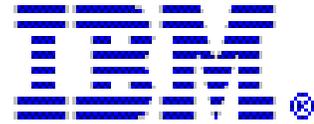


United States Agency for International Development

**November 14, 2003**



# **USAID HIV/AIDS Segment Manage Portfolio Execution**

*As-Is Business and Information Architecture*

MST-PMO-004-CP-042-F00-IBM

Final





### Version History

<b>CM #</b>	<b>Publication Date</b>	<b>Description of Change</b>	<b>Author</b>
MST-PMO-004-CP-042-D00-IBM	10/08/03	Draft final	JT, TF, RC
MST-PMO-004-CP-042-D00-IBM	11/14/03	Final	JT, TF, RC



## Table of Contents

<b>Summary</b> .....	<b>1</b>
<b>1. Introduction</b> .....	<b>3</b>
<b>2. USAID HIV/AIDS Business Strategy and Value Chain</b> .....	<b>4</b>
<b>3. USAID HIV/AIDS As-Is Manage Portfolio Execution Business and Information Architecture</b> .....	<b>6</b>
3.1 Overview of Manage Portfolio Execution .....	6
3.2 Manage Portfolio Execution Touch Points to the Office of HIV/AIDS .....	7
3.2.1 Overall Integration with OHA.....	7
3.2.2 Touch Points with OHA Program Oversight .....	7
3.2.3 Touch Points with OHA Manage Portfolio Execution.....	9
3.3 Plan .....	10
3.3.1 Articulate Desired Results .....	10
3.3.2 Define Approach .....	13
3.3.3 Formulate Budget.....	16
3.3.4 Draft Strategic Plan .....	18
3.3.5 Obtain Approval .....	20
3.4 Achieve .....	23
3.4.1 Negotiate Strategic Objective Agreement .....	23
3.4.2 Draft and Execute Procurement Documents .....	25
3.4.3 Complete Activity Planning Requirements .....	28
3.4.4 Monitor Activity Implementation .....	31
3.5 Assess & Learn .....	36
3.5.1 Review Portfolio.....	36
3.5.2 Evaluate Results .....	39
3.5.3 Prepare Annual Report .....	41
<b>4. USAID HIV/AIDS To-Be Business and Information Architecture</b> .....	<b>44</b>
<b>5. USAID HIV/AIDS Business Transformation Project Profiles</b> .....	<b>45</b>
<b>6. Recommendations</b> .....	<b>46</b>
<b>Appendices</b>	
Appendix A: As-Is FEA PRM Alignment .....	47
Appendix B: As-Is FEA BRM Alignment.....	55
Appendix C: As-Is FEA DRM Alignment.....	62
Appendix D: To-Be FEA PRM Alignment .....	69
Appendix E: To-Be FEA BRM Alignment .....	70
Appendix F: To-Be FEA DRM Alignment .....	71
Appendix G: Applicable Legislation .....	72
Appendix H: References and Interviews .....	74
Appendix I: Acronyms.....	75
Appendix J: Ongoing Projects .....	78



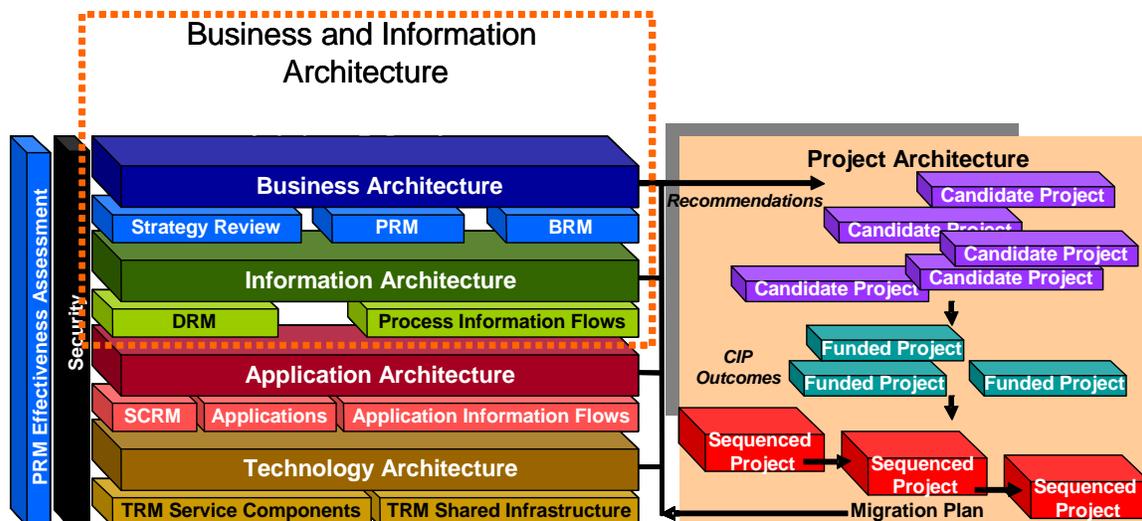
## Summary

The Enterprise Architecture (EA) is a tool that allows the United States Agency for International Development (USAID) to identify opportunities to improve the technology, processes, and information needed to accomplish its missions. The EA will also help USAID to discover redundant capabilities and establish linkages between information technology and mission and program performance. At its highest level, EA is a strategic tool for understanding USAID’s current environment, envisioning a future environment, and developing a Business Transformation path to get there. This Business Transformation path will consist of business and technology recommendations that can serve as inputs into USAID’s Capital Planning process.

As detailed in *The United States Agency for International Development Strategy for Enterprise Architecture Development* (Draft Version 1.0 dated September 2003), the USAID EA development approach is to focus initially on the USAID’s HIV/AIDS program segment. There are four Business Process Areas (BPAs) supporting the HIV/AIDS segment being assessed: Financial Management (FM), Acquisition and Assistance (A&A), Manage Portfolio Execution (MPE), Office of HIV/AIDS Program Management (OHA PO), and Budgeting (BUD).<sup>1</sup> Each USAID BPA will have its own specific *Business and Information Architecture* document.

The *Business and Information Architecture* identifies USAID business process areas and their processes and sub-processes; the business information used and passed by each sub-process; process relationships and their dependencies; and the degree to which automation supports these process areas. The scope of the *Business and Information Architecture* within the overall evolving USAID Enterprise Architecture Framework is shown below.

Scope of the Business and Information Architecture



<sup>1</sup> A “Business Process Area” is roughly equivalent to the Federal Enterprise Architecture “Line of Business.” Source: *The Business Reference Model Version 2.0: A Foundation for Government-wide Improvement*, Federal Enterprise Architecture Project Management Office, June 2003.

The October 8, 2003 version of the *Business and Information Architecture* document contains the current (“As-Is”) business processes. Later versions of this document will capture the future (“To-Be”) business processes that will be developed following a To-Be Envisioning session with USAID experts and leaders.

Development of the individual *Business and Information Architectures* began with a Strategy Review where USAID strategic elements, as defined in documents such as the *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 identified. These elements were aligned to activities, processes, and outcomes. Data collection then followed, including interviews with USAID and contractor subject matter experts and reviews of related documentation. The results of the data collection effort were used to create the materials in this volume. Source material and a list of interviewee organizations are included in Appendix H.

Part 1 “Introduction” of each *Business and Information Architecture* document provides an introduction to the overall document and provides a high-level summary of the HIV/AIDS segment.

Part 2 “USAID HIV/AIDS Business Strategy and Value Chain” describes the USAID HIV/AIDS Business Strategy and Value Chain – a linking of the benefits provided by business functions in achieving an organization’s mission and goals. Part 2 provides a short description of the President’s Strategic HIV Goals and USAID’s approach to achieving those goals, with an emphasis on how the specific Business Process Area covered by the document supports this approach.

Part 3 “USAID HIV/AIDS As-Is Manage Portfolio Execution Business and Information Architecture” provides a description of the processes and sub-processes that constitute the Business Process Area. Part 3 also includes a summary of the information items and exchanges for the sub-process, the organizational units and roles associated with the sub-process, and the systems/applications/tools used to support the process. Appendices A through F contain tables that show the alignment of the USAID Business Process Area components to the Federal Enterprise Architecture Reference Models.

Applicable Legislation is included in Appendix G

Source material and a list of interviewee organizations are included in Appendix H.

A list of acronyms is included in Appendix I.

A list of ongoing projects which may have a relatively significant effect on, and therefore must be considered in any transformation of, the HIV/AIDS program are listed in Appendix J.

## 1. Introduction

In the 2003 State of the Union address, President George W. Bush set forth a challenge to the international community to “prevent 7 million new AIDS infections, treat at least 2 million people with life-extending drugs, and provide humane care for millions of people suffering from AIDS, and for children orphaned by AIDS.” The *Emergency Plan for AIDS Relief* (“*AIDS Relief Plan*”) is a comprehensive aid package to the 14 most severely afflicted African and Caribbean countries. Key elements of the plan will be the administration of uniform preventive care, treatment, and prepared medical pack distribution. The plan will build on the existing clinics, sites, and 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 the *AIDS Relief Plan*, USAID faces significant logistical, financial, and programmatic challenges. How USAID can best apply its unique capabilities, talented but overextended resources, and limited assets in the most expeditious and cost effective manner.

The USAID HIV/AIDS segment Enterprise Architecture (EA) Program Performance Monitoring and Measurement Business and Information Architecture consolidates pockets of HIV/AIDS business knowledge residing through-out the USAID and global health community into a strategic information base that supports making informed decisions on how to better manage the *AIDS Relief Plan* implementation. It describes the current environment, envisions a future environment, and determines a path to get there, in the form of specific project recommendations.

The business and information architecture is presented in the form of a business strategy value chain and a consolidated business and information architecture. This framework structures the operational elements of the FEA PRM, BRM, and DRM into the FEA’s essential and intuitive business and information architectural layers.

The business strategy and value chain illustrates the how the business processes add value at the enterprise level to support the USAID strategic initiatives. Thus, the link between business processes and strategic initiatives can be readily seen.

The business and information architecture identifies the USAID processes and sub-processes in the Program Performance Monitoring and Measurement process area; 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 and their dependencies and the degree of automation.

The alignment of to the FEA PRM, BRM and DRM are provided as tables within the appendices.

## 2. USAID HIV/AIDS Business Strategy and Value Chain

USAID is a partner in two initiatives announced by President Bush that will dramatically expand HIV/AIDS programs in the most afflicted countries. The President's Emergency Plan for AIDS Relief 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. The International Mother and Child HIV Prevention Initiative will greatly increase the availability of services to prevent mother-to-child transmission of HIV.

To accomplish these Presidential Initiatives, USAID and its international partners will work to meet the following strategic targets by 2007:

- Reduce HIV prevalence rates among those 15-24 years of age by 50% in high-prevalence countries
- Maintain prevalence below 1% among 15-49 year olds in low-prevalence countries
- Ensure that at least 25 percent of HIV-infected mothers in high-prevalence countries have access to interventions to reduce HIV transmission to their infants
- Help local institutions provide basic care and psychosocial support services to at least 25 percent of HIV-infected persons and provide community support services to at least 25 percent of children affected by AIDS in high-prevalence countries

USAID's approach to achieving these targets is to implement programs around seven program areas that are designed to achieve USAID global targets. In countries with a high-prevalence of HIV/AIDS, USAID must help prevent new infections, provide care and treatment and address the needs of children and families affected by AIDS. These program areas are multi-faceted and interrelated. In countries with lower prevalence of the disease, the emphasis is primarily on prevention. 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. These strategic initiatives drive USAID's value chain depicted below.



Fundamentally, USAID is a management organization whereby both global and country level programs are planned, funded, and managed. Actual service delivery is provided by in-country partners. The vehicles used to establish these partnerships include grants, cooperative agreements, and contracts. One of the challenges faced by USAID is integrating and aligning country programs with regional and global objectives. This is accomplished through the planning process whereby operating unit strategic objectives are developed and reviewed by regional bureaus for their support of regional objectives, and reviewed by pillar bureaus for their

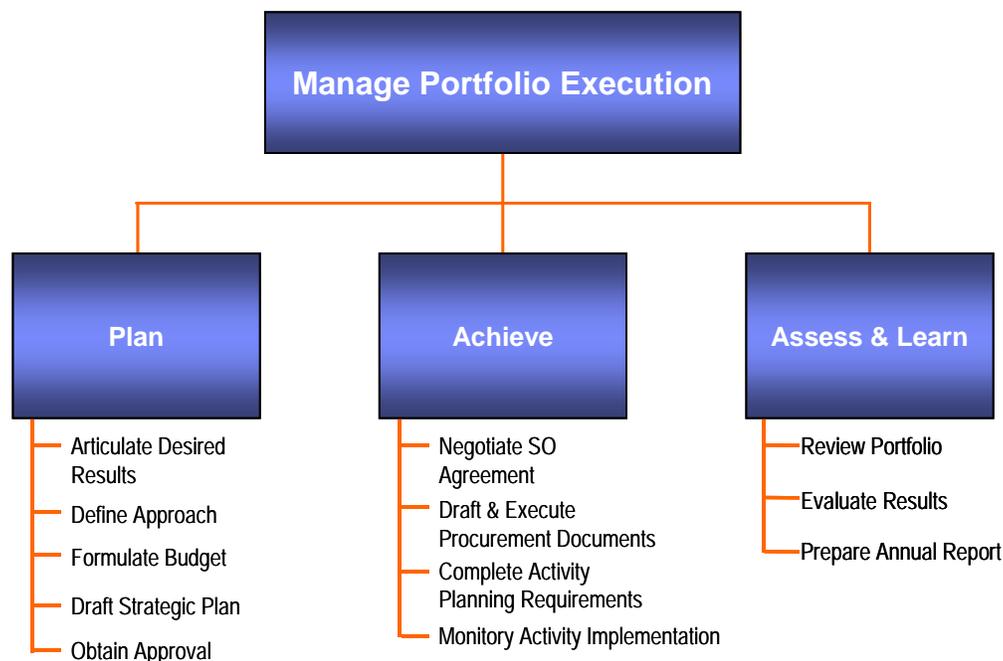
support of global objectives. Once the operating unit objectives are determined, the budgeting process is used to determine the needed financial resources over the course of the planning period to support the operating unit programs. This strategic planning period is typically for five years. Due to the burden of the strategic planning process across the bureaus (where they review each mission strategic plan), the missions strategic planning processes are staggered over seven years. Therefore, in any one year, only about one fifth of the missions are updating and having their strategic plans being reviewed. As operating year budgets are approved and acquired through the annual budgeting process, the approved financial resources are managed by the operating units to support executing its programs. This activity ensures a good understanding of how financial resources are utilized, and ensures that sufficient financial resources be available to execute programs without interruption. This provides the means to effectively and efficiently execute USAID operating unit programs. As part of executing operating unit programs, metrics are collected and used to determine the effectiveness of programs in achieving local, regional, and global strategic objectives. From this understanding, USAID is able to manage global program areas in a manner that maximally utilizes the financial resources being provided by taxpayer.

To manage HIV/AIDS related activities, USAID has a set of manage Portfolio Execution processes, sub-processes, information items, and associated systems and information exchanges. These are described in the following section.

