy IM solutions and support for each of the Agency's major Program areas. The **Policy** strategy will develop and implement associated Program policies, procedures, plans and reports.

Initiatives

Current plans call for the FY2000 replacement of the Global Bureau (G) Performance Monitoring and Control Information System for tracking and reporting loan guarantees. To capture and report Program performance information, a revised, Internet-based Operations system is currently scheduled for implementation in the Policy and Program Coordination (PPC) Bureau in FY 2000-01. In the same timeframe, an Agency-wide Extranet is planned to provide a vehicle for secure communication and collaboration between USAID and the development community. And, in FY2003-05 an internet-based Portal will be deployed to provide a "one-stop" source for Program information and tools.

Other initiatives being considered for investment over the next five years include: expansion of the Africa Bureau's (AFR) Host-country telecommunications infrastructure, integration of the Bureau for Humanitarian Response's (BHR) Food For Peace Information System within existing financial systems, integration of the BHR Humanitarian Assistance Results Reporting System within existing performance reporting systems and the deployment of Program management tools.

Ongoing Activities

Throughout the five-year period IM technical support and insight will be provided to implement the AFR Leland initiative, promoting Internet access and use in Africa. Similar support will be provided to the Europe and Eurasia (E&E) Internet 4 Development initiative and the President's Internet for Economic Development initiative. IM support will continue for the Global Bureau (G) Global Technology Network's efforts to provide developing country technology mentoring and the Trainet system for tracking client nation training participants. And, associated Program policies, procedures, plans and reports will be developed and disseminated as needed.

Benefits

The primary Agency IM needs addressed by the Integrated Program Solutions strategy include Financial Management, Systems Planning, Procurement, Data Management, Budget, Operations, Resources and Communication and Collaboration and Administrative Management. Collateral benefits will be realized in Knowledge Management, Congressional External Information, Human Resources Information, Public External Information, and IM Planning.

Effective Knowledge Management

USAID has helped millions of people in over 90 countries through the efforts of thousands of employees and the application of billions of dollars. In the course of its work, the Agency has produced huge amounts of information; structured and unstructured, electronic and otherwise. Effective management of this corporate resource has proven challenging. To improve on the management of this vital resource and provide added value through better utilization of existing information, USAID will develop and implement a comprehensive Knowledge Management plan.

Strategy

Three separate strategies will be employed to achieve this SO: Capture, Management and Sharing. The **Capture** strategy will implement industry-standard tools for the identification and capture of Agency-wide files and records and for externally produced or generated information relevant to Agency operations. The **Management** strategy will integrate existing file, record and data management systems with industry-standard tools to provide an Agency-wide record management environment in harmony with other information management tools. The **Sharing** strategy will provide systems for appropriately sharing USAID corporate knowledge internally and externally.

Initiatives

To meet its needs for knowledge access and detailed research, USAID is in the process of developing a comprehensive Knowledge Management plan. As part of this effort in FY2000 USAID will upgrade its Library management systems to include on-line access to the catalog of books, periodicals and multimedia holdings. Responding to Public demand and Federal mandates, in FY2000-01 USAID will implement and expand electronic access to Freedom Of Information Act (FOIA) information. Related efforts in FY2000-01 will upgrade existing research and reference services and access to economic and social data. The current repository for programmatic information, the Development Experience Clearinghouse, will be enhanced to provide expanded knowledge management capabilities. And, in the FY2003-05 timeframe an internet-based Knowledge Management Portal will be implemented to provide simplified access to USAID official files, records, documents, information and collective knowledge.

Other initiatives for possible investment in the next five years include: replacement of legacy correspondence and cable management systems, voice/video information capture and implementation of form management, file capture, document/record management and data warehouse solutions to provide integrated access and management of Agency knowledge.

Ongoing Activities

Existing Knowledge Management solutions and operations will continue throughout the period. Current policies, procedures and plans will be revised to reflect the results of individual initiatives and the expanding scope of USAID Knowledge Management.

Benefits

Among the main Agency IM needs addressed by this strategy are Financial Management, Procurement, Budget, Congressional External Information, Human Resources Information, Operations, Resources, Public External Information, IM Planning, Audit and Administrative Management. Additional improvements will be seen in Systems Planning, Data Management and IM Skills capacity.

Comprehensive Information Management

Faced with the challenge of expanding mission and declining resources, USAID needs to manage its existing resources more effectively. Chief among these is information, a principal asset in the information age. To meet its goals and accomplish its mission, over the next five years USAID will increase its emphasis on information management. Overall Agency performance will be improved through better IT portfolio management and review. Liaison with oversight organizations will be improved through increased compliance with applicable regulations. And, the IM program will lead the Agency into the future through strategic technology planning and implementation.

Strategy

Three strategies will be employed to achieve this SO: Leadership, Performance, and Compliance. The **Leadership** strategy will provide USAID with information management focus and direction. The **Performance** strategy will enhance the overall performance of USAID information technology by the ongoing measurement and evaluation of IM capabilities and operations. The **Compliance** strategy will improve the Agency's application of appropriate IM statues, regulations and guidance.

Ongoing Activities

Implementation of an Agency-wide comprehensive Information Management program requires multiple continuous initiatives, functionally equivalent to ongoing activities. To this end, USAID will continue its leadership initiatives, developing and refining the IM Strategic, Capital Asset, Information Architecture and Security Planning processes and products. Ongoing performance initiatives will include IM skill assessments and training, performance measurement and reporting and IV&V of IM initiatives and their progress. Compliance activities will require ongoing development, maintenance and management of IM policies, standards and system inventories. And, the information generated by IM activities will be linked together in FY2003-05 for dissemination via an internet-based Portal.

Benefits

Each of the IM needs identified by the Agency will be addressed by and benefit from Comprehensive Information Management.

Summary

Over the next five years, USAID will be challenged in its use of performance measures and internal management systems to help allocate resources, control costs and address the priorities of the Administration and the Congress. The toughest challenges may lie in implementing the management assumptions which underpin the Agency operating expenses budget and in matching the structure of resources appropriated with identified IM needs, priorities and existing commitments.