### 3. USAID HIV/AIDS As-Is Manage Portfolio Execution Business and Information Architecture

#### 3.1 Overview of Manage Portfolio Execution

The Manage Portfolio Execution Business Process Area consists of three (3) processes and twelve (12) sub-processes as illustrated in the following table. A detailed description for each sub-process is presented in the following pages. These include a high level functional description of the sub-process, a high level assessment of the sub-process, a summary of the information items and exchanges for the sub-process, the organizational units and roles associated with the sub-process, and the systems/applications/tools used to support the sub-process.



In February 2003 the BTEC published a set of customer service standards for the six USAID/Washington Management Bureau organizations. The standard defines responsibilities of and services provided by each of the major components of that M Bureau organization. The standard also defines specific performance parameters for each service provided. This provides an excellent foundation for a consistent set of performance standards across the Agency. Similar sets of customer service standards are currently being developed for the Pillar and Geographic Bureaus.

## 3.2 Manage Portfolio Execution Touch Points to the Office of HIV/AIDS

### 3.2.1 Overall Integration with OHA

The Manage Portfolio Execution (MPE) 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. An Operating Unit may be established in a single Mission to address HIV/AIDS related issues which are unique to a specific geographic area; it may be in a Regional Bureau if the Strategic Objective reaches across Mission jurisdictions; and it may even be at the OHA level for Strategic Objectives that affect the entire HIV/AIDS community. All Operating Units manage Strategic Objectives utilizing the methods and processes inherent in the MPE business process area.

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 and integration into the OHA overall Strategic Plan. 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.

### 3.2.2 Touch Points with OHA Program Oversight

Under the Program Oversight (PO) business process area, OHA is responsible for managing the HIV/AIDS program which includes oversight of four business processes *Budgeting, Strategic Planning, Program Monitoring, and Knowledge Creation*.

The budgeting and strategic planning sub-processes include the formulation, distribution and coordination of HIV/AIDS budget and strategic planning guidance and submissions. Program monitoring includes the formulation, coordination, and distribution of program guidance, advising and consulting with projects on their HIV/AIDS activities and the consolidation of management reports. The knowledge creation business process entails analyzing HIV/AIDS program results, analyzing lessons learned, recommending revisions to strategies, and collecting and disseminating HIV/AIDS knowledge.

Under the Program Oversight business process area, OHA is responsible for managing the HIV/AIDS program which includes oversight of four business processes *Budgeting, Strategic Planning, Program Monitoring, and Knowledge Creation*. The budgeting and strategic planning sub-processes include the formulating, distributing and coordinating HIV/AIDS budget and strategic planning guidance and submissions. Program monitoring including formulating, coordinating, and distributing program guidance, advising and consulting with projects on their HIV/AIDS activities and consolidating management reports and the knowledge creation business process entails analyzing HIV/AIDS program results, analyzing lessons learned, recommending revisions to strategies, and collecting and disseminating HIV/AIDS knowledge.

The three cornerstones activities of MPE – *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 Manage Portfolio Execution sub-processes and their interface with OHA Program Oversight processes. There are twelve OHA MPE sub-processes, six of which interface with the OHA Program Oversight business process area.

## Plan

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

*OHA MPE 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 and submitted through Program Oversight Strategic Planning for integration into the OHA Strategic Plan.

## Achieve

*OHA MPE 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

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

*OHA MPE 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.

*OHA MPE 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.

### **3.2.3 Touch Points with OHA Manage Portfolio Execution**

This topic is included to provide consistency with other As-Is Business and Information Architecture documents but is not applicable for Manage Portfolio Execution.

### 3.3 Plan

#### 3.3.1 Articulate Desired Results

##### 3.3.1.1 Sub-Process Details

General Sub-Process Information	
<b>Sub-Process Description</b>	<p>Drawing on OHA's knowledge base for the geographic area and the Office's global and regional goals, identify customers and determine their needs.</p> <p>Establish a Strategic Objective Team consisting of individuals with the skill set and experience necessary to fulfill a specific role in the early stages of Strategic Objective development. This team will change in membership and size as the Strategic Objective evolves.</p> <p>Conduct research and compile data to establish what is already known about each facet of the HIV/AIDS situation and response within the scope of the proposed Strategic Objective.</p> <p>Identify opportunities and obstacles to assess existing obstacles that will need to be overcome or avoided, and the opportunities for expanding the response.</p> <p>Perform stakeholder analysis to decide who should be involved and at what level. Once the stakeholder collection has been defined, solicit stakeholder input on key issues.</p> <p>Determine the Strategic Objective priorities and determine how they interrelate with the Operating Unit, Office of HIV/AIDS and Global Health Strategic Plans and budgets.</p> <p>Summarize the situation and define the high level goal(s) of the Strategic Objective.</p>
<b>FEA BRM v2.0 Sub function</b>	<p>Services for Citizens / International Affairs &amp; Commerce / International Development &amp; Humanitarian Aid</p> <p>Services for Citizens / Health / Illness Prevention</p> <p>Services for Citizens / Health / Immunization Management</p> <p>Services for Citizens / Health / Public Health Monitoring</p> <p>Services for Citizens / Health / Health Care Services</p> <p>Support Delivery of Services / Planning and Resource Allocation / Strategic Planning</p>
<b>Assessment</b>	<p>President Initiatives (new monies) are not integrated into the strategic plan process as they come up at unpredictable moments often after strategy has already been developed.</p> <p>Strategic planning unit (OHA/SPER) does not have any involvement on resources being provided through President Initiatives. There is an OHA representative on the White House committee. The committee decides what countries will receive what resources.</p> <p>Missions are notified of new resources coming.</p>

Who's doing the sub-process? (Business Units and roles)		
<p><b>"Owns"</b> – Provides high level guidance, directs overall effort for completing sub process, is measured by and ultimately responsible for results.</p> <p><b>"Executes"</b> – Manages day-to-day activities of the sub process and is responsible for the quality and timeliness of completing the tasks of the sub process.</p> <p><b>"Participates"</b> – Performs day-to-day activities and contributes to the execution of tasks of sub process.</p> <p><b>"Advises"</b> – Plays a consultative role to the supported business unit in the execution of the the sub process.</p>		
Business Unit	Role	Execution Frequency
Operating Unit	Owns	Ongoing

<b>Where is the sub-process performed? (Sub-Process Execution)</b>	
<b>Business Unit</b>	<b>Location</b>
Global Health Pillar Bureau	USAID/W
Regional Bureaus	USAID/W
Missions	Worldwide

### 3.3.1.2 Business Data Used by Sub-Process

<b>Name</b>	<b>Description</b>	<b>Received From</b>	<b>Sends To</b>
Policy Guidance	OHA priorities for the current planning year, articulated through PPC. Policy guidance is used by the OUs to select strategic objectives. The OUs select as strategic objectives goals that both meet local or regional needs and that support OHA-wide goals expressed in the policy guidance.	SP: Formulate Policy & SP: Evaluate Agency Program Results	
Regional and Central Bureau Plans	Strategic plans for major segments of the OHA program, including central bureau world-wide plans by program area (e.g., environment) and regional bureau program plans and goals.	SP: Formulate Policy & SP: Evaluate Agency Program Results	
Parameters	A given framework or condition within which OU strategic plans are developed. The term "parameters" is used to denote the context of US foreign assistance determined outside OHA and which OHA OUs cannot alter. Examples are Congressional earmarks, directives from the executive branch, emphasis areas, and political constraints. Bureaus develop parameters for OUs within their purview.	SP: Revise Strategies	
MPP	Department of State's Mission Performance Plan (MPP) for the host country.	ORG: Department of State	
MPP Input	Input to the Embassy's Mission Performance Plan (MPP); in particular, the OU's planned results and indicator data.		ORG: Department of State
Local Needs and Constraints	The host country government's perspective of the development and transition issues in the country, and the local political, economic, and social constraints on using assistance funding and achieving results.	ORG: Host country government	
Coordination Data	Information from/to other assistance donors in the region regarding plans and results region and program area.	ORG: Other donors	ORG: Other donors
Customer Needs	The needs, preferences, or reactions of customers regarding an existing or planned activity, result, or strategic objective. Generally elicited through customer surveys.	ORG: Customers	
Country Trend Data	Time series data for parameters of interest to the sustainable development community for a particular country.	ORG: Knowledge Management	

Name	Description	Received From	Sends To
Results Framework	Those results necessary to achieve a strategic objective and their causal relationships and underlying assumptions. The results framework establishes an organizational basis for measuring, analyzing, and reporting results of the operating unit. It typically is presented in both narrative and graphical representation.		SP: Define Approach
Strategic Objective	The most ambitious result (intended measurable change) that a OHA operational unit, along with its partners, can materially affect and for which it is willing to be held responsible. The time frame is typically 5-8 years for sustainable development programs, but may be shorter for programs operating under transitional or uncertain circumstances. In cases in which results are difficult to define and measure but activities are necessary because of foreign policy, earmarks, crises, etc., a 'Special Objective' is defined instead of a Strategic Objective.		SP: Define Approach
Country Checklist	A checklist approved by the OHA General Counsel that guides strategic planning with regard to the legal restrictions pertinent to the host country.	ORG: OHA General Counsel	
Annual Performance Plan	The OHA's Annual Performance Plan (APP), describing the OHA's near term approach to meeting US foreign policy, Congressional, and Administration priorities.	DS: Annual Performance Plan	
OHA Strategic Plan	The OHA Strategic Plan (SP) for providing development and humanitarian assistance. The strategic plan articulates the OHA's mission, goals, objectives, and program approaches.	DS: OHA Strategic Plan	

### 3.3.1.3 Supporting Systems / Applications / Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p><b>“System”</b> - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or subprocess</p> <p><b>“Tool”</b> - A purpose-built application designed for decision making, reporting, or mitigating gaps in a corporate system functionality.</p>		
Name/Acronym	Type	Description
Microsoft Office	Tool	A suite of productivity tools produced by the Microsoft Corporation including a word processor (Microsoft Word), a spreadsheet application (Microsoft Excel), presentation software (PowerPoint) and a database application (MS Access). Other applications include a diagramming tool (Visio) and a scheduling product (Microsoft Project).

### 3.3.1.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

### 3.3.2 Define Approach

#### 3.3.2.1 Sub-Process Details

<b>General Sub-Process Information</b>	
<b>Sub-Process Description</b>	<p>Consider the scale and scope as factors in the approach design to determine the size and complexity of the Strategic Objective and the number of interventions needed.</p> <p>Prepare a Statement of Strategic Objective. This is a comprehensive analysis justifying the creation of a new Strategic Objective. Submit it for formal approval as part of the Strategic Plan approval process.</p> <p>In the Results Framework convey the hypothesis and cause and effect between Strategic Objectives and Intermediate Results, capturing strategies, describing clear, measurable, feasible results, identifying critical assumptions and proposing the preliminary Performance Management Plan (PMP). If appropriate, use illustrative activities to achieve the results outlined in the IR.</p> <p>Define the tools and tactics that will support the program:</p> <ul style="list-style-type: none"> <li>procurement vehicles</li> <li>partnering relationships</li> <li>contracts / loan programs / research grants</li> <li>intervention types</li> <li>delivery mechanisms</li> <li>duration</li> </ul> <p>Plan a daily process for collecting performance information and document the process in the Performance Monitoring Plan. Use the Performance Monitoring Plan as a monitoring tool for the Operating Unit.</p> <p>Prepare an estimate of required resources for the Strategic Objective. This estimate establishes the basis for authorizing the life of the Strategic Objective funding level. Propose start and end dates and, if necessary, modify end dates for previously approved Strategic Objective.</p>
<b>FEA BRM v2.0 Sub function</b>	<p>Services for Citizens / International Affairs &amp; Commerce / International Development &amp; Humanitarian Aid</p> <p>Services for Citizens / Health / Illness Prevention</p> <p>Services for Citizens / Health / Immunization Management</p> <p>Services for Citizens / Health / Public Health Monitoring</p> <p>Services for Citizens / Health / Health Care Services</p> <p>Support Delivery of Services / Planning and Resource Allocation / Strategic Planning</p>
<b>Assessment</b>	<p>Even though many of the missions now provide SPs, there is little or no standardizations of planning parameters. The missions are instructed to create performance indicators based on the objectives but no direction is given on how to define the indicators. This leads to two types of incongruity: 1) different missions select different parameters and/or units of measure for similar measurements, sometimes causing overlap and making it impossible to accurately aggregate results; 2) the same measurements are provided using different descriptions thus causing combinable results to be left unaggregated because of confusion and misunderstanding.</p>

<b>Who's doing the sub-process? (Business Units and roles)</b>		
<p><b>“Owns”</b> – Provides high level guidance, directs overall effort for completing sub process, is measured by and ultimately responsible for results.</p> <p><b>“Executes”</b> – Manages day-to-day activities of the sub process and is responsible for the quality and timeliness of completing the tasks of the sub process.</p> <p><b>”Participates”</b> – Performs day-to-day activities and contributes to the execution of tasks of the sub process.</p> <p><b>“Advises”</b> – Plays a consultative role to the supported business unit in the execution of the sub process.</p>		
<b>Business Unit</b>	<b>Role</b>	<b>Execution Frequency</b>
Operating Unit	Owns	Ongoing

<b>Where is the sub-process performed? (Sub-Process Execution)</b>	
<b>Business Unit</b>	<b>Location</b>
Global Health	USAID/W
Regional Bureau	USAID/W
Missions	Worldwide

### 3.3.2.2 Business Data Used by Sub-Process

<b>Name</b>	<b>Description</b>	<b>Received From</b>	<b>Sends To</b>
Strategic Objective	The most ambitious result (intended measurable change) that a OHA operational unit, along with its partners, can materially affect and for which it is willing to be held responsible. The time frame is typically 5-8 years for sustainable development programs, but may be shorter for programs operating under transitional or uncertain circumstances. In cases in which results are difficult to define and measure but activities are necessary because of foreign policy, earmarks, crises, etc., a 'Special Objective' is defined instead of a Strategic Objective.	SP: Articulate Desired Results	
Results Framework	Those results necessary to achieve a strategic objective and their causal relationships and underlying assumptions. The results framework establishes an organizational basis for measuring, analyzing, and reporting results of the operating unit. It typically is presented in both narrative and graphical representation.	SP: Articulate Desired Results	
Illustrative Activity	An example of an activity that could be carried out to help achieve a strategic objective, showing how the identified approach would apply tools and techniques that are appropriate to the problem, country, and partners involved.		SP: Record Strategic Plan
Schedules	The long-range (generally 5-8 year) schedules over which the strategic objectives are to be achieved, against which resource requirements are estimated.		SP: Record Strategic Plan

Name	Description	Received From	Sends To
Estimated Resources	The estimated resource requirements by year over the planning period necessary to achieve the strategic objective.		SP: Record Strategic Plan
Performance Monitoring Plan	A tool used by an Operating Unit and a Strategic Objective (SO) Team to help plan and manage the process of assessing and reporting progress towards achieving an SO. It contains full documentation on the indicators to be used, their sources, the quality of data available, and responsibilities for collection and analysis of data.		DS: Performance Monitoring Plan
Partners Plans & Capabilities	The strategic plans and ongoing activities of OHA partners in the geographical area of interest, as well as the capacities, resources, and skills that the partners can bring to bear in OHA programs.	ORG: Partners	
Lessons Learned	The conclusions extracted from reviewing a development program or activity by participants, managers, customers, or evaluators, with implications for effectively addressing similar issues/problems in another setting. Include results, as measured by indicators, and actual expenditures required to achieve them.	ORG: Knowledge Management	
Proposed Strategy	A definition of the overall approach for achieving the strategic objective, including the type of tools (e.g., procurement vehicles and partnering relationships) and tactics (e.g., loan programs or research grants) that will be the cornerstones of the approach.		SP: Record Strategic Plan

### 3.3.2.3 Supporting Systems / Applications / Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p><b>“System”</b> - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or subprocess</p> <p><b>“Tool”</b> - A purpose-built application designed for decision making, reporting, or mitigating gaps in a corporate system functionality.</p>		
Name/Acronym	Type	Description
Microsoft Office	Tool	A suite of productivity tools produced by the Microsoft Corporation including a word processor (Microsoft Word), a spreadsheet application (Microsoft Excel), presentation software (PowerPoint) and a database application (MS Access). Other applications include a diagramming tool (Visio) and a scheduling product (Microsoft Project).

### 3.3.2.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

### 3.3.3 Formulate Budget

#### 3.3.3.1 Sub-Process Details

General Sub-Process Information	
<b>Sub-Process Description</b>	Determine the total cost of the Strategic Objective and identify how the plan will be financed through available resources. Total cost of the plan represents the sum of the cost of the activities that have been identified to achieve the Strategic Objective goals, objectives, and targets. Break out activities by unit cost where applicable. Specify the annual costs over the life of the Strategic Objective, or at least over the first three years. Identify 'up front' costs such as vehicle and equipment purchases.
<b>FEA BRM v2.0 Sub function</b>	Services for Citizens / International Affairs & Commerce / International Development & Humanitarian Aid Services for Citizens / Health / Illness Prevention Services for Citizens / Health / Immunization Management Services for Citizens / Health / Public Health Monitoring Services for Citizens / Health / Health Care Services Support Delivery of Services / Planning and Resource Allocation / Strategic Planning
<b>Assessment</b>	This activity is typically performed in the year prior to the planned implementation date. This allows for budget funds to be accounted for in the Operating Unit, budget request so that the funds are allocated in the appropriate year.

Who's doing the sub-process? (Business Units and roles)		
<p><b>“Owns”</b> – Provides high level guidance, directs overall effort for completing sub process, is measured by and ultimately responsible for results.</p> <p><b>“Executes”</b> – Manages day-to-day activities of the sub process and is responsible for the quality and timeliness of completing the tasks of the sub process.</p> <p>”Participates” – Performs day-to-day activities and contributes to the execution of tasks of the sub process.</p> <p><b>“Advises”</b> – Plays a consultative role to the supported business unit in the execution of the sub process.</p>		
Business Unit	Role	Execution Frequency
OHA	Owns	Ongoing

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Global Health	USAID/W

### 3.3.3.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Policy Guidance	OHA priorities for the current planning year, articulated through PPC. Policy guidance is used by the OUs to select strategic objectives. The OUs select as strategic objectives goals that both meet local or regional needs and that support agency-wide goals expressed in the policy guidance.		SP: Articulate Desired Results
Strategic Plan	The OHA Strategic Plan (SP) for providing development and humanitarian assistance. The strategic plan articulates the OHA's mission, goals, objectives, and program approaches.		DS: Strategic Plan

### 3.3.3.3 Supporting Systems / Applications / Tools

<b>Systems, Applications, and Tools Used to Support the Sub-Process</b>		
<p><b>“System”</b> - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or subprocess</p> <p><b>“Tool”</b> - A purpose-built application designed for decision making, reporting, or mitigating gaps in a corporate system functionality.</p>		
Name/Acronym	Type	Description
Microsoft Office	Tool	A suite of productivity tools produced by the Microsoft Corporation including a word processor (Microsoft Word), a spreadsheet application (Microsoft Excel), presentation software (PowerPoint) and a database application (MS Access). Other applications include a diagramming tool (Visio) and a scheduling product (Microsoft Project).

### 3.3.3.4 Services

<b>What services are currently defined to support this sub-process?</b>	
Service Name	Description
Not Currently Defined	

### 3.3.4 Draft Strategic Plan

#### 3.3.4.1 Sub-Process Details

General Sub-Process Information	
<b>Sub-Process Description</b>	<p>Draft the Strategic Plan incorporating: the HIV/AIDS situation in the region and it's effect on the social and economic environments goals, objectives and targets of the Strategic Objective determinants and risk factors key gaps and opportunities priorities a broad description of the activities required to achieve the plan objectives.</p> <p>Focus on the business aspects of the Strategic Objective as well including: partners in the response human resource requirements physical assets and equipment requirements cost analysis and financing strategy monitoring and evaluation plan as described in the Performance Monitoring Plan.</p> <p>Articulate the selected Strategic Objective approach as an element within the Operating Unit's Strategic Plan.</p>
<b>FEA BRM v2.0 Sub function</b>	<p>Services for Citizens / International Affairs &amp; Commerce / International Development &amp; Humanitarian Aid</p> <p>Services for Citizens / Health / Illness Prevention</p> <p>Services for Citizens / Health / Immunization Management</p> <p>Services for Citizens / Health / Public Health Monitoring</p> <p>Services for Citizens / Health / Health Care Services</p> <p>Support Delivery of Services / Planning and Resource Allocation / Strategic Planning</p>
<b>Assessment</b>	<p>Based on anecdotal information, the performance indicators and parameters used n the preparation of the Strategic Objectives which feed the Strategic Plans do not necessarily align with OHA and agency objectives thus making it difficult to aggregate the results into meaningful information.</p>

Who's doing the sub-process? (Business Units and roles)		
<p><b>“Owns”</b> – Provides high level guidance, directs overall effort for completing sub process, is measured by and ultimately responsible for results.</p> <p><b>“Executes”</b> – Manages day-to-day activities of the sub process and is responsible for the quality and timeliness of completing the tasks of the sub process.</p> <p><b>”Participates”</b> – Performs day-to-day activities and contributes to the execution of tasks of the sub process.</p> <p><b>“Advises”</b> – Plays a consultative role to the supported business unit in the execution of the sub process.</p>		
Business Unit	Role	Execution Frequency
Operating Unit	Owns	Ongoing

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Global Health	USAID/W
Regional Bureaus	USAID/W
Missions	Worldwide

### 3.3.4.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Proposed Strategy	A definition of the overall approach for achieving the strategic objective, including the type of tools (e.g., procurement vehicles and partnering relationships) and tactics (e.g., loan programs or research grants) that will be the cornerstones of the approach.	SP: Define Approach	
Illustrative Activity	An example of an activity that could be carried out to help achieve a strategic objective, showing how the identified approach would apply tools and techniques that are appropriate to the problem, country, and partners involved.	SP: Define Approach	
Schedules	The long-range (generally 5-8 year) schedules over which the strategic objectives are to be achieved, against which resource requirements are estimated.	SP: Define Approach	
Estimated Resources	The estimated resource requirements by year over the planning period necessary to achieve the strategic objective.	SP: Define Approach	
Management Agreement	An agreement between an Operating Unit and its Bureau that provides approval to carry out a proposed strategy. The management agreement provides a summary of agreements on a set of strategic and other objectives, confirmation of estimated resources over the strategy period, time period for completion of each Strategic Objective (SO), and additional guidance on any special management concerns.	SP: Review & Approve Plans	
OU Strategic Plan	A 5 to 10 year plan developed by the OU that includes a strategic vision, rationale for assistance, overall environment for assistance, rationale for strategic plan timeframe and choice of strategic objectives, a results framework, summary of resources needed for all strategic objectives, and program management plan (staff and OE resources required).		DS: OU Strategic Plan

### 3.3.4.3 Supporting Systems / Applications / Tools

<b><u>Systems, Applications, and Tools Used to Support the Sub-Process</u></b>		
<p>“System” - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or subprocess</p> <p>“Tool” - A purpose-built application designed for decision making, reporting, or mitigating gaps in a corporate system functionality.</p>		
Name/Acronym	Type	Description
Microsoft Office	Tool	A suite of productivity tools produced by the Microsoft Corporation including a word processor (Microsoft Word), a spreadsheet application (Microsoft Excel), presentation software (PowerPoint) and a database application (MS Access). Other applications include a diagramming tool (Visio) and a scheduling product (Microsoft Project).

### 3.3.4.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

### 3.3.5 Obtain Approval

#### 3.3.5.1 Sub-Process Details

General Sub-Process Information	
<b>Sub-Process Description</b>	<p>Strategic Objectives are defined and developed into a Strategic Plan that is approved as part of the Management Agreement process between the Operating Unit and the USAID Bureau of Global Health.</p> <p>During the Management Agreement process Operating Units and Global Health agree on a set of Strategic Objectives, and other objectives, confirm estimated resources over the plan timeframe, and Strategic Objective start and end dates. The Management Agreement serves as a delegation of authority for the Operating Unit to proceed in implementing Strategic Objectives that have been agreed upon.</p> <p>Global Health, as a Pillar Bureau, has primary responsibility for guiding, reviewing, and approving Strategic Plans and Strategic Objectives for Operating Units within their purview and for guiding, reviewing, and approving Strategic Objectives containing HIV/AIDS related Intermediate Results with a budget in excess of \$1 million per year for bureaus outside of their domain. Global Health coordinates the review and clearance of the Strategic Plan and Strategic Objectives with a broad range of partners including Policy &amp; Program Coordination, Regional Bureaus, and Country Representative.</p> <p>The exact size and make up of the review team depends on Strategic Objective content and reviewer availability. An Issues Paper is created containing questions, clarifications and issues and forwarded to the Operating Unit for comment. A meeting is convened to review the Issues Paper and Operating Unit responses. An email, letter or cable containing the results, agreements and Strategic Objective modifications agreed to during the meeting serves as the final Strategic Objective approval.</p>
<b>FEA BRM v2.0 Sub function</b>	<p>Services for Citizens / International Affairs &amp; Commerce / International Development &amp; Humanitarian Aid</p> <p>Services for Citizens / Health / Illness Prevention</p> <p>Services for Citizens / Health / Immunization Management</p> <p>Services for Citizens / Health / Public Health Monitoring</p> <p>Services for Citizens / Health / Health Care Services</p> <p>Support Delivery of Services / Planning and Resource Allocation / Strategic Planning</p>
<b>Assessment</b>	N/A

<b>Who's doing the sub-process? (Business Units and roles)</b>		
<p><b>“Owns”</b> – Provides high level guidance, directs overall effort for completing sub process, is measured by and ultimately responsible for results.</p> <p><b>“Executes”</b> – Manages day-to-day activities of the sub process and is responsible for the quality and timeliness of completing the tasks of the sub process.</p> <p><b>”Participates”</b> – Performs day-to-day activities and contributes to the execution of tasks of the sub process.</p> <p><b>“Advises”</b> – Plays a consultative role to the supported business unit in the execution of the sub process.</p>		
<b>Business Unit</b>	<b>Role</b>	<b>Execution Frequency</b>
Global Health	Owns	Ongoing
Regional Bureau	Owns & Participates	Ongoing
Missions	Participates	Ongoing

<b>Where is the sub-process performed? (Sub-Process Execution)</b>	
<b>Business Unit</b>	<b>Location</b>
Global Health	USAID/W
Regional Bureau	USAID/W
Missions	Worldwide

### 3.3.5.2 Business Data Used by Sub-Process

<b>Name</b>	<b>Description</b>	<b>Received From</b>	<b>Sends To</b>
OU Strategic Plan	A 5 to 10 year plan developed by the OU that includes a strategic vision, rationale for assistance, overall environment for assistance, rationale for strategic plan timeframe and choice of strategic objectives, a results framework, summary of resources needed for all strategic objectives, and program management plan (staff and OE resources required).	SP: Record Strategic Plan	
Management Agreement	A Management Agreement serves as a delegation of authority for the Operating Unit to proceed in implementing SOs that have been agreed to.		DS: Management Agreement

### 3.3.5.3 Supporting Systems / Applications / Tools

<b>Systems, Applications, and Tools Used to Support the Sub-Process</b>		
<p><b>“System”</b> - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or subprocess</p> <p><b>“Tool”</b> - A purpose-built application designed for decision making, reporting, or mitigating gaps in a corporate system functionality.</p>		
<b>Name/Acronym</b>	<b>Type</b>	<b>Description</b>
Microsoft Office	Tool	A suite of productivity tools produced by the Microsoft Corporation including a word processor (Microsoft Word), a spreadsheet application (Microsoft Excel), presentation software (PowerPoint) and a database application (MS Access). Other applications include a diagramming tool (Visio) and a scheduling product (Microsoft Project).

### 3.3.5.4 Services

<b>What services are currently defined to support this sub-process?</b>	
<b>Service Name</b>	<b>Description</b>
Not Currently Defined	

### 3.4 Achieve

#### 3.4.1 Negotiate Strategic Objective Agreement

##### 3.4.1.1 Sub-Process Details

General Sub-Process Information	
<b>Sub-Process Description</b>	Negotiate an agreement with the host government reflecting the commitment of USAID and the host government to carry out the program as defined. Strategic Objectives often require administrative arrangements with host country government agencies and bodies. These arrangements might include approvals to import vaccines or commodities duty-free or at a reduced tariff rate. They might include the procurement of visas for partners' staff. This activity is typically managed by administrative staff that is already resident in the host country under the guidance of the Strategic Objective Team.
<b>FEA BRM v2.0 Sub function</b>	Services for Citizens / International Affairs & Commerce / International Development & Humanitarian Aid Services for Citizens / Health / Illness Prevention Services for Citizens / Health / Immunization Management Services for Citizens / Health / Public Health Monitoring Services for Citizens / Health / Health Care Services
<b>Assessment</b>	N/A

Who's doing the sub-process? (Business Units and roles)		
<p><b>"Owns"</b> – Provides high level guidance, directs overall effort for completing sub process, is measured by and ultimately responsible for results.</p> <p><b>"Executes"</b> – Manages day-to-day activities of the sub process and is responsible for the quality and timeliness of completing the tasks of the sub process.</p> <p><b>"Participates"</b> – Performs day-to-day activities and contributes to the execution of tasks of the sub process.</p> <p><b>"Advises"</b> – Plays a consultative role to the supported business unit in the execution of the sub process.</p>		
Business Unit	Role	Execution Frequency
Operating Unit	Owns	Ongoing

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Global Health	USAID/W
Regional Bureau	USAID/W
Missions	Worldwide

## 3.4.1.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Revisions	Changes to activity plans, results packages, and subordinate implementation plans. These revisions result from ongoing analyses and validations of OHA programs, approaches, and results, as well as from changes in the OHA's budget picture.		SP: Develop Activity Plans
SO Agreement	A formal agreement that obligates funds between OHA and the host government or other parties, setting forth a mutually agreed upon understanding of the time frame, results expected to be achieved, means of measuring those results, resources, responsibilities, and contributions of participating entities for achieving a clearly defined strategic objective. Such an agreement between OHA and the host government may allow for third parties (e.g., NGOs) to enter into sub-agreements with either OHA or the host government or both to carry out some or all of the activities required for achieving the objective.		SP: Monitor Activity Plans
Sub-Agreement	An agreement between OHA and a partner such as an NGO to carry out some or all of the activities required to achieve the objective defined in the SO agreement (associated with sub-commitments and sub-obligations, which are commitments and obligations made under an umbrella SO agreement).		ORG: Partner
Negotiation Outcome	Results of discussions between a OHA operating unit and the government of a host country concerning the means, time frame, and tactics for achieving a strategic objective.	ORG: Host country government	ORG: Host country government
Review/Approval	The reviewed version of, or review comments on, a document submitted to a higher authority for approval, and the corresponding notice of approval. Failure to obtain approval may result in iteration until approval is obtained, or in cancellation of the document and/or its activity.		ORG: OHA Management
Activity Plan	Documentation of the management plan for the activities supporting a strategic objective. "Activity" includes any action used to advance the achievement of a given result or objective (directly by OHA staff, through awards, or by transfer of funds). The activity plan identifies the required activity outputs, implementing instruments, and detailed budget and schedule estimates.	SP: Develop Activity Plans	

### 3.4.1.3 Supporting Systems / Applications / Tools

<b>Systems, Applications, and Tools Used to Support the Sub-Process</b>		
<p><b>“System”</b> - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or subprocess</p> <p><b>“Tool”</b> - A purpose-built application designed for decision making, reporting, or mitigating gaps in a corporate system functionality.</p>		
<b>Name/Acronym</b>	<b>Type</b>	<b>Description</b>
Microsoft Office	Tool	A suite of productivity tools produced by the Microsoft Corporation including a word processor (Microsoft Word), a spreadsheet application (Microsoft Excel), presentation software (PowerPoint) and a database application (MS Access). Other applications include a diagramming tool (Visio) and a scheduling product (Microsoft Project).