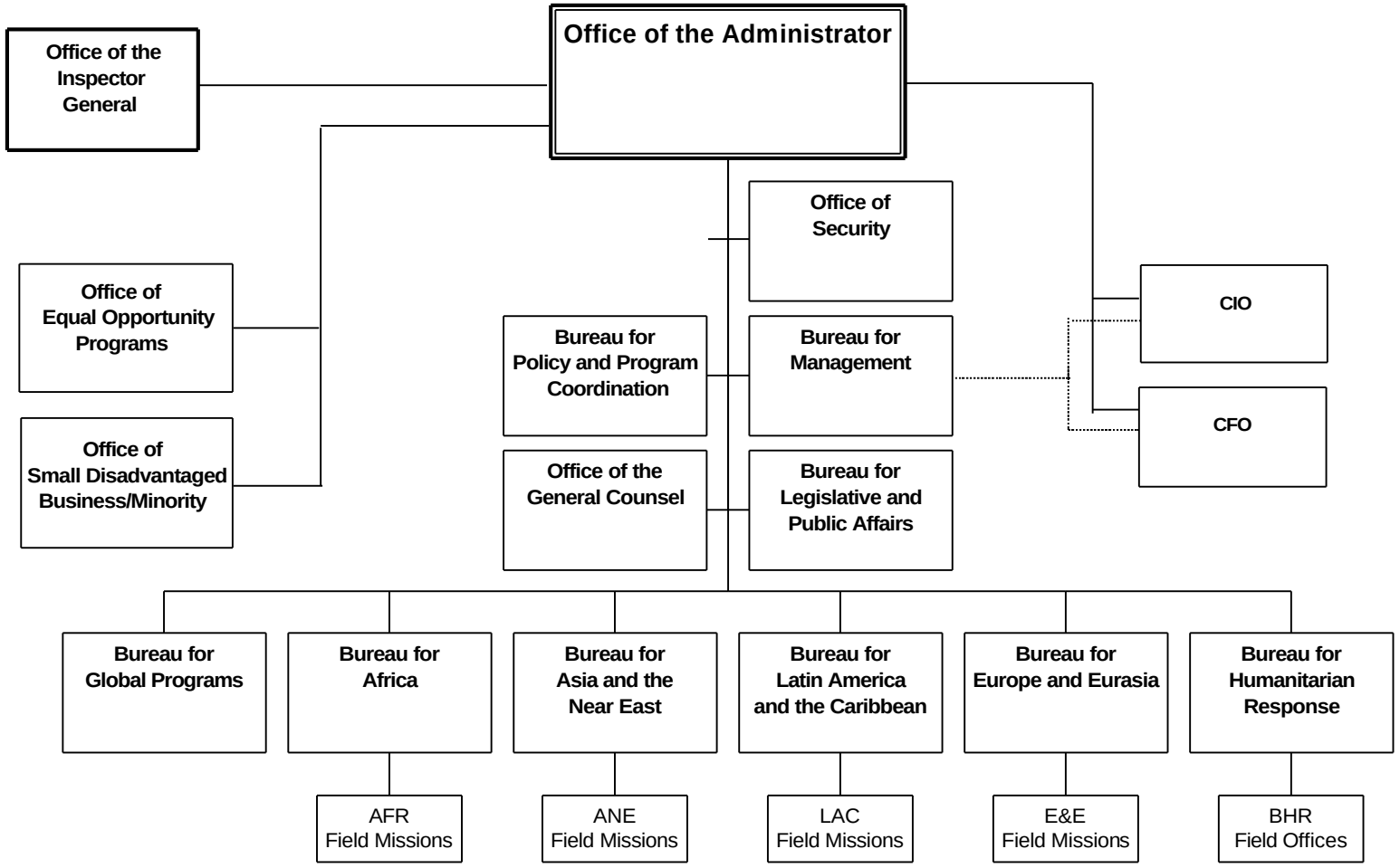
Working within the context of the Agency budget, USAID will carefully evaluate its assumptions in light of information management program performance. If operating assumptions and constraints do not hold, USAID will have to look for other, perhaps less effective, ways to support the management and delivery of development assistance resources to: 1) improve the development and implementation of information systems, 2) increase the accountability and responsibility of government employees for information technology solutions that support Agency missions, goals and objectives, and 3) ensure that Agency investments are effectively selected and managed.

If current assumptions prove valid, USAID will implement its IM Strategic Plan as described herein. To ensure Agency IM planning will become more effective, investments and acquisitions will become more circumspect in consideration and rapid in implementation. Overall IM performance and management will improve as they more closely align with business area missions, goals and objectives. More information will become available, and access to it will expand. Common tools and common solutions will become evident through increased intra-, inter- and extra-Agency contact and communication. As a result, the IM program will provide the Agency with the superior performance, full compliance and exemplary leadership it needs to ensure USAID fulfills its mission and potential to become a model international development agency.