### 3.4.1.4 Services

<b>What services are currently defined to support this sub-process?</b>	
<b>Service Name</b>	<b>Description</b>
Not Currently Defined	

## 3.4.2 Draft and Execute Procurement Documents

### 3.4.2.1 Sub-Process Details

<b>General Sub-Process Information</b>	
<b>Sub-Process Description</b>	<p>Develop an Acquisition and Assistance Plan at the activity level. OHA uses formal instruments or agreements to provide funds to its implementing partners. Operating Units work with these experts to develop acquisition and assistance plans that allow them to execute appropriate obligating or sub-obligating instruments as expeditiously as possible. These plans describe plans for competition or for waivers of competition, and discuss source and origin requirements, or planned waivers of those requirements. A&amp;A Plans also discuss expected completion dates for all implementing instruments.</p> <p>Operating Units are further responsible for selecting, in close consultation with contracting and legal officials, the most appropriate type of instrument(s) to implement an activity based on the purpose of the activity and the relationship OHA intends to have with the implementing partner. The contracting official is responsible for making the final determination.</p> <p>Once the achieving phase begins, the Operating Unit manages the relationship with the individual implementing partner according to the rules established by the specific instrument that was awarded.</p>
<b>FEA BRM v2.0 Sub function</b>	<p>Services for Citizens / International Affairs &amp; Commerce / International Development &amp; Humanitarian Aid</p> <p>Services for Citizens / Health / Illness Prevention</p> <p>Services for Citizens / Health / Immunization Management</p> <p>Services for Citizens / Health / Public Health Monitoring</p> <p>Services for Citizens / Health / Health Care Services</p>
<b>Assessment</b>	N/A

<b>Who's doing the sub-process? (Business Units and roles)</b>		
<p><b>"Owns"</b> – Provides high level guidance, directs overall effort for completing sub process, is measured by and ultimately responsible for results.</p> <p><b>"Executes"</b> – Manages day-to-day activities of the sub process and is responsible for the quality and timeliness of completing the tasks of the sub process.</p> <p><b>"Participates"</b> – Performs day-to-day activities and contributes to the execution of tasks of the sub process.</p> <p><b>"Advises"</b> – Plays a consultative role to the supported business unit in the execution of the sub process.</p>		
<b>Business Unit</b>	<b>Role</b>	<b>Execution Frequency</b>
Operating Unit	Owns	Ongoing

<b>Where is the sub-process performed? (Sub-Process Execution)</b>	
<b>Business Unit</b>	<b>Location</b>
Global Health	USAID/W
Regional Bureaus	USAID/W
Missions	Worldwide

### 3.4.2.2 Business Data Used by Sub-Process

<b>Name</b>	<b>Description</b>	<b>Received From</b>	<b>Sends To</b>
SO Activity Structure	The structure of the activity package that will be used to collect costs for the work performed toward the strategic objective; essentially the work breakdown structure mapped to the accounting structure.		BPA: FM
Program / OE Needs	Program needs are goods and services necessary for achieving the strategic objective. The information is used during procurement planning to identify the awards to be made and the time frame on which they must be issued. Operating Expense (oe) needs are required to meet administrative or facility requirements in order to support the programs being carried out by the operating unit.		BPA: A&A
Activity Plan	Documentation of the management plan for the activities supporting a strategic objective. "Activity" includes any action used to advance the achievement of a given result or objective (directly by OHA staff, through awards, or by transfer of funds). The activity plan identifies the required activity outputs, implementing instruments, and detailed budget and schedule estimates.		SP: Negotiate SO Agreement & SP: Monitor Activity Implementation
Revisions	Changes to activity plans, results packages, and subordinate implementation plans. These revisions result from ongoing analyses and validations of OHA programs, approaches, and results, as well as from changes in the OHA's budget picture.	SP: Negotiate SO Agreement & SP: Monitor Activity Implementation	

Name	Description	Received From	Sends To
Performance Monitoring Plan	A tool used by an Operating Unit and a Strategic Objective (SO) Team to help plan and manage the process of assessing and reporting progress towards achieving an SO. It contains full documentation on the indicators to be used, their sources, the quality of data available, and responsibilities for collection and analysis of data.		DS: performance monitoring plan
Accounting Classification Structure	Accounting Classification Structure defined within FM in accordance with JFMIP requirements. Knowledge of the ACS is required for setting up the SO activity structure.		BPA: FM

### 3.4.2.3 Supporting Systems / Applications / Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p><b>“System”</b> - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or subprocess</p> <p><b>“Tool”</b> - A purpose-built application designed for decision making, reporting, or mitigating gaps in a corporate system functionality.</p>		
Name/Acronym	Type	Description
New Management System A&A	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
Documentum	Application	Enterprise Content Management (ECM) package with integrated vertical applications such as eRoom, ACTS, E-mail Tracking, Assist, and Collaboration.
Microsoft Office	Tool	A suite of productivity tools produced by the Microsoft Corporation including a word processor (Microsoft Word), a spreadsheet application (Microsoft Excel), presentation software (PowerPoint) and a database application (MS Access). Other applications include a diagramming tool (Visio) and a scheduling product (Microsoft Project).

### 3.4.2.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

### 3.4.3 Complete Activity Planning Requirements

#### 3.4.3.1 Sub-Process Details

General Sub-Process Information	
<b>Sub-Process Description</b>	<p>Review and finalize the detailed plans for the activities to achieve the Strategic Objective. Update the Strategic Plan and add topics as required to provide a comprehensive picture of the activity. Add or update the following topics:</p> <p>Strategic Objective Team structure, assignments, and work breakdown structure approved schedules and budgets defined performance monitoring techniques supporting technical analyses approved funding instruments selection tactics and planning for award of instruments (interface to A&amp;A for procurement planning) environmental and statutory (Regional Legal Advisor) reviews</p> <p>Submit the revised Strategic Plan to Operating Unit management for approval.</p>
FEA BRM v2.0 Sub function	<p>Services for Citizens / International Affairs &amp; Commerce / International Development &amp; Humanitarian Aid</p> <p>Services for Citizens / Health / Illness Prevention</p> <p>Services for Citizens / Health / Immunization Management</p> <p>Services for Citizens / Health / Public Health Monitoring</p> <p>Services for Citizens / Health / Health Care Services</p>
Assessment	N/A

Who's doing the sub-process? (Business Units and roles)		
<p><b>"Owns"</b> – Provides high level guidance, directs overall effort for completing sub process, is measured by and ultimately responsible for results.</p> <p><b>"Executes"</b> – Manages day-to-day activities of the sub process and is responsible for the quality and timeliness of completing the tasks of the sub process.</p> <p><b>"Participates"</b> – Performs day-to-day activities and contributes to the execution of tasks of the sub process.</p> <p><b>"Advises"</b> – Plays a consultative role to the supported business unit in the execution of the sub process.</p>		
Business Unit	Role	Execution Frequency
Operating Unit	Owns	Ongoing

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Global Health	USAID/W
Regional Bureaus	USAID/W
Missions	Worldwide

#### 3.4.3.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
SO Activity Structure	The structure of the activity package that will be used to collect costs for the work performed; essentially the work breakdown structure mapped to the accounting structure.		BPA: FM
Resource Constraints	The actual amount of resources planned to be available to be obligated for a unit of work.		BPA: A&A

Name	Description	Received From	Sends To
Program / OE Needs	Program needs are goods and services necessary for achieving the strategic objective. The information is used during procurement planning to identify the awards to be made and the time frame on which they must be issued. Operating Expense (oe) needs are required to meet administrative or facility requirements in order to support the programs being carried out by the operating unit.		BPA: A&A
SO Team Structure	A definition of the membership and skillset of the team responsible for administering the SO. The structure may change during different phases of the SO to reflect changing skillsets.		SP: Monitor Activity Implementation
Activity Plan	Documentation of the management plan for the activities supporting a strategic objective. "Activity" includes any action used to advance the achievement of a given result or objective (directly by OHA staff, through awards, or by transfer of funds). The activity plan identifies the required activity outputs, implementing instruments, and detailed budget and schedule estimates.		SP: Negotiate SO Agreement & SP: Monitor Activity Implementation
Revisions	Changes to activity plans, results packages, and subordinate implementation plans. These revisions result from ongoing analyses and validations of OHA programs, approaches, and results, as well as from changes in the OHA's budget picture.	SP: Negotiate SO Agreement & SP: Monitor Activity Implementation	
Skill Requirements	Skills and knowledge (human resources) required to carry out activities in support of a Strategic Objective. Used in the Human Resources Workforce Planning business process to help direct human resources to areas where they are needed and to plan the OHA's acquisition of any skills and knowledge it is short of.		ORG: HR
Staffing Strategy	A plan of action or method used to fill a vacant or potentially vacant position.	ORG: HR	
Activity Approval Document	Activity Approval Document (AAD). A document that approves one or more activities for implementation. An AAD is required prior to obligating funds. Approval occurs at the OU level.		DS: activity approval document
Assistance Checklist	Documentation of the management plan for the activities supporting a strategic objective. "Activity" includes any action used to advance the achievement of a given result or objective (directly by OHA staff, through awards, or by transfer of funds). The activity plan identifies the required activity outputs, implementing instruments, and detailed budget and schedule estimates.		ORG: OHA General Council
Operational Planning Information	Knowledge related to tactical planning: establishing teams, defining work breakdown structures, developing procurement plans, establishing performance monitoring techniques, etc. Includes descriptions of approaches that have been used by the OHA experience using them. Approaches include ways of attacking categories of		ORG: Knowledge Management

Name	Description	Received From	Sends To
	development problems and experience with different instruments.		
Performance Monitoring Plan	A tool used by an Operating Unit and a Strategic Objective (SO) Team to help plan and manage the process of assessing and reporting progress towards achieving an SO. It contains full documentation on the indicators to be used, their sources, the quality of data available, and responsibilities for collection and analysis of data.		DS: performance monitoring plan
OU Strategic Plan	A 5 to 10 year plan developed by the OU that includes a strategic vision, rationale for assistance, overall environment for assistance, rationale for strategic plan timeframe and choice of strategic objectives, a results framework, summary of resources needed for all strategic objectives, and program management plan (staff and OE resources required).		DS: ou strategic plan
Unused Prior Year Budget Authority	Authority to expend funds from a prior fiscal year during the current fiscal year, provided those funds are qualified for carryover.		BPA: FM
Accounting Classification Structure	Accounting Classification Structure defined within FM in accordance with JFMIP requirements. Knowledge of the ACS is required for setting up the SO activity structure.		BPA: FM

### 3.4.3.3 Supporting Systems / Applications / Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p><b>“System”</b> - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or subprocess</p> <p><b>“Tool”</b> - A purpose-built application designed for decision making, reporting, or mitigating gaps in a corporate system functionality.</p>		
Name/Acronym	Type	Description
Microsoft Office	Tool	A suite of productivity tools produced by the Microsoft Corporation including a word processor (Microsoft Word), a spreadsheet application (Microsoft Excel), presentation software (PowerPoint) and a database application (MS Access). Other applications include a diagramming tool (Visio) and a scheduling product (Microsoft Project).

### 3.4.3.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

### 3.4.4 Monitor Activity Implementation

#### 3.4.4.1 Sub-Process Details

General Sub-Process Information	
<b>Sub-Process Description</b>	<p>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 use them. Define the indicators that will be used to monitor and assess the program performance and clearly define the methods of data collection.</p> <p>Monitor, manage and document the activities described in the Work Plan, as well as financial and operational matters such as: availability of funds execution of budget congressional notification of upcoming obligations performance of partner issue identification and resolution</p> <p>Assess the Work Plan on, at least, an annual basis to determine its validity as a monitoring tool for the Strategic Objective.</p>
<b>FEA BRM v2.0 Sub function</b>	<p>Services for Citizens / International Affairs &amp; Commerce / International Development &amp; Humanitarian Aid</p> <p>Services for Citizens / Health / Illness Prevention</p> <p>Services for Citizens / Health / Immunization Management</p> <p>Services for Citizens / Health / Public Health Monitoring</p> <p>Services for Citizens / Health / Health Care Services</p>
<b>Assessment</b>	<p>Based on anecdotal information, the performance indicators and parameters used in the preparation of the Strategic Objectives do not necessarily align with OHA and agency objectives thus making it difficult to aggregate the results into meaningful information.</p>

Who's doing the sub-process? (Business Units and roles)		
<p><b>"Owns"</b> – Provides high level guidance, directs overall effort for completing sub process, is measured by and ultimately responsible for results.</p> <p><b>"Executes"</b> – Manages day-to-day activities of the sub process and is responsible for the quality and timeliness of completing the tasks of the sub process.</p> <p><b>"Participates"</b> – Performs day-to-day activities and contributes to the execution of tasks of the sub process.</p> <p><b>"Advises"</b> – Plays a consultative role to the supported business unit in the execution of the sub process.</p>		
Business Unit	Role	Execution Frequency
Operating Unit	Owns	Ongoing

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Global Health	USAID/W
Pillar Bureau	USAID/W
Missions	Worldwide

## 3.4.4.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Award	<p>A legal agreement specifying goods and services to be acquired or assistance activities to be supported by the OHA and the terms of support, including the method and amount of compensation or assistance. OHA awards include:</p> <p>(1) Small Purchases: governed by Simplified Acquisition Procedures (FAR part 13); up to \$100,000 value.</p> <p>(2) Large Purchases:</p> <p>(a) accomplished through competitive contracts, governed by sealed bidding procedures (FAR parts 14 and 15).</p> <p>(b) accomplished through assistance awards, both grants and cooperative agreements.</p> <p>(c) accomplished through interOHA agreements (IAAs), primarily Participating OHA Service Agreements (PASAs) and Resource Support Services Agreements (RSSAs), but also including other types of IAAs.</p>	BPA: A&A	
Financial Performance Status	Actual financial information reflecting all OHA transactions (events that change OHA financial position). Actual amounts available, committed, obligated, and expended reflecting all transactions at all accounting classification system (ACS) levels. This data may be for the current year or any prior year, as requested.	BPA: FM	
Amount To Be Accrued	A report of the amount to be accrued for an accounting period. An accrual is the value of the liabilities or expenses recognized during the period for goods and/or services received, but not yet distributed (source: ADS 631).	BPA: FM	
Approved Accrual	The CTO's approval of the amount to be accrued, corrected as necessary by the CTO.		BPA: FM
Budget Execution Reports	Summary and detailed information for OHA technical officers, program managers, and operating unit administrators of OHA spending against OYB budget levels. The information includes reports of pipeline (cumulative obligations less expenditures) and mortgage (planned costs less cumulative obligations) for purposes of program management.	BPA: Budget	
Budgetary Event Notice	A notice to the cognizant program officials that a budgetary control or other limit has been or will shortly be reached, or that Congress has imposed a hold affecting upcoming obligations.	BPA: Budget	

Name	Description	Received From	Sends To
Upcoming Obligation	Notice of a planned upcoming obligation for purposes of informing Congress via Congressional or Technical notification, and notice of any of the changes in planned activities or spending level that would trigger a Congressional or Technical notification.		BPA: Budget
Program Results	Changes in the conditions of a customer or changes in the host country conditions which have relationships to the customer. A result is brought about by the intervention of OHA in concert with its development partners. Results are linked by causal relationships; i.e., a result is achieved because related, interdependent results were achieved.		DS: Program Results
Outputs	Tangible, immediate, and intended products or consequences of an activity. Example: people fed, personnel trained, better technologies developed, and new construction. Deliverables included in contracts are generally be considered outputs, as are tangible products and consequences of grantees. [source: ADS 200]. OHA monitors outputs through partner deliverables such as: <ul style="list-style-type: none"> <li>▪ progress reports</li> <li>▪ technical reports</li> <li>▪ performance indicator data</li> <li>▪ qualitative results report</li> <li>▪ invoices</li> <li>▪ end use property report</li> <li>▪ in some cases, goods and services supplied directly to OHA</li> </ul>	ORG: Partner	
Direction	High level direction provided by OHA to partners carrying out development activities under OHA awards. Consists of a statement of work and/or a statement of results to be achieved. Also identifies required reporting deliveries and schedules.		ORG: Partner
Partner Work Plans	The partner's detailed management plans for carrying out its portion of the strategic objective.	ORG: Partner	
SO Agreement	A formal agreement that obligates funds between OHA and the host government or other parties, setting forth a mutually agreed upon understanding of the time frame, results expected to be achieved, means of measuring those results, resources, responsibilities, and contributions of participating entities for achieving a clearly defined strategic objective. Such an agreement between OHA and the host government may allow for third parties (e.g., NGOs) to enter into sub-agreements with either OHA or the host government or both to carry out some or all of the activities required to achieve the objective.		SP: Develop Activity Plans
Revisions	Changes to activity plans, results packages, and subordinate implementation plans. These revisions result from ongoing analyses and validations of OHA programs, approaches, and results, as well as from changes in the OHA's budget picture.	SP: Develop Activity Plans	

Name	Description	Received From	Sends To
Activity Plan	Documentation of the management plan for the activities supporting a strategic objective. "Activity" includes any action used to advance the achievement of a given result or objective (directly by OHA staff, through awards, or by transfer of funds). The activity plan identifies the required activity outputs, implementing instruments, and detailed budget and schedule estimates.	SP: Develop Activity Plans	
Input to Request	Information needed to formulate a request for acquisition or assistance.		BPA: A&A

### 3.4.4.3 Supporting Systems / Applications / Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p><b>"System"</b> - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or subprocess</p> <p><b>"Tool"</b> - A purpose-built application designed for decision making, reporting, or mitigating gaps in a corporate system functionality.</p>		
Name/Acronym	Type	Description
Global Health Expenditures Database	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.
Newvern System	System	Web-based expenditure tracking system for HIV/AIDS program commodities. Including supply chain tracking for mission commodities (procurement, financial, shipping, forecasting).
Mission Accounting and Control System	System	The MACS Auxiliary Ledger is a repository of MACS activity used to satisfy various financial management requirements in USAID/W.
Online Presidential Initiative Network	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	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.
Red Light Green Light	System	Web-based system for tracking high level field funds from appropriation to obligation.
Ask Paul	System	Ask Paul is a database targeted to OHA employees. It contains briefings, memos, and PPT presentations. Content is added on a daily basis.
Microsoft Office	Tool	A suite of productivity tools produced by the Microsoft Corporation including a word processor (Microsoft Word), a spreadsheet application (Microsoft Excel), presentation software (PowerPoint) and a database application (MS Access). Other applications include a diagramming tool (Visio) and a scheduling product (Microsoft Project).

#### 3.4.4.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

## 3.5 Assess & Learn

### 3.5.1 Review Portfolio

#### 3.5.1.1 Sub-Process Details

General Sub-Process Information	
<b>Sub-Process Description</b>	Carry out a periodic review of all aspects of an Operating Unit's or Strategic Objective programs, generally in preparation for submission of the Annual Report. Assess whether the program is "on track" or if new actions are needed to improve the chances of achieving results. Alter, increase, or discontinue activities and rethink the logic behind the original expectations as circumstances require.
<b>FEA BRM v2.0 Sub function</b>	Services for Citizens / International Affairs & Commerce / International Development & Humanitarian Aid Services for Citizens / Health / Illness Prevention Services for Citizens / Health / Immunization Management Services for Citizens / Health / Public Health Monitoring Services for Citizens / Health / Health Care Services
<b>Assessment</b>	The Annual Portfolio Review is an effective process for the Operating Unit to conduct a self assessment of their progress towards targeted program results. This self evaluation is included with accompanying performance indicators in the annual report database providing OHA annual information regarding the Operating Units progress towards HIV/AIDS related interventions and indicator results and program changes that may be needed.

Who's doing the sub-process? (Business Units and roles)		
<p><b>"Owns"</b> – Provides high level guidance, directs overall effort for completing sub process, is measured by and ultimately responsible for results.</p> <p><b>"Executes"</b> – Manages day-to-day activities of the sub process and is responsible for the quality and timeliness of completing the tasks of the sub process.</p> <p><b>"Participates"</b> – Performs day-to-day activities and contributes to the execution of tasks of the sub process.</p> <p><b>"Advises"</b> – Plays a consultative role to the supported business unit in the execution of the sub process.</p>		
Business Unit	Role	Execution Frequency
Operating Unit	Owns	Annually

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Global Health	USAID/W
Regional Bureau	USAID/W
Mission	Worldwide

### 3.5.1.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Performance Monitoring Plan	A tool used by an Operating Unit and a Strategic Objective (SO) Team to help plan and manage the process of assessing and reporting progress towards achieving an SO. It contains full documentation on the indicators to be used, their sources, the quality of data available, and responsibilities for collection and analysis of data.	SP: Record Strategic Plan	
Changes to Plans	Changes in planned objectives, activities, schedules, and resources resulting from portfolio review and/or results evaluation.		SP: Evaluate Results
Results Evaluation	A record of the annual review of the results achieved toward an SO. Includes approach effectiveness (effectiveness of particular tools and tactics in achieving results), results effectiveness (effectiveness of the achieved results in meeting program goals), country performance (changes in social, political, economic, educational, or environmental climate relevant to assessment of the USAID program), and causal relationship (plausible cause and effect linkage; i.e., the logical connection between the achievement of related, interdependent results).		SP: Annual Reporting
Key Management Issues	Key issues and questions related to the overall management of a strategic objective program resulting from a portfolio review.		SP: Evaluate Results
Contractor Evaluation	A Cognizant Technical Officer's (CTO's) evaluation of the performance of the contractor in implementing an Agency award.	SP: Monitor Activity Implementation	
Financial Performance Status	Actual financial information reflecting all Agency transactions (events that change USAID financial position). Actual amounts available, committed, obligated, and expended reflecting all transactions at all accounting classification system (ACS) levels. This data may be for the current year or any prior year, as requested.	ORG: FM	
Management Agreement	An agreement between an Operating Unit and its Bureau that provides approval to carry out a proposed strategy. The management agreement provides a summary of agreements on a set of strategic and other objectives, confirmation of estimated resources over the strategy period, time period for completion of each Strategic Objective (SO), and additional guidance on any special management concerns.	SP: Obtain Approval	
OU Strategic Plans	A 5 to 10 year plan developed by the OU that includes a strategic vision, rationale for assistance and the overall environment for assistance, rationale for strategic plan timeframe and choice of strategic objectives, a results framework, summary of resources needed for all strategic objectives, and program management (staff and OE resources required).	SP: Record Strategic Plan	
Strategic Plan Updates	A memorandum that is prepared by the OU and submitted to the relevant USAID/W Bureau when a "significant" change to an existing approved strategic plan is needed in the area of resources, results framework, performance indicators or their targets. The rationale for and specifics of the changes are described. Approval of the requested changes must be received in writing from the Relevant Bureau.		SP: Record Strategic Plan

Name	Description	Received From	Sends To
Partner Plans & Capabilities	The strategic plans and ongoing activities of USAID partners in the geographical area of interest, as well as the capacities, resources, and skills that the partners can bring to bear in USAID programs.	SP: Develop Activity Plans & SP: Monitor Activity Implementation	

### 3.5.1.3 Supporting Systems / Applications / Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p><b>“System”</b> - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or subprocess</p> <p><b>“Tool”</b> - A purpose-built application designed for decision making, reporting, or mitigating gaps in a corporate system functionality.</p>		
Name/Acronym	Type	Description
Online Presidential Initiative Network	System	A PPC web based system used to track the presidential Initiatives. Used to collect quarterly budget and performance data.
Microsoft Office	Tool	A suite of productivity tools produced by the Microsoft Corporation including a word processor (Microsoft Word), a spreadsheet application (Microsoft Excel), presentation software (PowerPoint) and a database application (MS Access). Other applications include a diagramming tool (Visio) and a scheduling product (Microsoft Project).

### 3.5.1.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

### 3.5.2 Evaluate Results

#### 3.5.2.1 Sub-Process Details

General Sub-Process Information	
<b>Sub-Process Description</b>	Determine if results are being achieved according to plan and if they are likely to be sustainable. Address key management issues and questions arising from portfolio reviews. Perform analysis of the country's social, political, economic, and other factors as necessary. Determine if the current approach should be modified or cancelled. Make any recommendations for changes to tools and tactics. Evaluate HIV/AIDS related Strategic Objective activities, at the Operating Unit, at least every three years by the OHA Bureau in an Intensive Program Review. Provide completed results evaluation reports to USAID's Development Experience Clearinghouse, where they are made accessible for use in planning and assessing other Strategic Objectives through knowledge management systems.
<b>FEA BRM v2.0 Sub function</b>	Services for Citizens / International Affairs & Commerce / International Development & Humanitarian Aid Services for Citizens / Health / Illness Prevention Services for Citizens / Health / Immunization Management Services for Citizens / Health / Public Health Monitoring Services for Citizens / Health / Health Care Services
<b>Assessment</b>	A knowledge management system exists (Development Experience Clearinghouse) but it is not apparent that evaluation results provided are being appropriately utilized by OHA to shape programs, policies and resource allocation decisions. Need to clarify if Intensive Program Reviews are being conducted every three years for each SO at the Operating Unit.

Who's doing the sub-process? (Business Units and roles)		
<p><b>"Owns"</b> – Provides high level guidance, directs overall effort for completing sub process, is measured by and ultimately responsible for results.</p> <p><b>"Executes"</b> – Manages day-to-day activities of the sub process and is responsible for the quality and timeliness of completing the tasks of the sub process.</p> <p><b>"Participates"</b> – Performs day-to-day activities and contributes to the execution of tasks of the sub process.</p> <p><b>"Advises"</b> – Plays a consultative role to the supported business unit in the execution of the sub process.</p>		
Business Unit	Role	Execution Frequency
Global Health	Owns	Ongoing

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Global Health	USAID/W

#### 3.5.2.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Results Evaluation	A record of the annual review of the results achieved toward an SO. Includes approach effectiveness (effectiveness of particular tools and tactics in achieving results), results effectiveness (effectiveness of the achieved results in meeting program goals), country performance (changes in		DS: Results Evaluation

Name	Description	Received From	Sends To
	social, political, economic, educational, or environmental climate relevant to assessment of the USAID program), and causal relationship (plausible cause and effect linkage; i.e., the logical connection between the achievement of related, interdependent results).		
Lessons Learned	The conclusions extracted from reviewing a development program or activity by participants, managers, customers, or evaluators, with implications for effectively addressing similar issues/problems in another setting. Include results, as measured by indicators, and actual expenditures required to achieve them.		ORG: Knowledge Management
Country Trend Data	Time series data for parameters of interest to the sustainable development community for a particular country.	ORG: Knowledge Management	
Customer Needs	The needs, preferences, or reactions of customers regarding an existing or planned activity, result, or strategic objective. Generally elicited through customer surveys.	ORG: Customer	
Program Results	Qualitative and quantitative measurements referred to as indicators that represent progress made towards achieving a strategic objective and its related intermediate results.	DS: Program Results	
Key Management Issues	Key issues and questions related to the overall management of a strategic objective program resulting from a portfolio review.	SP: Review Portfolio	

### 3.5.2.3 Supporting Systems / Applications / Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p><b>“System”</b> - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or subprocess</p> <p><b>“Tool”</b> - A purpose-built application designed for decision making, reporting, or mitigating gaps in a corporate system functionality.</p>		
Name/Acronym	Type	Description
Microsoft Office	Tool	A suite of productivity tools produced by the Microsoft Corporation including a word processor (Microsoft Word), a spreadsheet application (Microsoft Excel), presentation software (PowerPoint) and a database application (MS Access). Other applications include a diagramming tool (Visio) and a scheduling product (Microsoft Project).

### 3.5.2.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

### 3.5.3 Prepare Annual Report

#### 3.5.3.1 Sub-Process Details

General Sub-Process Information	
<b>Sub-Process Description</b>	Perform annual review of progress toward achieving results and re-planning of resources required to meet the Strategic Objective. The Annual Report process is part of both the OHA budgeting cycle and program performance review process. Information provided by the Annual Report process is utilized to prepare the Agency wide Performance and Accountability Report as well as several OHA reports all required by Congress. Annual Report information is also utilized to prepare the Congressional Budget Justification. Operating Unit performance results will impact OHA resource allocation decisions.
<b>FEA BRM v2.0 Sub function</b>	Services for Citizens / International Affairs & Commerce / International Development & Humanitarian Aid Services for Citizens / Health / Illness Prevention Services for Citizens / Health / Immunization Management Services for Citizens / Health / Public Health Monitoring Services for Citizens / Health / Health Care Services
<b>Assessment</b>	Preparing Annual Reports is one of the most important but labor intensive and complex activities faced by the OHA Bureau. Several data sources and systems must be used to bring information required and requested by Congress together in a cohesive and comprehensive manner. There appears to be several areas of duplication across data collection systems and yet it remains difficult to track program activities according to resources obligated and results achieved.