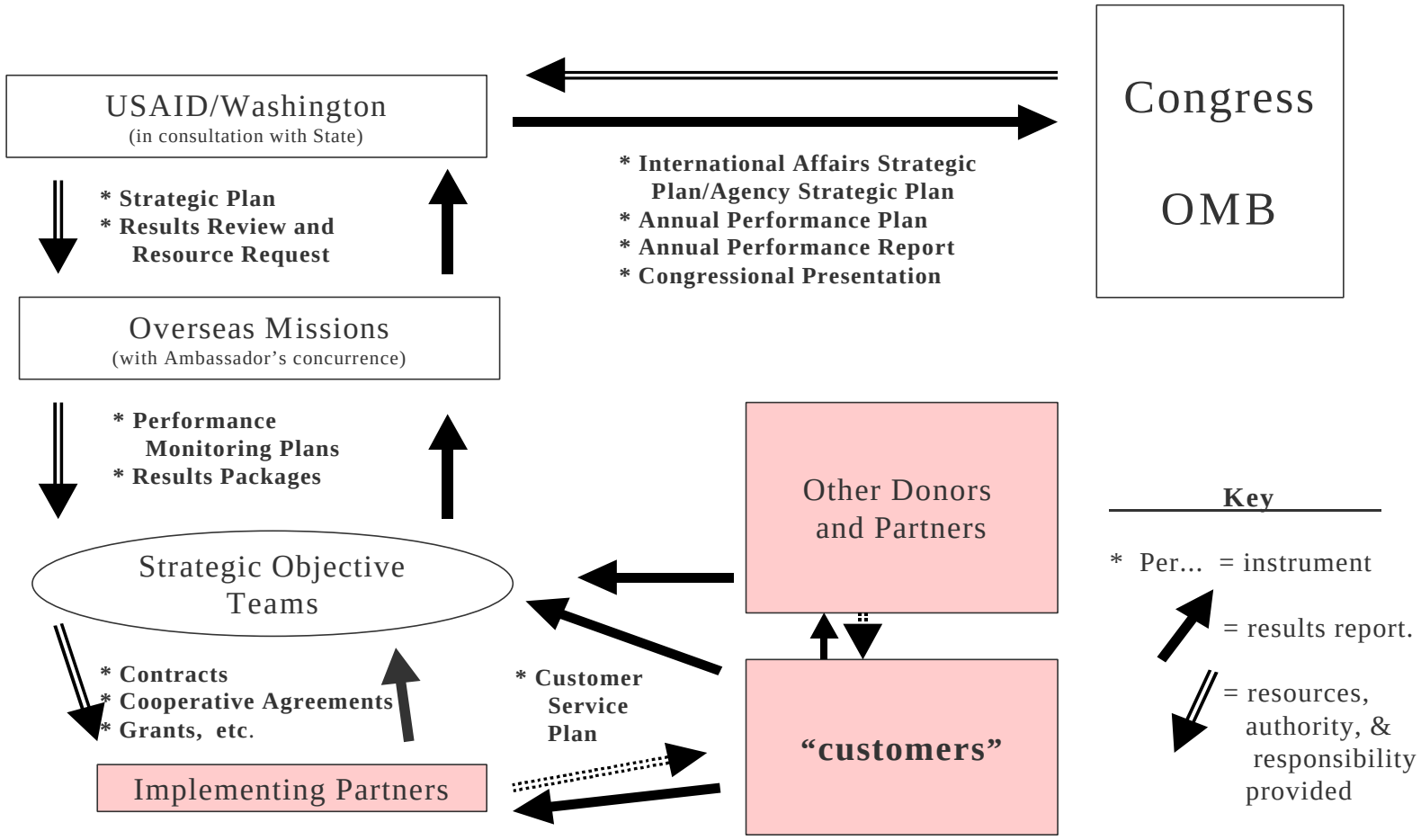
Appendices

USAID Organization Chart

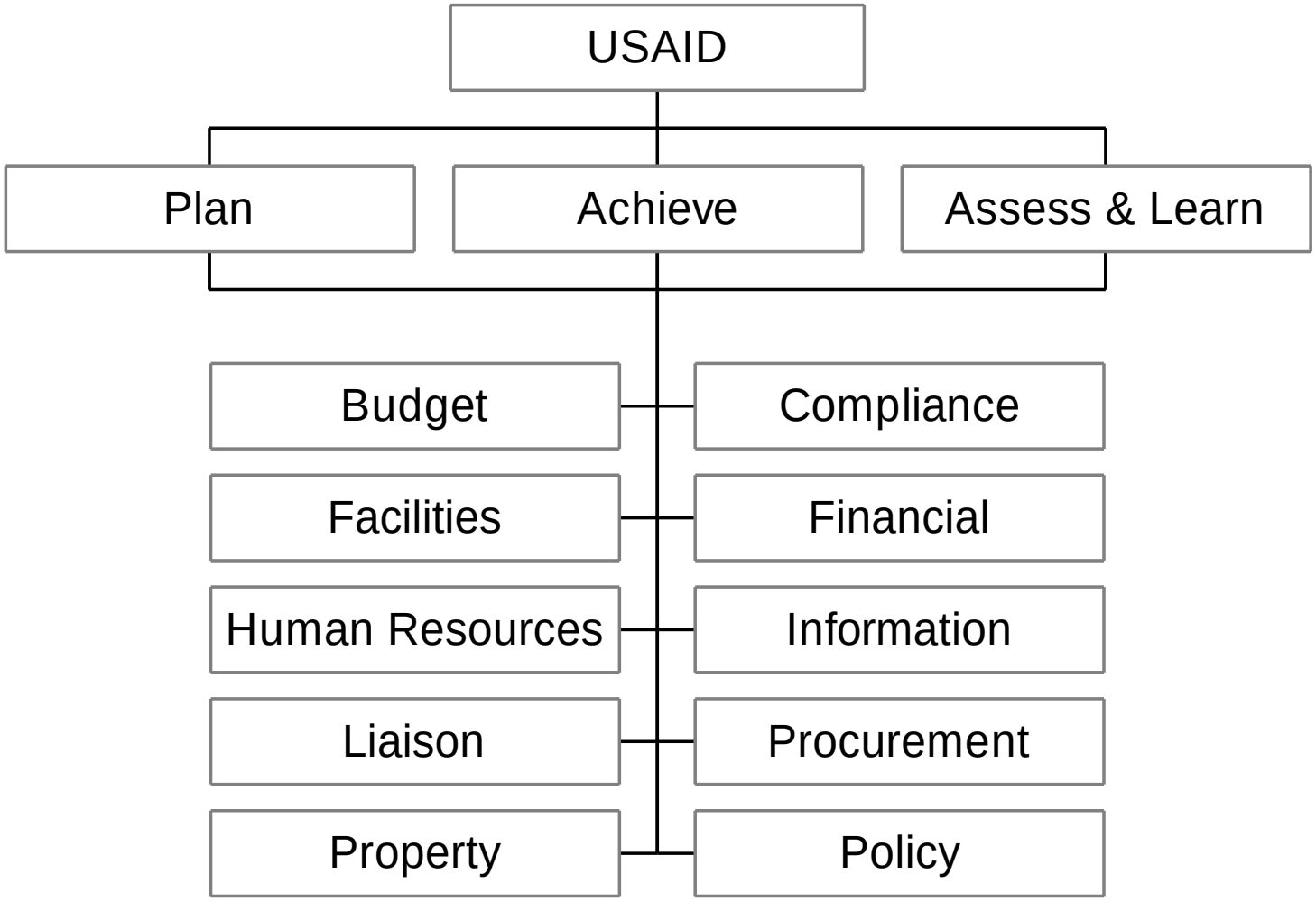
U. S. Agency for International Development