Who's doing the sub-process? (Business Units and roles)		
<p><b>"Owns"</b> – Provides high level guidance, directs overall effort for completing sub process, is measured by and ultimately responsible for results.</p> <p><b>"Executes"</b> – Manages day-to-day activities of the sub process and is responsible for the quality and timeliness of completing the tasks of the sub process.</p> <p><b>"Participates"</b> – Performs day-to-day activities and contributes to the execution of tasks of the sub process.</p> <p><b>"Advises"</b> – Plays a consultative role to the supported business unit in the execution of the sub process.</p>		
Business Unit	Role	Execution Frequency
Operating Unit	Owns	Annual

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Global Health	USAID/W
Regional Bureau	USAID/W
Mission	Worldwide

## 3.5.3.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Resource Constraints	The actual amount of resources planned to be available to be obligated for a unit of work.	BPA: Budget	
Budget Guidance	Framework for setting the Agency budget; consists of (1) policies, (2) budget control amounts, (3) budget formulation schedule with due dates.	BPA: Budget	
Annual Report Data	Performance results submitted by Operating Unit according to Fiscal year and relevant strategic objective. Includes performance indicators results according to SO activity, lessons learned, justification for upcoming resource requests, etc.		BPA: Budget & SP: Determine Program Allocations
Annual Guidance Cable	Guidance issued annually by PPC that provides specific information and instructions necessary to address results review topic areas for a given reporting year. The guidance provides detailed requirements for each section of the annual report and parameters for developing the resource request.	SP: Review Portfolio	
SO Closeout Report	Identify implications of information gathered during the evaluation process for application or replication in addressing similar problems in other settings.		ORG: Knowledge Management
Lessons Learned	The conclusions extracted from reviewing a development program or activity by participants, managers, customers, or evaluators, with implications for effectively addressing similar issues/problems in another setting. Include results, as measured by indicators, and actual expenditures required to achieve them.		ORG: Knowledge Management
Results Evaluation	A record of the annual review of the results achieved toward an SO. Includes approach effectiveness (effectiveness of particular tools and tactics in achieving results), results effectiveness (effectiveness of the achieved results in meeting program goals), country performance (changes in social, political, economic, educational, or environmental climate relevant to assessment of the USAID program), and causal relationship (plausible cause and effect linkage; i.e., the logical connection between the achievement of related, interdependent results).	DS: Results Evaluation	
Changes to Plans	Changes in planned objectives, activities, schedules, and resources resulting from portfolio review and/or results evaluation.	SP: Review Portfolio	
Updated Indicators	Modifications to the indicators used to collect performance data, intended to achieve higher performance data quality or to accommodate changes in the strategic objective or approach.		DS: Performance Monitoring Plan

### 3.5.3.3 Supporting Systems / Applications / Tools

<b>Systems, Applications, and Tools Used to Support the Sub-Process</b>		
<p><b>“System”</b> - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or subprocess</p> <p><b>“Tool”</b> - A purpose-built application designed for decision making, reporting, or mitigating gaps in a corporate system functionality.</p>		
<b>Name/Acronym</b>	<b>Type</b>	<b>Description</b>
Annual Report Database	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.
Microsoft Office	Tool	A suite of productivity tools produced by the Microsoft Corporation including a word processor (Microsoft Word), a spreadsheet application (Microsoft Excel), presentation software (PowerPoint) and a database application (MS Access). Other applications include a diagramming tool (Visio) and a scheduling product (Microsoft Project).

### 3.5.3.4 Services

<b>What services are currently defined to support this sub-process?</b>	
<b>Service Name</b>	<b>Description</b>
Not Currently Defined	

## 4. USAID HIV/AIDS To-Be Business and Information Architecture

To Be Developed

## 5. USAID HIV/AIDS Business Transformation Project Profiles

To Be Developed

## 6. Recommendations

To Be Developed

## Appendix A: As-Is FEA PRM Alignment

<b>Services to Citizens</b>		
This Measurement Category Captures The Extent To Which Results Related To Services That The U.S. Government Provides Both To And On Behalf Of The American Citizen Are Achieved.		
Measurement Category	Generic Measurement Indicator Grouping	"Operationalized" Measurement Indicators
<b>COMMUNITY AND SOCIAL SERVICES</b> - Community and Social Services includes all activities aimed at creating, expanding, or improving community and social development, social relationships, and social services in the United States. This includes all activities aimed at locality specific or nationwide social development and general social services. This Line of Business includes general community development and social services programs, as well as earned and unearned benefit programs that promote these objectives.	Homeownership Promotion	
	Community and Regional Development	
	Social Services	
	Postal Services	
<b>DEFENSE AND NATIONAL SECURITY</b> - Protect and advance U.S. national interests and, if deterrence fails, decisively defeat threats to those interests	Strategic National and Theatre Defense	
	Operational Defense	
	Tactical Defense	
<b>DISASTER MANAGEMENT</b> - Disaster Management involves the activities required to prepare for, mitigate, respond to, and repair the effects of all disasters whether natural or man-made.	Disaster Monitoring and Prediction	
	Disaster Preparedness and Planning	
	Disaster Repair and Restore	
	Emergency Response	
<b>ECONOMIC DEVELOPMENT</b> - Economic Development includes the activities required to promote commercial/industrial development and to regulate the American financial industry to protect investors. It also includes the management and control of the domestic economy and the money supply, and the protection of intellectual property and innovation.	Business and Industry Development	
	Industry Sector Income Stabilization	
	Intellectual Property Protection	
	Financial Sector Oversight	
<b>EDUCATION</b> – Education refers to those activities that impart knowledge or understanding of a particular subject to the public. Education can take place at a formal school, college, university or other training program. This Line of Business includes all government programs that promote the education of the public, including both earned and unearned benefit programs.	Elementary, Secondary, and Vocational Education	
	Higher Education	
	Cultural and Historic Preservation	

<b>Services to Citizens</b>		
This Measurement Category Captures The Extent To Which Results Related To Services That The U.S. Government Provides Both To And On Behalf Of The American Citizen Are Achieved.		
Measurement Category	Generic Measurement Indicator Grouping	"Operationalized" Measurement Indicators
	Cultural and Historic Exhibition	
<b>ENERGY</b> - Energy refers to all actions performed by the government to ensure the procurement and management of energy resources, including the production, sale and distribution of energy, as well as the management of spent fuel resources. Energy management includes all types of mass-produced energy (e.g., hydroelectric, nuclear, wind, solar, or fossil fuels). Also included in this Line of Business is the oversight of private industry.	Energy Supply	
	Energy Conservation and Preparedness	
	Energy Resource Management	
	Energy Production	
<b>ENVIRONMENTAL MANAGEMENT</b> - Environmental Management includes all functions required to monitor the environment and weather, determine proper environmental standards and ensure their compliance, and address environmental hazards and contamination.	Environmental Monitoring and Forecasting	
	Environmental Remediation	
	Pollution Prevention and Control	
<b>LAW ENFORCEMENT</b> - Law Enforcement involves activities to protect people, places, and things from criminal activity resulting from non-compliance with U.S. laws. This includes patrols, undercover operations, response to emergency calls, as well as arrests, raids, and seizures of property.	Criminal Apprehension	
	Criminal Investigation and Surveillance	
	Citizen Protection	
	Crime Prevention	
	Leadership Protection	
	Property Protection	
	Substance Control	
<b>LITIGATION AND JUDICIAL ACTIVITIES-</b> Litigation and Judicial Activities refers to those activities relating to the administration of justice.	Judicial Hearings	
	Legal Defense	
	Legal Investigation	
	Legal Prosecution and Litigation	
	Resolution Facilitation	
<b>CORRECTIONAL ACTIVITIES-</b> Correctional Activities involves all Federal activities that ensure the effective incarceration and rehabilitation of convicted criminals.	Criminal Incarceration	
	Criminal Rehabilitation	

<b>Services to Citizens</b>		
This Measurement Category Captures The Extent To Which Results Related To Services That The U.S. Government Provides Both To And On Behalf Of The American Citizen Are Achieved.		
Measurement Category	Generic Measurement Indicator Grouping	"Operationalized" Measurement Indicators
<b>HEALTH</b> - Health involves Federal programs and activities to ensure and provide for the health and well being of the public. this includes the direct provision of health care services and immunizations as well as the monitoring and tracking of public health indicators for the detection of trends and identification of widespread illnesses/diseases. It also includes both earned and unearned health care benefit programs.	Illness Prevention	
	Immunization Management	
	Public Health Monitoring	
	Health Care Services	
	Consumer Health and Safety	
<b>HOMELAND SECURITY</b> - Homeland Security involves protecting the nation against terrorist attacks. This includes analyzing threats and intelligence, guarding borders and airports, protecting critical infrastructure, and coordinating the response emergencies. The Homeland Security Line of Business is defined by the President's Strategy on Homeland Security. Note: Some of the Critical Mission Areas from the President's strategy have already been identified in other Lines of Business in the BRM.	Border and Transportation Security	
	Key Asset and Critical Infrastructure Protection	
	Catastrophic Defense	
<b>INCOME SECURITY</b> – Income Security includes activities designed to ensure that members of the public are provided with the necessary means – both financial and otherwise – to sustain an adequate level of existence. This includes all benefit programs, both earned and unearned, that promote these goals for members of the public.	General Retirement and Disability	
	Unemployment Compensation	
	Housing Assistance	
	Food and Nutrition Assistance	
	Survivor Compensation	
INTELLIGENCE OPERATIONS- TBD		
<b>INTERNATIONAL AFFAIRS AND COMMERCE</b> - International Affairs and Commerce involves the non-military activities that promote U.S. policies and interests beyond our national borders, including the negotiation of conflict resolution, treaties, and agreements. In addition, this function includes: foreign economic development and social/political development; diplomatic relations with other Nations; humanitarian, technical and other developmental assistance to key Nations; and global trade.	Foreign Affairs	
	International Development and Humanitarian Aid	
	Global Trade	

<b>Services to Citizens</b>		
This Measurement Category Captures The Extent To Which Results Related To Services That The U.S. Government Provides Both To And On Behalf Of The American Citizen Are Achieved.		
Measurement Category	Generic Measurement Indicator Grouping	"Operationalized" Measurement Indicators
<b>NATURAL RESOURCES</b> - Natural Resources includes all activities involved in conservation planning, land management, and national park/monument tourism that affect the nation's natural and recreational resources, both private and federal. Note: Energy-related natural resources are covered in the Energy Management line of business.	Water Resource Management	
	Conservation, Marine and Land Management	
	Recreational Resource Management and Tourism	
	Agricultural Innovation and Services	
<b>TRANSPORTATION</b> - Transportation involves all federally supported activities related to the safe passage, conveyance, or transportation of goods and/or people.	Air transportation	
	Ground Transportation	
	Water Transportation	
	Space Operations	
<b>WORKFORCE MANAGEMENT</b> – Workforce Management includes those activities that promote the welfare of the Nation's workforce by improving their working conditions, advancing opportunities for profitable employment, and strengthening free collective bargaining.	Training and Employment	
	Labor Rights Management	
	Worker Safety	
<b>GENERAL SCIENCE AND INNOVATION</b> - General Science and Innovation includes all Federal activities to meet the national need to advance knowledge in this area. This includes general research and technology programs, space exploration activities, and other research and technology programs that have diverse goals and cannot be readily classified into another Line of Business or Sub-function.	Scientific and Technological Research and Innovation	
	Space Exploration and Innovation	

<b>Support Delivery Of Services</b>		
This Measurement Category Captures The Extent To Which Intermediate Outcomes Related To The Delivery Of Services Are Achieved.		
Measurement Category	Generic Measurement Indicator Grouping	"Operationalized" Measurement Indicators
<b>CONTROLS AND OVERSIGHT</b> - Controls and Oversight ensures that the operations and programs of the Federal Government and its external business partners comply with applicable laws and regulations and prevent waste, fraud, and abuse.	Corrective Action	
	Program Evaluation	
	Program Monitoring	
<b>INTERNAL RISK MANAGEMENT AND MITIGATION</b> - Internal Risk Management and Mitigation involves all activities relating to the processes of analyzing exposure to risk and determining appropriate countermeasures.	Contingency Planning	
	Continuity Of Operations	
	Service Recovery	
<b>LEGISLATIVE RELATIONS</b> - Legislative Relations involves activities aimed at the development, tracking, and amendment of public laws through the legislative branch of the Federal Government.	Legislation Tracking	
	Legislation Testimony	
	Proposal Development	
	Congressional Liaison Operations	
<b>REGULATORY DEVELOPMENT</b> - Regulatory Development involves activities associated developing regulations, policies, and guidance to implement laws.	Policy and Guidance Development	
	Public Comment Tracking	
	Regulatory Creation	
	Rule Publication	
<b>PLANNING AND RESOURCE ALLOCATION</b> - Planning and Resource Allocation involves the activities of determining strategic direction, identifying and establishing programs and processes, and allocating resources (capital and labor) among those programs and processes.	Budget Formulation	
	Capital Planning	
	Enterprise Architecture	
	Strategic Planning	
	Budget Execution	
	Workforce Planning	
	Management Improvement	

<b>Support Delivery Of Services</b>		
This Measurement Category Captures The Extent To Which Intermediate Outcomes Related To The Delivery Of Services Are Achieved.		
Measurement Category	Generic Measurement Indicator Grouping	"Operationalized" Measurement Indicators
<b>PUBLIC AFFAIRS</b> - Public Affairs involves the exchange of information and communication between the Federal Government, citizens and stakeholders in direct support of citizen services, public policy, and/or national interest.	Customer Services	
	Official Information Dissemination	
	Product Outreach	
	Public Relations	
<b>REVENUE COLLECTION</b> - Revenue Collection includes the collection of Government income from all sources. Note: Tax collection is accounted for in the Taxation Management Sub-Function in the General Government Line of Business.	Debt Collection	
	User Fee Collection	
	Federal Asset Sales	
<b>GENERAL GOVERNMENT</b> - General Government involves the general overhead costs of the Federal Government, including legislative and executive activities; provision of central fiscal, personnel, and property activities; and the provision of services that cannot reasonably be classified in any other Line of Business. As a normal rule, all activities reasonably or closely associated with other Lines of Business or Sub-Functions shall be included in those Lines of Business or Sub-Functions rather than listed as a part of general government. This Line of Business is reserved for central government management operations; agency-specific management activities would not be included here.	Central Fiscal Operations	
	Legislative Functions	
	Executive Functions	
	Central Property Management	
	Central Personnel Management	
	Taxation Management	
	Central Records and Statistics Management	