USAID Business Model



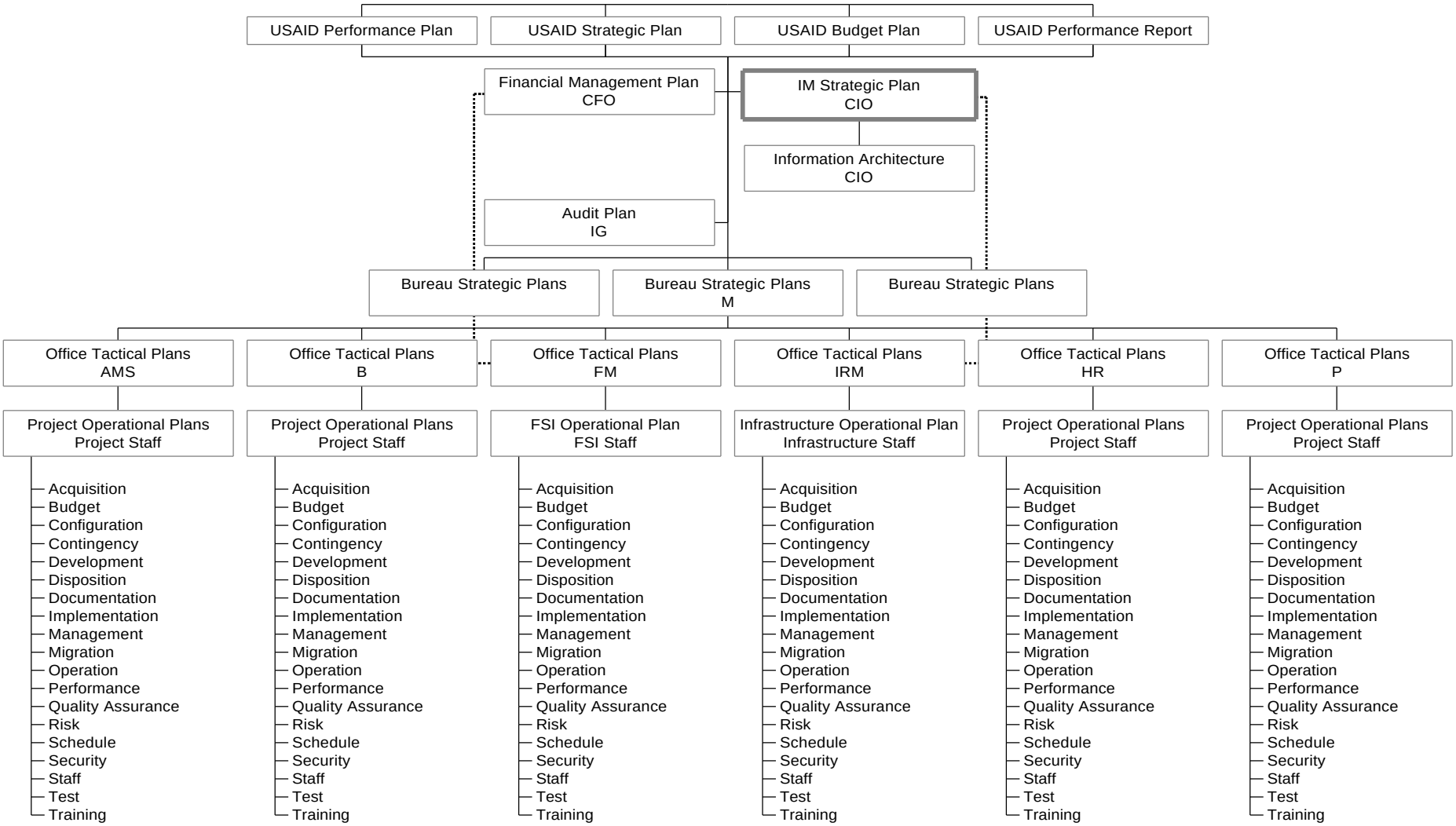
USAID Processes



USAID-IM Linkages

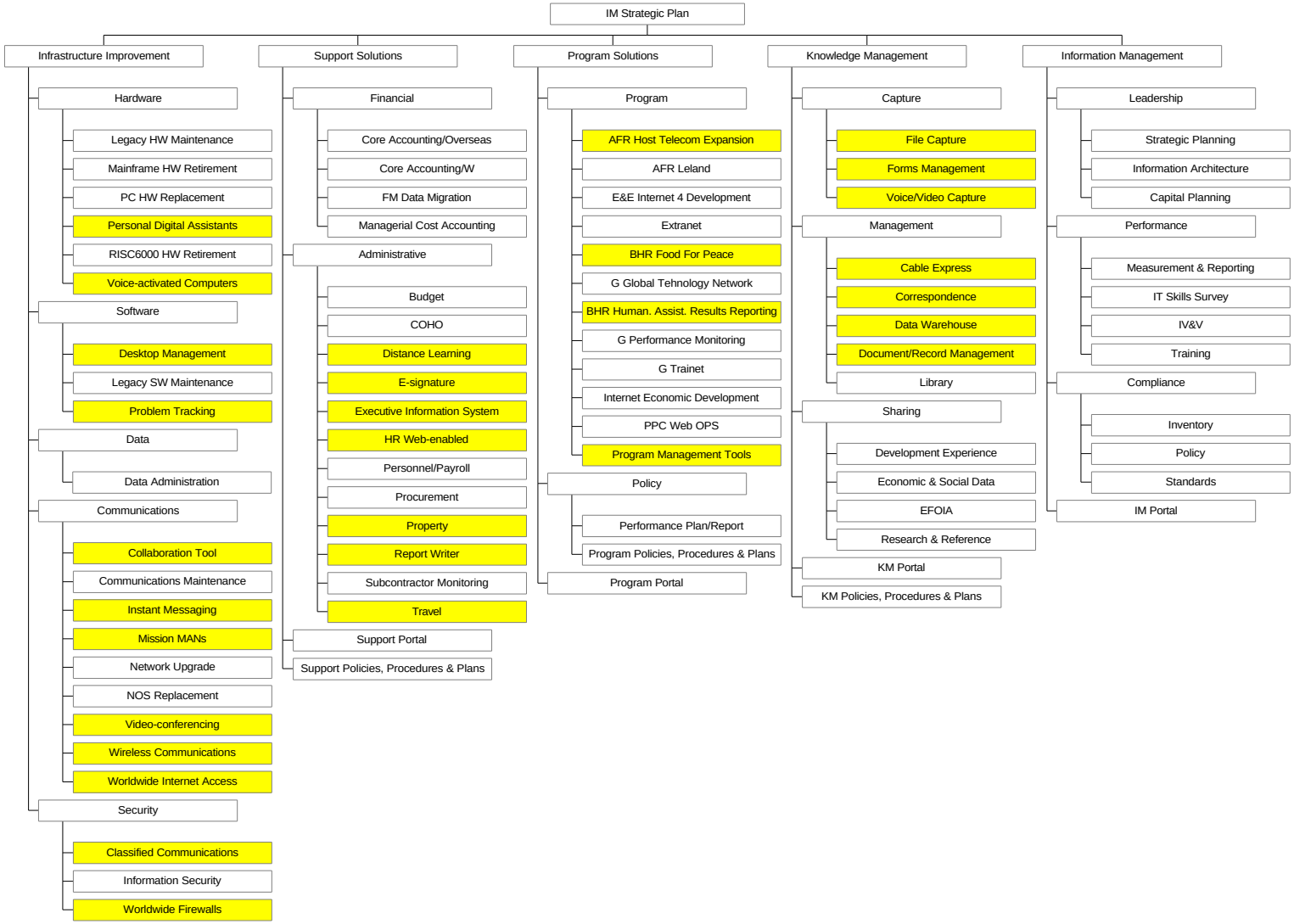
Agency Mission						To contribute to U.S. national interests by supporting the people of developing and transitional countries in their efforts to achieve enduring economic and social progress and to participate more fully in resolving the problems of their countries and the world.					
Agency Goals			Broad-based Economic Growth and Agricultural Development Encouraged	Democracy and Good Governance Strengthened	Human Capacity Built Through Education and Training	USAID Remains a Premier Development Agency	World Population Stabilized and Human Health Protected	The world's Environment Protected for Long-term Sustainability	Lives Saved, Suffering Reduced and Conditions for Political and Economic Development Re-established		
Agency Management Objectives					Leadership and Learning Capacity to Achieve Results Enhanced		Enhanced Management Capacity to Achieve Results and Deliver Development Assistance Resources				
Agency Management Objective Performance Goals		Strengthened Technical Leadership and Research	Strengthened Partnerships	Improved Policies	More Effective Performance Measurement and Evaluation		More Efective Operational Decision-making	More Effective Human Resources Management	More Effective Acquisition and Assistance	More Effective Financial Management	More Effective Information Resources Management
IM Mission						To support USAID in meeting its goals and objectives through strategic investments in and management of information					
IM Goals					Exemplary Leadership	Superior Performance	Full Compliance				
IM Strategic Objectives				Improved Information Infrastructure	Cost-effective Support Solutions	Integrated Program Solutions	Effective Knowledge Management	Comprehensive Information Management			
IM Initiatives				Initiatives & Associated Performance Goals	Initiatives & Associated Performance Goals	Initiatives & Associated Performance Goals	Initiatives & Associated Performance Goals	Initiatives & Associated Performance Goals			
IM Ongoing Activities				Ongoing Activities & Associated Performance Goals	Ongoing Activities & Associated Performance Goals	Ongoing Activities & Associated Performance Goals	Ongoing Activities & Associated Performance Goals	Ongoing Activities & Associated Performance Goals			

IM Strategic Plan Linkages



IM Strategic Plan Chart

(by Strategic Objective/Strategy/Initiative, Shaded Items Pending))



IM Strategic Plan Initiatives and Ongoing Activities (by Strategic Objective)

Infrastructure	Support Solutions	Program Solutions	Knowledge Management	Information Management
Initiatives				
Classified Communications	Budget	AFR Host Telecom Expansion	Cable Express	IM Portal
Collaboration Tool	COHO	AFR Leland	Correspondence	
Desktop Management	Core Accounting/Overseas	BHR Food For Peace	Data Warehouse	
Instant Messaging	Core Accounting/W	BHR Human. Assist. Results Reporting	Development Experience	
Mainframe Retirement	Distance Learning	E&E IT 4 Development	Document/Record Management	
Mission MANs	E-signature	Extranet	Economic & Social Data	
Network Upgrade	Executive Info System	G Global Technology Network	EFOIA	
NOS Replacement	FM Data Migration	G Performance Monitoring	File Capture	
Personal Digital Assistants	HR Web-enabled	G Trainet	Forms Management	
Problem Tracking	Managerial Cost Accounting	Internet Economic Development	KM Portal	
RISC6000 Retirement	Personnel/Payroll	PPC Web OPS	Library	
Video-conferencing	Procurement	Program Management Tools	Research & Reference Service	
Voice-activated Computers	Property	Program Portal	Voice/Video Capture	
Wireless Communications	Report Writer			
Worldwide Firewalls	Subcontractor Monitoring			
Worldwide Internet Access	Support Portal			
	Travel			
Ongoing Activities				
Communications Maintenance	Support Policies, Procedures & Plans	Performance Plan/Report	Knowledge Policies, Procedures & Plans	Capital Planning
Data Administration		Program Policies, Procedures & Plans		Inventory
Information Security				Information Architecture
Legacy HW Maintenance				IT Skills Survey
Legacy SW Maintenance				IV&V
PC Replacement				Measurement & Reporting
				Policy
				Standards
				Strategic Planning
				Training

IM Strategic Plan Initiatives and Ongoing Activities (by Fiscal Year)

SO	FY 2000	SO	FY2001	SO	FY 2002	SO	FY 2003	SO	FY 2004	SO	FY2005
	Ongoing Activities										
1	Communications Maintenance	1	Communications Maintenance	1	Communications Maintenance	1	Communications Maintenance	1	Communications Maintenance	1	Communications Maintenance
1	Data Administration	1	Data Administration	1	Data Administration	1	Data Administration	1	Data Administration	1	Data Administration
1	Information Security	1	Information Security	1	Information Security	1	Information Security	1	Information Security	1	Information Security
1	Legacy HW Maintenance	1	Legacy HW Maintenance	1	Legacy HW Maintenance	1	Legacy HW Maintenance	1	Legacy HW Maintenance	1	Legacy HW Maintenance
1	Legacy SW Maintenance	1	Legacy SW Maintenance	1	Legacy SW Maintenance	1	Legacy SW Maintenance	1	Legacy SW Maintenance	1	Legacy SW Maintenance
1		1	PC Replacement (1/3)	1	PC Replacement (1/3)	1	PC Replacement (1/3)	1	PC Replacement (1/3)	1	PC Replacement (1/3)
2	Support Policies, Procedures & Plans	2	Support Policies, Procedures & Plans	2	Support Policies, Procedures & Plans	2	Support Policies, Procedures & Plans	2	Support Policies, Procedures & Plans	2	Support Policies, Procedures & Plans
3	AFR Leland	3	AFR Leland	3	AFR Leland	3	AFR Leland	3	AFR Leland	3	AFR Leland
3	E&E IT 4 Development	3	E&E IT 4 Development	3	E&E IT 4 Development	3	E&E IT 4 Development	3	E&E IT 4 Development	3	E&E IT 4 Development
3	G Global Technology Network	3	G Global Technology Network	3	G Global Technology Network	3	G Global Technology Network	3	G Global Technology Network	3	G Global Technology Network
3	G Transet	3	G Transet	3	G Transet	3	G Transet	3	G Transet	3	G Transet
3	Internet Economic Development	3	Internet Economic Development	3	Internet Economic Development	3	Internet Economic Development	3	Internet Economic Development	3	Internet Economic Development
3	Performance Plan/Report	3	Performance Plan/Report	3	Performance Plan/Report	3	Performance Plan/Report	3	Performance Plan/Report	3	Performance Plan/Report
3	Program Policies, Procedures & Plans	3	Program Policies, Procedures & Plans	3	Program Policies, Procedures & Plans	3	Program Policies, Procedures & Plans	3	Program Policies, Procedures & Plans	3	Program Policies, Procedures & Plans
4	Knowledge Policies, Procedures & Plans	4	Knowledge Policies, Procedures & Plans	4	Knowledge Policies, Procedures & Plans	4	Knowledge Policies, Procedures & Plans	4	Knowledge Policies, Procedures & Plans	4	Knowledge Policies, Procedures & Plans
5	Capital Planning	5	Capital Planning	5	Capital Planning	5	Capital Planning	5	Capital Planning	5	Capital Planning
5	Inventory	5	Inventory	5	Inventory	5	Inventory	5	Inventory	5	Inventory
5	Information Architecture	5	Information Architecture	5	Information Architecture	5	Information Architecture	5	Information Architecture	5	Information Architecture
5	IT Skills Survey	5	IT Skills Survey	5	IT Skills Survey	5	IT Skills Survey	5	IT Skills Survey	5	IT Skills Survey
5	IV&V	5	IV&V	5	IV&V	5	IV&V	5	IV&V	5	IV&V
5	Measurement & Reporting	5	Measurement & Reporting	5	Measurement & Reporting	5	Measurement & Reporting	5	Measurement & Reporting	5	Measurement & Reporting
5	Policy	5	Policy	5	Policy	5	Policy	5	Policy	5	Policy
5	Standards	5	Standards	5	Standards	5	Standards	5	Standards	5	Standards
5	Strategic Planning	5	Strategic Planning	5	Strategic Planning	5	Strategic Planning	5	Strategic Planning	5	Strategic Planning
5	Training	5	Training	5	Training	5	Training	5	Training	5	Training
	Initiatives										
		1	Mainframe Retirement								
		1	Network Upgrade								
1	NOS Replacement	1	NOS Replacement								
		1	RISC6000 Retirement	1	RISC6000 Retirement	1	RISC6000 Retirement				
				2	Budget	2	Budget				
2	COBO										
		2	Core Accounting/Overseas	2	Core Accounting/Overseas						
2	Core Accounting/W	2	Core Accounting/W								
				2	Managerial Cost Accounting	2	Managerial Cost Accounting				
2	Personnel/Payroll										
				2	Procurement	2	Procurement				
2	Subcontractor Monitoring										
						2	Support Portal	2	Support Portal	2	Support Portal
3	Extranet	3	Extranet								
3	G Performance Monitoring										
						3	Program Portal	3	Program Portal	3	Program Portal
3	PPC Web OPS	3	PPC Web OPS								
4	Development Experience	4	Development Experience								
4	Economic & Social Data	4	Economic & Social Data								
4	EFOIA	4	EFOIA								
						4	KM Portal	4	KM Portal	4	KM Portal
4	Library										
4	Research & Reference Service	4	Research & Reference Service								
						5	IM Portal	5	IM Portal	5	IM Portal
	Other Initiatives Under Consideration										
				1	Classified Communications						
				1	Collaboration Tool						
		1	Desktop Management								
		1	Instant Messaging								
				1	Mission MANs	1	Mission MANs	1	Mission MANs	1	Mission MANs
						1	Personal Digital Assistants	1	Personal Digital Assistants	1	Personal Digital Assistants
		1	Problem Tracking								
				1	Video-conferencing						
				1	Voice-activated Computers	1	Voice-activated Computers	1	Voice-activated Computers	1	Voice-activated Computers
		1	Wireless Communication	1	Wireless Communication	1	Wireless Communication	1	Wireless Communication	1	Wireless Communication
		1	Worldwide Firewalls	1	Worldwide Firewalls	1	Worldwide Firewalls	1	Worldwide Firewalls	1	Worldwide Firewalls
		1	Worldwide Internet Access	1	Worldwide Internet Access	1	Worldwide Internet Access	1	Worldwide Internet Access	1	Worldwide Internet Access
						2	Distance Learning				
		2	E-signature								
						2	Executive Info System	2	Executive Info System		
		2	HR Data Migration								
				2	HR Web-enabled	2	HR Web-enabled				
						2	Property	2	Property	2	Property
				2	Report Writer						
						2	Travel	2	Travel		
				3	AFR Host Telecom Expansion	3	AFR Host Telecom Expansion	3	AFR Host Telecom Expansion	3	AFR Host Telecom Expansion
		3	BHR Food For Peace	3	BHR Food For Peace						
		3	[illegible]	3	[illegible]						
		3	Program Management Tools								
		4	Cable Express								
		4	Correspondence								
		4	Data Warehouse	4	Data Warehouse	4	Data Warehouse	4	Data Warehouse	4	Data Warehouse
				4	Document/Record Management	4	Document/Record Management	4	Document/Record Management		
		4	File Capture	4	File Capture	4	File Capture				
		4	Forms Management	4	Forms Management						
								4	Voice/Video Capture	4	Voice/Video Capture

Note: FY2000 = initiatives approved and funded. FY2001 = funding requested. FY2002-5 = projections.