<b>Management of Government Resources</b>		
This Measurement Category Captures The Extent To Which Intermediate Outcomes Related To Back Office Support That Enable Government To Operate Efficiently Are Achieved.		
<b>Measurement Category</b>	<b>Generic Measurement Indicator Grouping</b>	<b>"Operationalized" Measurement Indicators</b>
<b>ADMINISTRATIVE MANAGEMENT</b> - Administrative Management involves the day-to-day management and maintenance of the internal infrastructure.	Facilities, Fleet, and Equipment Management	
	Help Desk Services	
	Security Management	
	Travel	
	Workplace Policy Development and Management	
<b>FINANCIAL MANAGEMENT</b> – The use of financial information to measure, operate and predict the effectiveness and efficiency of an entity's activities in relation to its objectives. The ability to obtain and use such information is usually characterized by having in place policies, standards, and a system of controls that reliably capture and report activity in a consistent manner.	Accounting	
	Budget and Finance	
	Payments	
	Collections and Receivables	
	Asset and Liability Management	
	Reporting and Information	
<b>HUMAN RESOURCE MANAGEMENT</b> - Human Resource Management involves all activities associated with the recruitment and management of personnel.	Benefits Management	
	Personnel Management	
	Payroll Management and Expense Reimbursement	
	Resource Training And Development	
	Security Clearance Management	
	Staff Recruitment And Employment	
<b>INFORMATION AND TECHNOLOGY MANAGEMENT</b> – Information and Technology Management involves the coordination of information technology resources and systems required to support or provide a citizen service.	Lifecycle/Change Management	
	System Development	
	System Maintenance	
	IT Infrastructure Maintenance	

<b>Management of Government Resources</b>		
This Measurement Category Captures The Extent To Which Intermediate Outcomes Related To Back Office Support That Enable Government To Operate Efficiently Are Achieved.		
<b>Measurement Category</b>	<b>Generic Measurement Indicator Grouping</b>	<b>"Operationalized" Measurement Indicators</b>
	IT Security	
	Record Retention	
	Information Management	
<b>SUPPLY CHAIN MANAGEMENT</b> - Supply Chain Management involves the purchasing, tracking, and overall management of goods and services.	Goods Acquisition	
	Inventory Control	
	Logistics Management	
	Services Acquisition	

## Appendix B: As-Is FEA BRM Alignment

<b>Services to Citizens</b>		
The Services For Citizens Business Area Describes The Mission And Purpose Of The United States Government In Terms Of The Services It Provides Both To And On Behalf Of The American Citizen. It Includes The Delivery Of Citizen-Focused, Public, And Collective Goods And/Or Benefits As A Service And/Or Obligation Of The Federal Government To The Benefit And Protection Of The Nation's General Population.		
Lines of Business	Sub-Functions	MPE Reference
COMMUNITY AND SOCIAL SERVICES	Homeownership Promotion	
	Community and Regional	
	Social Services	
	Postal Services	
DEFENSE AND NATIONAL SECURITY		
DISASTER MANAGEMENT	Disaster Monitoring and Prediction	
	Disaster Preparedness and Planning	
	Disaster Repair and Restore	
	Emergency Response	
ECONOMIC DEVELOPMENT	Business and Industry	
	Industry Sector Income Stabilization	
	Intellectual Property Protection	
	Financial Sector Oversight.	
EDUCATION	Elementary, Secondary, and Vocational Education	
	Higher Education	
	Cultural and Historic Preservation	
	Cultural and Historic Exhibition	
ENERGY	Energy Supply	
	Energy Conservation and Preparedness	
	Energy Resource Management	
	Energy Production	
ENVIRONMENTAL MANAGEMENT	Environmental Monitoring and Forecasting	
	Environmental Remediation	
	Pollution Prevention and Control	
LAW ENFORCEMENT	Criminal Apprehension	
	Criminal Investigation and Surveillance	
	Citizen Protection	

<b>Services to Citizens</b>		
<p>The Services For Citizens Business Area Describes The Mission And Purpose Of The United States Government In Terms Of The Services It Provides Both To And On Behalf Of The American Citizen. It Includes The Delivery Of Citizen-Focused, Public, And Collective Goods And/Or Benefits As A Service And/Or Obligation Of The Federal Government To The Benefit And Protection Of The Nation's General Population.</p>		
Lines of Business	Sub-Functions	MPE Reference
	Crime Prevention	
	Leadership Protection	
	Property Protection.	
	Substance Control	
LITIGATION AND JUDICIAL ACTIVITIES	Judicial Hearings	
	Legal Defense	
	Legal Investigation	
	Legal Prosecution and Litigation	
	Resolution Facilitation	
CORRECTIONAL ACTIVITIES	Criminal Incarceration	
	Criminal Rehabilitation	
HEALTH	Illness Prevention	Formulate Budget
	Immunization Management	Articulate Desired Results
	Public Health Monitoring	Define Approach
	Health Care Services	Draft Strategic Plan
		Obtain Approval
Consumer Health and Safety	Negotiate SO Agreement Complete Activity Planning Requirements Draft & Execute Procurement Documents Monitor Activity Implementation Review Portfolio Evaluate Results Annual Reporting	
HOMELAND SECURITY.	Border and Transportation Security	
	Key Asset and Critical Infrastructure Protection	
	Catastrophic Defense	
INCOME SECURITY	General Retirement and Disability	
	Unemployment Compensation	
	Housing Assistance	

<b>Services to Citizens</b>		
<p>The Services For Citizens Business Area Describes The Mission And Purpose Of The United States Government In Terms Of The Services It Provides Both To And On Behalf Of The American Citizen. It Includes The Delivery Of Citizen-Focused, Public, And Collective Goods And/Or Benefits As A Service And/Or Obligation Of The Federal Government To The Benefit And Protection Of The Nation's General Population.</p>		
Lines of Business	Sub-Functions	MPE Reference
	Food and Nutrition Assistance	
	Survivor Compensation	
INTELLIGENCE OPERATIONS		
INTERNATIONAL AFFAIRS AND COMMERCE.	Foreign Affairs	
	International Development and Humanitarian Aid	Formulate Budget Articulate Desired Results Define Approach Draft Strategic Plan Obtain Approval Negotiate SO Agreement Complete Activity Planning Requirements Draft & Execute Procurement Documents Monitor Activity Implementation Review Portfolio Evaluate Results Annual Reporting
	Global Trade	
NATURAL RESOURCES	Water Resource Management.	
	Conservation, Marine and Land Management	
	Recreational Resource Management and Tourism	
	Agricultural Innovation and Services	
TRANSPORTATION	Air transportation	
	Ground Transportation	
	Water Transportation	
	Space Operations	
WORKFORCE MANAGEMENT	Training and Employment	
	Labor Rights Management	
	Worker Safety	
GENERAL SCIENCE AND INNOVATION	Scientific and Technological Research and Innovation	
	Space Exploration and Innovation	

<b>Modes Of Delivery</b>		
<b>The Mode Of Delivery Business Area Describes The Mechanisms The Government Uses To Achieve The Purpose Of Government, Or Its Services For Citizens. It Includes Financial Vehicles, Direct Government Delivery, And Indirect Government Delivery.</b>		
<b>Lines of Business</b>	<b>Sub-Functions</b>	<b>MPE Reference</b>
KNOWLEDGE CREATION AND MANAGEMENT	Research and Development	
	General Purpose Data and Statistics	
	Advising and Consulting	
	Knowledge Dissemination.	
PUBLIC GOODS CREATION & MANAGEMENT	Manufacturing	
	Construction	
	Public Resources, Facilities, & Infrastructure Management	
	Information Infrastructure Management	
REGULATORY COMPLIANCE AND ENFORCEMENT	Inspections & Auditing	
	Standard Setting / Reporting Guideline Development	
	Permits and Licensing	
DIRECT SERVICES FOR CITIZENS	Military Operations	
	Civilian Operations	
FEDERAL FINANCIAL ASSISTANCE	Federal Grants (Non-State)	
	Direct Transfers to Individuals	
	Subsidies	
	Tax Credits	
TRANSFERS TO STATES AND LOCAL GOVERNMENTS	Formula Grants	
	Project/Competitive	
	Earmarked Grants	
	State Loans	
CREDIT AND INSURANCE	General Insurance	
	Loan Guarantees.	
	Direct Loans	

<b>Support Delivery Of Services</b>		
Support Delivery Of Services Provides The Critical Policy, Programmatic And Managerial Foundation To Support Federal Government Operations.		
<b>Lines of Business</b>	<b>Sub-Functions</b>	<b>MPE Reference</b>
CONTROLS AND OVERSIGHT	Corrective Action	
	Program Evaluation	
	Program Monitoring	
INTERNAL RISK MANAGEMENT AND MITIGATION	Contingency Planning	
	Continuity Of Operations	
	Service Recovery	
LEGISLATIVE RELATIONS	Legislation Tracking	
	Legislation Testimony	
	Proposal Development	
	Congressional Liaison Operations	
REGULATORY DEVELOPMENT	Policy and Guidance Development	
	Public Comment Tracking	
	Regulatory Creation	
	Rule Publication	
PLANNING AND RESOURCE ALLOCATION	Budget Formulation	
	Capital Planning	
	Enterprise Architecture	
	Strategic Planning	Formulate Budget Articulate Desired Results Define Approach Draft Strategic Plan Obtain Approval
	Budget Execution	
	Workforce Planning	
	Management Improvement	
PUBLIC AFFAIRS	Customer Services	
	Official Information Dissemination	
	Product Outreach	
	Public Relations	
REVENUE COLLECTION	Debt Collection	
	User Fee Collection	
	Federal Asset Sales	

<b>Support Delivery Of Services</b>		
Support Delivery Of Services Provides The Critical Policy, Programmatic And Managerial Foundation To Support Federal Government Operations.		
<b>Lines of Business</b>	<b>Sub-Functions</b>	<b>MPE Reference</b>
GENERAL GOVERNMENT	Central Fiscal Operations	
	Legislative Functions	
	Executive Functions	
	Central Property Management	
	Central Personnel Management	
	Taxation Management	
	Central Records and Statistics Management	

<b>Management of Government Resources</b>		
Management Of Government Resources Refers To The Back Office Support Activities That Enable The Government To Operate Effectively		
<b>Lines of Business</b>	<b>Sub-Functions</b>	<b>MPE Reference</b>
ADMINISTRATIVE MANAGEMENT	Facilities, Fleet, And Equipment Management	
	Help Desk Services	
	Security Management	
	Travel	
	Workplace Policy Development And Management	
FINANCIAL MANAGEMENT	Accounting	
	Budget and Finance	
	Payments	
	Collections and Receivables.	
	Asset and Liability Management	
	Reporting and Information	
HUMAN RESOURCE MANAGEMENT	Benefits Management	
	Personnel Management	
	Payroll Management and Expense Reimbursement	
	Resource Training And Development	
	Security Clearance Management	
	Staff Recruitment And Employment	
INFORMATION AND TECHNOLOGY	Lifecycle/Change Management	
	System Development	

<b>Management of Government Resources</b>		
Management Of Government Resources Refers To The Back Office Support Activities That Enable The Government To Operate Effectively		
<b>Lines of Business</b>	<b>Sub-Functions</b>	<b>MPE Reference</b>
MANAGEMENT	System Maintenance	
	IT Infrastructure Maintenance	
	IT Security	
	Record Retention	
	Information Management	
SUPPLY CHAIN MANAGEMENT	Goods Acquisition	
	Inventory Control	
	Logistics Management	
	Services Acquisition	

## Appendix C: As-Is FEA DRM Alignment

**People, organization & relationships** - This subject area includes attributes about people, organizations, and the relationships between them. Relationships include vendors, stakeholders, owners, customers, partners, etc.

Name	Description
SO Team Structure	A definition of the membership and skillset of the team responsible for administering the SO. The structure may change during different phases of the SO to reflect changing skillsets.

**Objectives, goals, & results** – This subject area consists of desired achievements and a measures of achievements. These can be used to support objectives, goals and results at many levels, including at the USAID level, the OHA level, and the operating unit level.

Name	Description
Key Management Issues	Key issues and questions related to the overall management of a strategic objective program resulting from a portfolio review.
Outputs	Tangible, immediate, and intended products or consequences of an activity. Example: people fed, personnel trained, better technologies developed, and new construction. Deliverables included in contracts are generally be considered outputs, as are tangible products and consequences of grantees. [source: ADS 200]. OHA monitors outputs through partner deliverables such as: <ul style="list-style-type: none"> <li>▪ progress reports</li> <li>▪ technical reports</li> <li>▪ performance indicator data</li> <li>▪ qualitative results report</li> <li>▪ invoices</li> <li>▪ end use property report- in some cases, goods and services directly to OHA</li> </ul>
Performance Data Quality	The completeness, accuracy and consistency of data being utilized.
Program Results	Changes in the conditions of a customer or changes in the host country conditions which have relationships to the customer. A result is brought about by the intervention of OHA in concert with its development partners. Results are linked by causal relationships; i.e., a result is achieved because related, interdependent results were achieved. Qualitative and quantitative measurements referred to as indicators that represent progress made towards achieving a strategic objective and its related intermediate results.
Results Evaluation	A record of the annual review of the results achieved toward an SO. Includes approach effectiveness (effectiveness of particular tools and tactics in achieving results), results effectiveness (effectiveness of the achieved results in meeting program goals), country performance (changes in social, political, economic, educational, or environmental climate relevant to assessment of the USAID program), and causal relationship (plausible cause and effect linkage; i.e., the logical connection between the achievement of related, interdependent results).
Results Framework	Those results necessary to achieve a strategic objective and their causal relationships and underlying assumptions. The results framework establishes an organizational basis for measuring, analyzing, and reporting results of the operating unit. It typically is presented in both narrative and graphical representation.

Name	Description
Strategic Objective	The most ambitious result (intended measurable change) that a OHA operational unit, along with its partners, can materially affect and for which it is willing to be held responsible. The time frame is typically 5-8 years for sustainable development programs, but may be shorter for programs operating under transitional or uncertain circumstances. In cases in which results are difficult to define and measure but activities are necessary because of foreign policy, earmarks, crises, etc., a 'Special Objective' is defined instead of a Strategic Objective.
Updated Indicators	Modifications to the indicators used to collect performance data, intended to achieve higher performance data quality or to accommodate changes in the strategic objective or approach.

**Offerings** – This subject area consists of products and/or services provided by a person/organization to another person/organization. This can be used for products/services offered by USAID and products/services offered to USAID.

**Financial Data** – This subject area consists of any type of financial data excluding budget data. This is primarily focused on the use of financial resources, not what is planned.

Name	Description
Accounting Classification Structure	Accounting Classification Structure defined within FM in accordance with JFMIP requirements. Knowledge of the ACS is required for setting up the SO activity structure.
Amount to Be Accrued	A report of the amount to be accrued for an accounting period. An accrual is the value of the liabilities or expenses recognized during the period for goods and/or services received, but not yet disbursed (source: ADS 631).
Approved Accrual	The CTO's approval of the amount to be accrued, corrected as necessary by the CTO.

**Contracts & Agreements** – This subject area consists of any legally binding offering between USAID and a third party. This also includes information necessary to support the process of getting to the legally binding offering. This has strong touchpoints with offerings.