Strategic Planning Process

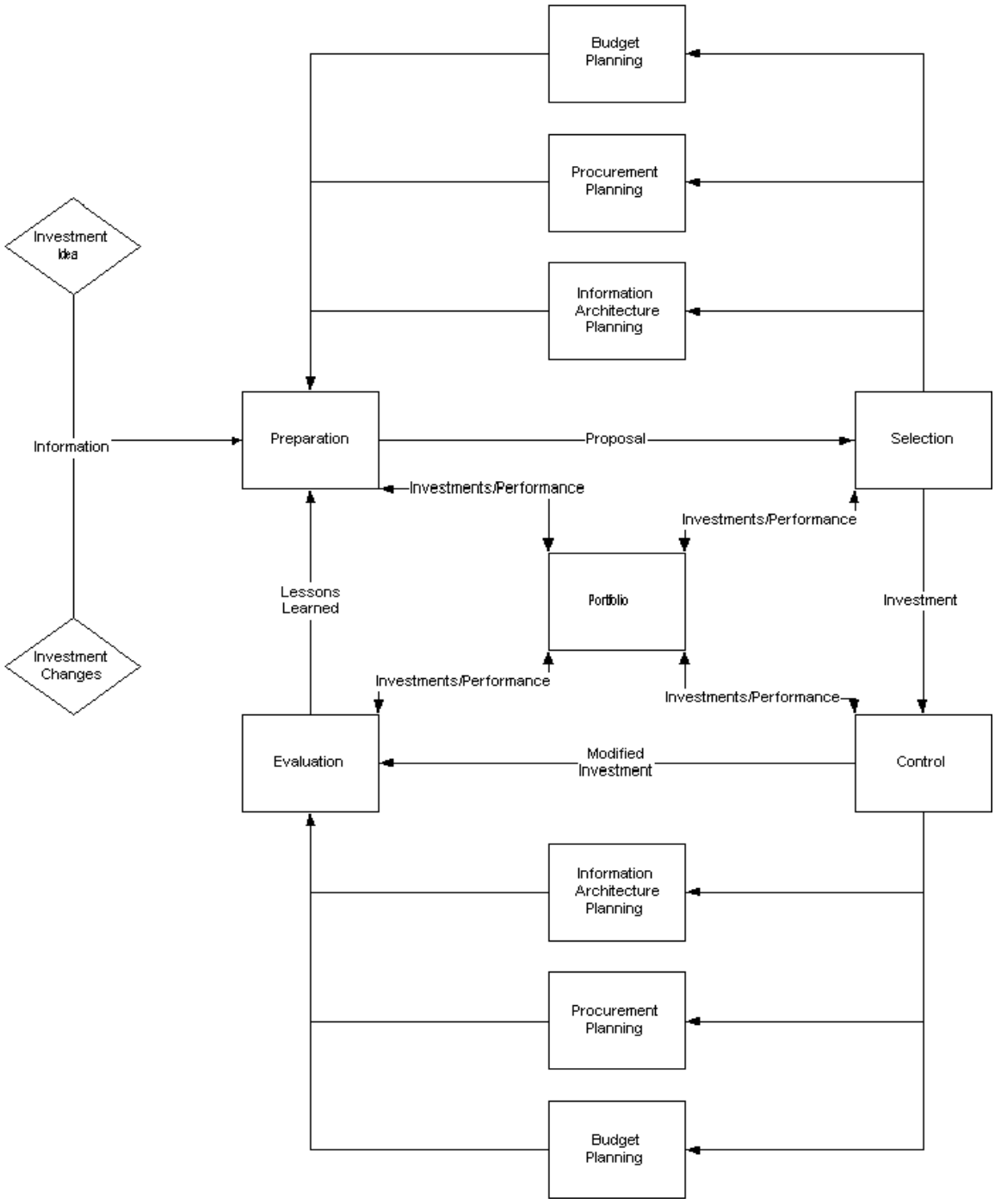
	October	November	December	January	February	March	April	May	June	July	August	September
Budget Planning	FY Budget Apportionment update		FY+1 OMB Budget Passback update		President transmits FY+1 Budget to Congress		Congressional FY+1 Budget Resolution update		FY+2 OMB Budget Call			FY+2 Budget submitted to OMB
Agency Strategic Planning												Agency Strategic Plan submitted to OMB
Agency Performance Planning						Agency Performance Report/Plan submitted to OMB						
IM Strategic Planning				Strategic Planning Workshops	Strategic Planning Workshops	Draft IM Strategic Plan (FY+1 to FY+5) completed	Draft IM Strategic Plan reviewed by CIRB	Semi-Final Draft IM Strategic Plan completed	Semi-Final Draft IM Strategic Plan reviewed by CIRB	Final Draft IM Strategic Plan completed	Final Draft IM Strategic Plan reviewed by CIRB	IM Strategic Plan submitted to OMB
IM Capital Planning	Investment Portfolio update		Investment Portfolio update		Investment Portfolio update		Investment Portfolio update		Investment Portfolio update		Investment Portfolio update	
IM Architecture Planning	Information Architecture update		Information Architecture update		Information Architecture update		Information Architecture update		Information Architecture update		Information Architecture update	

USAID IM Planning continues to evolve to provide effective and scalable strategies in support of USAID's mission, goals and objectives. As a result, the Planning cycle has been re-aligned to reflect the Agency's overall Budget, Performance and Strategic Planning cycles.

Although the USAID Capital Investment Portfolio and Information Architecture are updated during the Fall and Winter to reflect OMB Budget Apportionment and Passback impacts, the IM Strategic Planning cycle begins in earnest in January. Senior staff, members of the Capital Investment Review Board and their respective organizations, participate in Workshops to review Agency-wide and IM visions, goals, objectives and processes. Within the Agency-wide context of the Budget and Strategic and Performance Plans and the existing Capital Investment Portfolio and Information Architecture, the participants identify and prioritize IM drivers, needs, strategic objectives and initiatives. The results of the interactive workshops are used to develop a Draft IM Strategic Plan for the next five Fiscal Years by mid-Spring.

Reflecting Presidential and Congressional Budget modifications, supporting data for individual initiatives is subsequently developed by their respective Executive Sponsors. The data provides support for the IM Strategic Plan, detail for the ongoing Capital Planning and Investment process and input in response to OMB's mid-Summer FY+2 Budget call. Working in tandem with the development of the Agency Strategic Plan and FY+2 Budget submission, iterative drafts of the IM Strategic Plan are produced to refine initial strategy, objective, initiative and budget projections. The resulting IM Strategic Plan is submitted in conjunction with the Agency Strategic Plan and FY+2 Budget in mid-September, forming the basis for IM operations and performance for the ensuing period.

Capital Programming Process



Information Architecture Summary

Based on the IM Strategic Plan, the USAID Information Architecture (IA) is a conceptual framework that describes the business (programs and processes) and technical (hardware, software, data and communications) infrastructure that the Agency needs to accomplish its mission. Along with associated statutes and standards, enabling transitional processes and business and technical drivers, the IA provides a blueprint for the construction of an Agency-wide information management structure that is capable of supporting USAID business needs, both now and in future.

To this end, Agency programs and processes were recently documented in a System Requirements review. Confirming current business operations, the review re-examined program procedures and identified opportunities for improvement. Technical infrastructure was captured as part of the Agency's Y2K remediation effort. Providing a Baseline Technical Architecture, existing hardware, software, data and communications elements were documented. An associated Systems Concept review developed operations concepts for future application of information management resources to Agency business processes.

With this foundation in place, USAID recently documented and adopted a Target Enterprise Information Architecture. Addressing Agency-wide business and technical infrastructure, it provides a focus for future information management acquisition, implementation and integration. Funded and deployed in phases, the USAID IA has already begun to develop a detailed financial management information architecture.