Name	Description
Award	<p>A legal agreement specifying goods and services to be acquired or assistance activities to be supported by the OHA and the terms of support, including the method and amount of compensation or assistance. OHA awards include:</p> <ul style="list-style-type: none"> <li>(1) Small Purchases: governed by Simplified Acquisition Procedures (FAR part 13); up to \$100,000 value.</li> <li>(2) Large Purchases:                             <ul style="list-style-type: none"> <li>(a) accomplished through competitive contracts, governed by sealed bidding procedures (FAR parts 14 and 15).</li> <li>(b) accomplished through assistance awards, both grants and cooperative agreements.</li> <li>(c) accomplished through interOHA agreements (IAAs), primarily Participating OHA Service Agreements (PASAs) and Resource Support Services Agreements (RSSAs), but also including other types of IAAs.</li> </ul> </li> </ul>
Contractor Evaluation	A Cognizant Technical Officer's (CTO's) evaluation of the performance of the contractor in implementing an Agency award.

Input to Request	Information needed to create a request for acquisition or assistance, including as pertinent specifications of quality and quantity, delivery dates, statement of work, results expected to be achieved, and line item details such as GSA product service code and OMB object class code (resource category).
Negotiation Outcome	Results of discussions between a OHA operating unit and the government of a host country concerning the means, time frame, and tactics for achieving a strategic objective.
Sub-Agreement	An agreement between OHA and a partner such as an NGO to carry out some or all of the activities required to achieve the objective defined in the SO agreement (associated with sub-commitments and sub-obligations, which are commitments and obligations made under an umbrella SO agreement).

**Plans, budgets, & activities** – This subject area consists of programs and projects that are described in terms of plans, budgets, and activities. This subject area also provides a relationship between "objectives, goals & results", "offerings", "resources", "time, schedule & events" and "financial data".

Name	Description
Activity Approval Document	Activity Approval Document (AAD). A document that approves one or more activities for implementation. An AAD is required prior to obligating funds. Approval occurs at the operating unit level.
Activity Plan	Documentation of the management plan for the activities supporting a strategic objective. "Activity" includes any action used to advance the achievement of a given result or objective (directly by OHA staff, through awards, or by transfer of funds). The activity plan identifies the required activity outputs, implementing instruments, and detailed budget and schedule estimates.
Assistance Checklist	Documentation of the management plan for the activities supporting a strategic objective. "Activity" includes any action used to advance the achievement of a given result or objective (directly by OHA staff, through awards, or by transfer of funds). The activity plan identifies the required activity outputs, implementing instruments, and detailed budget and schedule estimates.
Budgetary Event Notice	A notice to the cognizant program officials that a budgetary control or other limit has been or will shortly be reached, or that Congress has imposed a hold affecting upcoming obligations.
Changes to Plans	Changes in planned objectives, activities, schedules, and resources resulting from portfolio review and/or results evaluation.
Estimated Resources	The estimated resource requirements by year over the planning period necessary to achieve the strategic objective.
MPP	Department of State's Mission Performance Plan (MPP) for the host country.
MPP Input	Input to the Embassy's Mission Performance Plan (MPP); in particular, the OU's planned results and indicator data.
OHA Strategic Plan	The OHA Strategic Plan (SP) for providing development and humanitarian assistance. The strategic plan articulates the OHA's mission, goals, objectives, and program approaches.
OU Strategic Plan	A 5 to 10 year plan developed by the OU that includes a strategic vision, rationale for assistance, overall environment for assistance, rationale for strategic plan timeframe and choice of strategic objectives, a results framework, summary of resources needed for all strategic objectives, and program management plan (staff and OE resources required).
Parameters	A given framework or condition within which OU strategic plans are developed. The term "parameters" is used to denote the context of US foreign assistance determined outside OHA and which OHA OUs cannot alter. Examples are Congressional earmarks, directives from the executive branch, emphasis areas, and political constraints. Bureaus develop parameters for

Name	Description
	OUs within their purview.
Partner Work Plans	The partner's detailed management plans for carrying out its portion of the strategic objective.
Partners Plans & Capabilities	The strategic plans and ongoing activities of OHA partners in the geographical area of interest, as well as the capacities, resources, and skills that the partners can bring to bear in OHA programs.
Performance Monitoring Plan	A tool used by an Operating Unit and a Strategic Objective (SO) Team to help plan and manage the process of assessing and reporting progress towards achieving an SO. It contains full documentation on the indicators to be used, their sources, the quality of data available, and responsibilities for collection and analysis of data.
Program/OE Needs	Program needs are the goods and services necessary for achieving the strategic objective. Information regarding program needs is used during procurement planning to identify the awards to be made and the time frame on which they must be issued. Operating Expense (OE) needs are those administrative or facility requirements needed to support the programs being carried out by the operating unit.
Proposed Strategy	A definition of the overall approach for achieving the strategic objective, including the type of tools (e.g., procurement vehicles and partnering relationships) and tactics (e.g., loan programs or research grants) that will be the cornerstones of the approach.
Regional and Central Bureau Plans	Strategic plans for major segments of the OHA program, including central bureau world-wide plans by program area (e.g., environment) and regional bureau program plans and goals. Changes in the conditions of a customer or changes in the host country conditions which have relationships to the customer. A result is brought about by the intervention of USAID in concert with its development partners. Results are linked by causal relationships; i.e., a result is achieved because belated, interdependent results were achieved.
Resource Constraints	The actual amount of resources planned to be available to be obligated for a unit of work.
Review/Approval	The reviewed version of, or review comments on, a document submitted to a higher authority for approval, and the corresponding notice of approval. Failure to obtain approval may result in iteration until approval is obtained, or in cancellation of the document and/or its related activity.
Revisions	Changes to activity plans, results packages, and subordinate implementation plans. These revisions result from ongoing analyses and validations of OHA programs, approaches, and results, as well as from changes in the OHA's budget picture.
Skill Requirements	Skills and knowledge (human resources) required to carry out activities in support of a Strategic Objective. Used in the Human Resources Workforce Planning business process to help direct human resources to areas where they are needed and to plan the OHA's acquisition of any skills and knowledge it is short of.
SO Activity Structure	The structure of the activity package that will be used to collect costs for the work performed toward the strategic objective; essentially the work breakdown structure mapped to the accounting structure.
SO Agreement	A formal agreement that obligates funds between OHA and the host government or other parties, setting forth a mutually agreed upon understanding of the time frame, results expected to be achieved, means of measuring those results, resources, responsibilities, and contributions of participating entities for achieving a clearly defined strategic objective. Such an agreement between OHA and the host government may allow for third parties (e.g., NGOs) to enter into sub-agreements with either OHA or the host government or both to carry out some or all of the activities required to achieve the objective.
SO Closeout Report	Identify implications of information gathered during the evaluation process for application or

Name	Description
	replication in addressing similar problems in other settings.
Strategic Plan	The OHA Strategic Plan (SP) for providing development and humanitarian assistance. The strategic plan articulates the OHA's mission, goals, objectives, and program approaches.
Strategic Plan Updates	A memorandum that is prepared by the OU and submitted to the relevant USAID/W Bureau when a "significant" change to an existing approved strategic plan is needed in the area of resources, results framework, performance indicators or their targets. The rationale for and specifics of the changes are described. Approval of the requested changes must be received in writing from the Relevant Bureau.
Unused Prior Year Budget Authority	Authority to expend funds from a prior fiscal year during the current fiscal year, provided those funds are qualified for carryover.
Upcoming Obligation	Notice of a planned upcoming obligation for purposes of informing Congress via Congressional or Technical notification, and notice of any of the changes in planned activities or spending level that would trigger a Congressional or Technical notification.

**Address, map & geographic information** – This subject area consists of spatial information for both the physical world and abstract worlds. For instance, IP addresses can be mapped on a network map in a similar fashion as physical addresses can be mapped on a geographic map.

**Time, Schedule & Events** – This subject area consists of information used in temporal reasoning.

Name	Description
Schedules	The long-range (generally 5-8 year) schedules over which the strategic objectives are to be achieved, against which resource requirements are estimated.

**Rules, Regulations, Knowledge, & Guidance** – This subject area consists of any type of documentation that provides constraints on and/or input to business processes.

Name	Description
Annual Guidance Cable	Guidance issued annually by PPC that provides specific information and instructions necessary to address results review topic areas for a given reporting year. The guidance provides detailed requirements for each section of the annual report and parameters for developing the resource request.
Annual Performance Plan	The OHA's Annual Performance Plan (APP), describing the OHA's near term approach to meeting US foreign policy, Congressional, and Administration priorities.
Budget Guidance	Framework for setting the Agency budget; consists of (1) policies, (2) budget control amounts, (3) budget formulation schedule with due dates.
Coordination Data	Information from/to other assistance donors in the region regarding plans and results region and program area.
Country Checklist	A checklist approved by the OHA General Counsel that guides strategic planning with regard to the legal restrictions pertinent to the host country.
Country Trend Data	Time series data for parameters of interest to the sustainable development community for a particular country.
Customer Needs	The needs, preferences, or reactions of customers regarding an existing or planned activity,

Name	Description
	result, or strategic objective. Generally elicited through customer surveys.
Direction	High level direction provided by OHA to partners carrying out development activities under OHA awards. Consists of a statement of work and/or a statement of results to be achieved. Also identifies required reporting deliveries and schedules.
Illustrative Activity	An example of an activity that could be carried out to help achieve a strategic objective, showing how the identified approach would apply tools and techniques that are appropriate to the problem, country, and partners involved.
Lessons Learned	The conclusions extracted from reviewing a development program or activity by participants, managers, customers, or evaluators, with implications for effectively addressing similar issues/problems in another setting. Include results, as measured by indicators, and actual expenditures required to achieve them.
Local Needs and Constraints	The host country government's perspective of the development and transition issues in the country, and the local political, economic, and social constraints on using assistance funding and achieving results.
Management Agreement	An agreement between an Operating Unit and its Bureau that provides approval to carry out a proposed strategy. The management agreement provides a summary of agreements on a set of strategic and other objectives, confirmation of estimated resources over the strategy period, time period for completion of each Strategic Objective (SO), and additional guidance on any special management concerns. A Management Agreement serves as a delegation of authority for the Operating Unit to proceed in implementing SOs that have been agreed to.
Operational Planning Information	Knowledge related to tactical planning: establishing teams, defining work breakdown structures, developing procurement plans, establishing performance monitoring techniques, etc. Includes descriptions of approaches that have been used by the OHA experience using them. Approaches include ways of attacking categories of development problems and experience with different instruments (direct grants, loans, contracts, etc.).
Policy Guidance	OHA priorities for the current planning year, articulated through PPC. Policy guidance is used by the OUs to select strategic objectives. The OUs select as strategic objectives goals that both meet local or regional needs and that support OHA-wide goals expressed in the policy guidance.

**Documentation & Reports** – This subject area consists of any type of documentation that is generated by USAID not covered in another area.

Name	Description
Annual Report Data	Performance results submitted by Operating Unit according to Fiscal year and relevant strategic objective. Includes performance indicators results according to SO activity, lessons learned, justification for upcoming resource requests, etc.
Budget Execution Reports	Summary and detailed information for OHA technical officers, program managers, and operating unit administrators of OHA spending against OYB budget levels. The information includes reports of pipeline (cumulative obligations less expenditures) and mortgage (planned costs less cumulative obligations) for purposes of program management.

**Communications** – This subject area consists of any type of email, fax, phone, mail, or other communication. Any communication most likely involves other information, such as documentation, etc. Therefore, this relates to most other subject areas.

**Resources** – This subject area consists of things used as an input to processes that support generating offerings. This includes both property and human resources.

Name	Description
Staffing Strategy	A plan of action or method used to fill a vacant or potentially vacant position.

## Appendix D: To-Be FEA PRM Alignment

To Be Developed

## Appendix E: To-Be FEA BRM Alignment

To Be Developed

## Appendix F: To-Be FEA DRM Alignment

To Be Developed

## Appendix G: Applicable Legislation

Based on information gathered during the interview process and other research activities, 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 Obligatin
- 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 H: 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, EEI.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 I: Acronyms

<b>A&amp;A</b>	Acquisition and Assistance
<b>ACO</b>	Administrative Contracting Officer
<b>ACS</b>	Accounting Classification Structure
<b>ADS</b>	Automated Directive System
<b>AIDAR</b>	USAID Acquisition Regulation
<b>ARS</b>	Accrual Reporting System <u>and</u> Annual Reporting System
<b>AWACS</b>	Agency World Wide Accounting Control System
<b>BPA</b>	Business Process Area
<b>BRM</b>	Business Reference Model
<b>BUD</b>	Budgeting
<b>CDC</b>	Center for Disease Control and Prevention
<b>CFS</b>	Consolidated Financial Statement
<b>CO</b>	Contracting Officer
<b>COTR</b>	Contracting Officer Technical Representative
<b>CTO</b>	Cognizant Technical Officer
<b>DB</b>	Database
<b>DHHS PMS</b>	Department of Health and Human Services Payment Management System
<b>DRM</b>	Data Reference Model
<b>DS</b>	Data Store
<b>EA</b>	Enterprise Architecture
<b>ECS</b>	Electronic Certification System
<b>EPS</b>	Electronic Payment Schedule
<b>FAR</b>	Federal Acquisition Regulations
<b>FBO</b>	Federal Business Opportunities (“Fed Biz Ops”)
<b>FEA</b>	Federal Enterprise Architecture
<b>FM</b>	Financial Management
<b>FY</b>	Fiscal Year
<b>GH</b>	Global Health Bureau
<b>GL</b>	General Ledger
<b>GOALS</b>	Government On-line Accounting Link System
<b>GSA</b>	General Services Administration

<b>IA</b>	Implementing Agency
<b>ICASS</b>	International Cooperative Administrative Support Services
<b>IPAC</b>	Intra-Governmental Payment and Collection
<b>IRM</b>	Office of Information Resources Management
<b>IRS</b>	Internal Revenue Service
<b>JFMIP</b>	Joint Financial Management Improvement Program
<b>LOC</b>	Letter of Credit
<b>M</b>	Management Bureau
<b>MACS</b>	Mission Accounting and Control System
<b>MAL</b>	MACS Auxiliary Ledge
<b>MCA</b>	Managerial Cost Accounting
<b>MPE</b>	Manage Portfolio Execution
<b>NFC</b>	National Finance Center
<b>NIH</b>	National Institutes of Health
<b>NMS</b>	New Management System
<b>OE</b>	Operating Expense
<b>OHA</b>	Office of HIV/AIDS
<b>OP</b>	Office of Procurement
<b>OU</b>	Operating Unit
<b>OYB</b>	Operating Year Budget
<b>OMB</b>	Office of Management and Budget
<b>ORG</b>	Organization
<b>PB</b>	Pillar Bureau
<b>PO</b>	Program Oversight
<b>PSC</b>	Personal Service Contractor
<b>PPC</b>	Policy and Program Coordination
<b>PPMM</b>	Program Performance, Management and Monitoring
<b>PRM</b>	Performance Reference Architecture
<b>RB</b>	Regional Bureau
<b>SBA</b>	Small Business Administration
<b>SGL</b>	Standard General Ledger
<b>SOW</b>	Statement of Work
<b>SP</b>	Sub Process

<b>SRM</b>	Service Reference Model
<b>TCO</b>	Terminating Contracting Officer
<b>TIN</b>	Taxpayer Identification Number
<b>TOP</b>	United States Treasury Offset Program
<b>USAID</b>	United States Agency for International Development
<b>USDO</b>	United States Disbursing Office
<b>W</b>	Washington

## Appendix J: 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 budgeting. 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 budgeting 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.