Security Summary

The USAID Information Security initiative ensures the confidentiality, integrity and availability of one of the Agency's most valuable resources: information. Recent accomplishments have significantly improved the Agency's overall Security posture.

With the development and approval of an Information Systems Security (ISS) plan and the addition of key staff members, USAID has renewed its commitment to security. Working in concert with a recently established intra-Agency ISS group, overall security awareness and direction have been improved with the publication of ISS policy directives, manuals and educational pamphlets. A new User Agreement for information systems users has been developed and implemented. An ISS internet web site has been developed, providing world-wide Agency access to security information and guidance. And, Agency Missions have been provided with ISS training tool-kits, complete with CD-ROM and video presentations and other educational materials.

In addition to improving awareness, the ISS initiative supported ongoing Agency operations. Certification and Accreditation reviews were performed for major systems. Risk assessments, encompassing Missions and Regional Bureaus, were conducted to identify vulnerabilities and strategies for remediation. Anti-virus software and firewalls have been installed and upgraded to prevent unauthorized access and denial of service. Configuration checklists have been developed to ensure consistent installation and security of Agency systems. A pilot intrusion detection program has been implemented in conjunction with the U.S. Army Research Lab. And, in support of the Government-wide ISS community, USAID supported the development of a Model ISS Program Plan and Best Security Practices internet web site.

As a result, the ISS initiative has received supplemental resources from the ISS community and awards from the National Security Agency (NSA) and the USAID Inspector General.

As part of the IM Strategic Plan, ISS plans for the next five years include design and development support for new Agency systems and ongoing certification, accreditation, risk assessment and contingency planning. Other efforts include improved incident and personnel security tracking, increased accountability for distributed systems and support for improved physical security world-wide.

Glossary

AFR – Short for the Bureau for Africa.

ANE – Short for the Bureau for Asia and the Near East.

BHR – Short for the Bureau for Humanitarian Response.

Capital Planning – Also known as Capital Investment, is the process for maximizing the value and assessing and managing the risks of the information technology acquisitions.

Client/server - The relationship between two computer programs in which one program, the client, makes a service request from another program, the server, which fulfills the request. Although the client/server idea can be used by programs within a single computer, it is more typically found in a network.

COHO – A position-classification system for Human Resources Management.

Data Administration - This function involves overseeing and understanding an organization's data. The Data Administration function ensures the most cost-efficient organization and use of the organization's data resources.

Database - A collection of data that is organized so that its contents can easily be accessed, managed, and updated.

Data Warehouse - A central repository for all or significant parts of the data that an enterprise's business systems collect. Data from various applications and other sources is selectively extracted and organized into the data warehouse database for use by analytical applications and user queries. Typically housed on a mainframe computer.

E&E – Short for the Bureau for Europe and Eurasia.

EFOIA – Short for Electronic Freedom Of Information Act system, providing the public web-based access to FOIA information.

E-signature – Short for Electronic Signature, the application of software (especially encryption) to validate the origin and authenticity of an electronic document.

Executive Information System – A tool for providing summary data to assist executives in recognizing and analyzing trends and to help in the identification of issues and questions for further analysis.

Extranet - A private network that uses the Internet protocols and the public telecommunication system to securely share part of a business's information or operations with suppliers, vendors, partners, customers, or other businesses. An extranet can be viewed as part of a company's intranet that is extended to users outside the company.

Firewall - A set of related programs, located at a network gateway server, that protects the resources of a private network from users from other networks. An enterprise with an intranet that allows its workers access to the wider Internet installs a firewall to prevent outsiders from accessing its private data resources and for controlling what outside resources its own users have access to.

FM – Short for the M Bureau Office of Financial Management.

Food For Peace Information System (FFPIS) - A BHR system for tracking food aid and associated commodity and transportation activities and costs.

G – Short for the Bureau for Global Programs, Field Support and Research.

Global Technology Network – A USAID program designed to assist small and medium-size U.S. companies gain access to developing markets. GTN facilitates the transfer of technology and services from the U.S. to countries world wide through the dissemination of trade leads free of charge.

Hardware – The physical aspect of computers, telecommunications, and other information technology devices.

Humanitarian Assistance Results Reporting Information System (HARRIS) – An off-the-shelf software package used for reporting program performance results in the Office of Federal Disaster Assistance.

Information - Any communication or reception of knowledge such as facts, data, or opinions, including numerical, graphic, or narrative forms, whether oral or maintained in any medium, including computerized data bases, paper, microform, or magnetic tape.

Information Architecture - The information architecture looks at how: information is used in an organization without regard to current systems or organizational boundaries, work the Agency must accomplish, and information that is needed to perform the work.

Information Management - The planning, control, and operations of the resources, methodology, and tools required to properly capture, store, and deliver information to Agency employees in a timely, accurate, and economical manner.

Information Resources Management (IRM) - Is the planning, budgeting, organizing, directing, training, and controlling associated with the creation, maintenance and use, and disposition of information as well as with related resources, or assets, such as personnel, equipment, funds, and technology.

Information system - The organized collection, processing, transmission, and dissemination of information in accordance with defined procedures, whether automated or manual.

Information Systems (IS) - The organized collection, processing, transmission, and dissemination of information in accordance with defined procedures whether automated or manual.

Information systems security - Protection afforded to information and telecommunications systems which process classified national security-related information and/or unclassified sensitive information in order to prevent exploitation through intentional or unintentional disclosure, interception, unauthorized electronic access, or related technical intelligence threats.

Information Technology (IT) - Any equipment or interconnected system or subsystem of equipment that is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission of reception of data or information by the executive agency. For purposes of the preceding sentence, equipment within an executive agency is associated with corporate or business operations which (i) requires the use of such equipment or (ii), requires the use to a significant extent, of such equipment in the performance of a service or the furnishing of a product.

-IT includes computers, ancillary equipment, software, firmware, and similar procedures and services (including support services), and related resources.

- IT does not include equipment acquired by a Federal contractor incidental to the performance of a Federal contract. IT does not include program-funded IT unless it is used and controlled by USAID.

Information technology installation - One or more computer or office automated systems including related telecommunications, peripheral and storage units, central processing units (CPU), and operating and support system software. Information technology installations may range from information technology facilities such as large centralized computer centers to individual stand-alone microprocessors such as PCs.

Information technology resources - Any equipment or interconnected system or subsystem of equipment that is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information. It includes, but is not limited to, "computers, ancillary equipment, software, firmware, and similar procedures, services (including support services) and related resources".

Internet – Also known as "the Net," it is a worldwide system of computer networks - a network of networks in which users at any one computer can, if they have permission, get information from any other computer (and sometimes talk directly to users at other computers). It was conceived by the Advanced Research Projects Agency (ARPA) of the U.S. government in 1969 and was first known as the ARPANet.

Internet for Economic Development (IED) – A Presidential initiative that seeks to empower developing countries to develop and utilize the Internet to energize their economies, gain access to knowledge that can improve standards of living, and foster the free flow of ideas.

Intranet - A private network that is contained within an enterprise. It may consist of many interlinked local area networks and also use leased lines in the wide area network. Typically, an intranet includes connections through one or more gateway computers to the Internet. The main purpose of an intranet is to share company information and computing resources among employees.

IT 4 Development – Initiative to promote and support E&E counties in the application of IT technologies for democratic, economic and social development.

Knowledge Management - A discipline in which an enterprise consciously and comprehensively gathers, organizes, shares, and analyzes its knowledge to further its aims.

LAC – Short for the Bureau for Latin America and the Caribbean.

LAN – See Local Area Network.

Leland - A five-year, $15 million U.S. government effort to extend full Internet connectivity to 20 or more African countries. The Leland Initiative builds on existing capacity with the ultimate aim of facilitating Internet access throughout each country.

Life Cycle Cost - The total cost of acquiring, operating and maintaining equipment over its economic life, including its fuel costs, determined on the basis of a systematic evaluation and comparison of alternative investments in programs, as defined in Subpart A of 10 CFR 436.

Life-cycle Costs - This includes all estimated project costs associated with the procurement of: hardware, redundant hardware, spare parts, site preparation, installation, implementation, and equipment maintenance.

Local Area Network - A computer network that spans a relatively small area. Most LANs are confined to a single building or group of buildings. However, one LAN can be connected to other LANs over any distance via telephone lines and radio waves. A system of LANs connected in this way is called a wide-area network (WAN).

M – Short for the Bureau for Management.

Mainframe - A large computer, typically manufactured by a large company for the commercial applications of Fortune 1000 businesses and other large-scale computing purposes.

MAN - See Metropolitan Area Network.

Metropolitan Area Network - A data network designed for a town or city. In terms of geographic breadth, MANs are larger than local-area networks (LANs), but smaller than wide-are networks (WANs). MANs are usually characterized by very high-speed connections using fiber optic cable or other digital media.

Microcomputer - A complete computer on a smaller scale and generally a synonym for the more common terms, desktop computer, personal computer or PC, a computer designed for an individual. A microcomputer contains a microprocessor (a central processing unit on a microchip), memory in the form of ROM and RAM, I/O ports and a bus or system of interconnecting wires, housed in a unit that is usually called a motherboard.

Minicomputer - A computer of a size intermediate between a microcomputer and a mainframe. Typically, minicomputers have been stand-alone computers (computer systems with attached terminals and other devices) sold to small and mid-size businesses for general business applications and to large enterprises for department-level operations. In recent years, the minicomputer has evolved into the "mid-range server" and is part of a network. The IBM RISC-6000 is an example of a minicomputer.

Network - Any collection of systems and the connections between them.

Non-Certified System/Connection - A computer system or connection that does not meet specific physical, technical, personnel, and administrative security requirements.

NOS – Short for Network Operating System, the programs which control the traffic on and operations of LANs, WANs and MANs.

Performance indicator - A particular characteristic or dimension used to measure intended changes defined by an organizational unit's results framework. Performance indicators are used to observe progress and to measure actual results compared to expected results. Performance indicators serve to answer "how" or "whether" a unit is progressing towards its objective, rather than why/why not such progress is being made. Performance indicators are usually expressed in quantifiable terms, and should be objective and measurable (numeric values, percentages, scores and indices). Quantitative indicators are preferred in most cases, although in certain circumstances qualitative indicators are appropriate.

Performance Measurement - A means of evaluating efficiency effectiveness, and results. A balanced performance measurement scorecard includes financial and non-financial measures focusing on quality, cycle time, and cost. Performance measurement should include program accomplishments in terms of outputs and outcomes.

Policy - Clear and concise policy mandates that are required for the Agency to conduct its business. Mandates that place accountability and responsibility. Rules, regulations, and direction specifically required for the Agency to follow as it carries out its work.

Portal – An internet site that is a major starting site for users when they connect to the Web or that users tend to visit as an anchor site. Synonymous with “gateway”, there are general portals and specialized portals. Examples of general portals include Yahoo, Excite, Netscape and Lycos. Examples of specialized portals include Garden.com (for gardeners), Fool.com (for investors) and SearchNT.com (for Windows NT administrators).

PPC – Short for the Bureau for Policy and Program Coordination.

Program - Organized set of activities and allocation of resources directed toward a common purpose, objective, or goal undertaken or proposed by an agency in order to carry out the responsibilities assigned to it.

RISC6000 – One of a family of minicomputers from IBM.

Software – The general term for the various kinds of programs used to operate computers and related devices.

Strategic Objective - The most ambitious result (intended measurable change) that a USAID operational unit, along with its partners, can materially affect and for which it is willing to be held responsible. The strategic objective forms the standard by which the operational unit is willing to be judged in terms of its performance. The time-frame of a strategic objective is typically 5-8 years for sustainable development programs, but may be shorter for programs operating under short term transitional circumstances or under conditions of uncertainty.

Strategic Objective Team - In general, a team is a group of people committed to a common performance goal for which they hold themselves individually and collectively accountable. Teams can include USAID employees exclusively or USAID, partner, stakeholder and customer representatives. An SO team is a group of people who are committed to achieving a specific strategic objective and are willing to be held accountable for the results necessary to achieve that objective. The SO team can establish subsidiary teams for a subset of results or to manage a results package.

A group of people who are committed to achieving a specific objective and are willing to be held accountable for the results necessary to achieve that objective. This team may establish subsidiary teams for a subset of results or to manage a results package.

Strategic Plan - The framework that an operating unit uses to articulate the organization's priorities, to manage for results, and to tie the organization's results to the customer/beneficiary. The strategic plan is a comprehensive plan that includes the delimitation of strategic objectives and a description of how it plans to deploy resources to accomplish them. A strategic plan is prepared for each portfolio whether it is managed at a country level, regionally, or centrally.

System - The organized collection, processing, transmission, and dissemination of information in accordance with defined procedures, whether automated or manual.

An assembly of hardware and software configured for the purpose of processing, transmitting and receiving, storing and retrieving data; a system may include microcomputers, facsimiles, private branch exchanges, gateways and firewall equipment of any sort.

System Manager - The person officially assigned the responsibility for overseeing the creation and use of records in an information system.

System of Records - A group of any records under the control of any agency from which information is retrieved by the name of the individual or by some identifying number, symbol, or other identifying particular assigned to the individual.

System Owner - The office including those operated responsible for a specific electronic system, e.g., Account Receivable System; IG Tracking System, American Electronic Time & Attendance System (AETA), USAID Worldwide Accounting and Control System (AWACS).

Technical Architecture for Information Technology - The conceptual model of USAID's information technology equipment/hardware, computer software, telecommunications and procedures which go together to build a fully functional information system. The Technical Architecture identifies the need for a resource, such as a computer, communications device, or a problem isolation procedure and also identifies feasible products that meet the need.

Telecommunications Network - This includes e-mail, development and dissemination of directory management procedures, network design and features, coordination of installation of local area networks (LANs), and utilization monitoring and performance management.

TRAINET – A computer system used to track individuals who have received training.

USAID - For purposes of this Directive, USAID is the term used to describe any overseas USAID organization including an USAID Mission (USAID), Office of the USAID Representative (USAID/REP),

Regional Economic Development Service Office (REDSO), Regional Housing and Urban Development Office (RHUDO), Office of the Regional Inspector General (RIG) and Field Office (FO).

USAID System - A system funded by the Agency and operated by or for the Agency and located in space owned or directly leased by the Agency or another agency of the USG.

WAN – See Wide Area Network.

Web OPS – Short for the PPC web-enabled system for tracking Agency operational performance, or "OPS."

World Wide Web – Also called "the Web," all the resources and users on the Internet that are using the Hypertext Transfer Protocol (HTTP).

Wide Area Network - A computer network that spans a relatively large geographical area. Typically, a WAN consists of two or more local-area networks (LANs).

Y2K – Short for Year 2000, a computer logic problem for software in which the year is represented by a two-digit number, such as "99" for 1999. Typically caused by legacy programs written when storage limitations encouraged such information economies, such program logic assumes that the two-digit year number gets larger, not smaller - so "00" may wreak havoc in a program that hasn't been modified to account for the millennium.