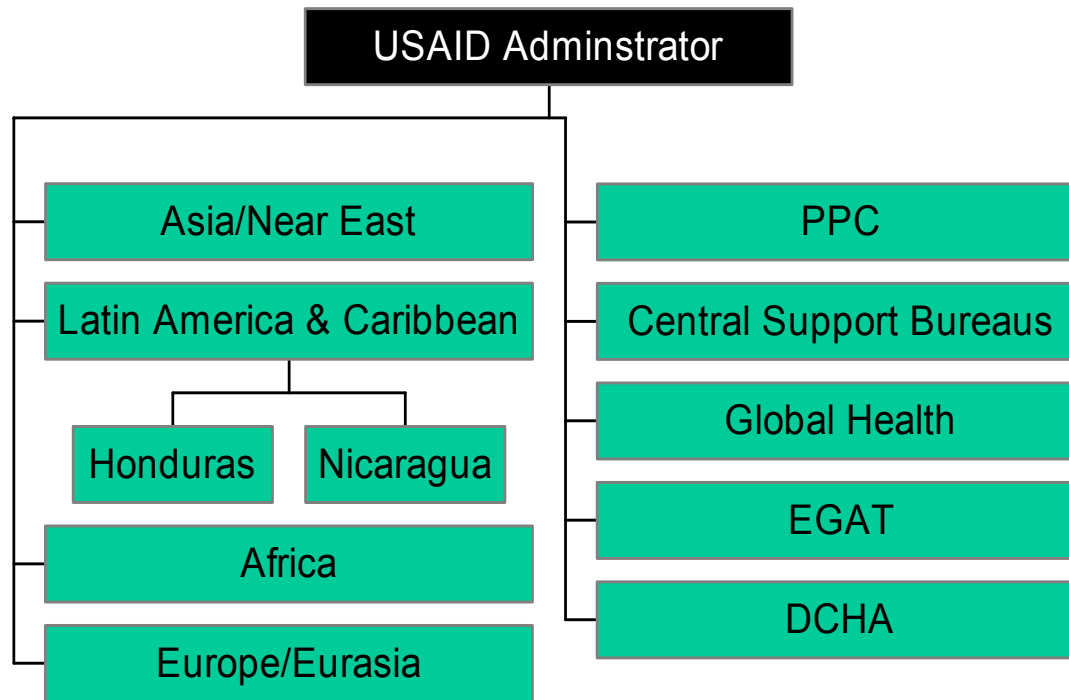


Working in USAID to...

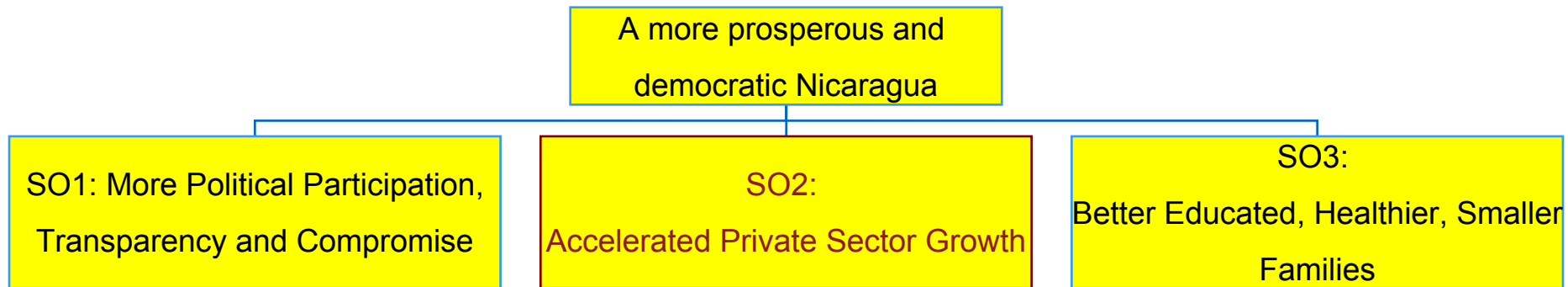
**Manage for
Results**

USAID Organization: Drilling Down from Top to Bottom



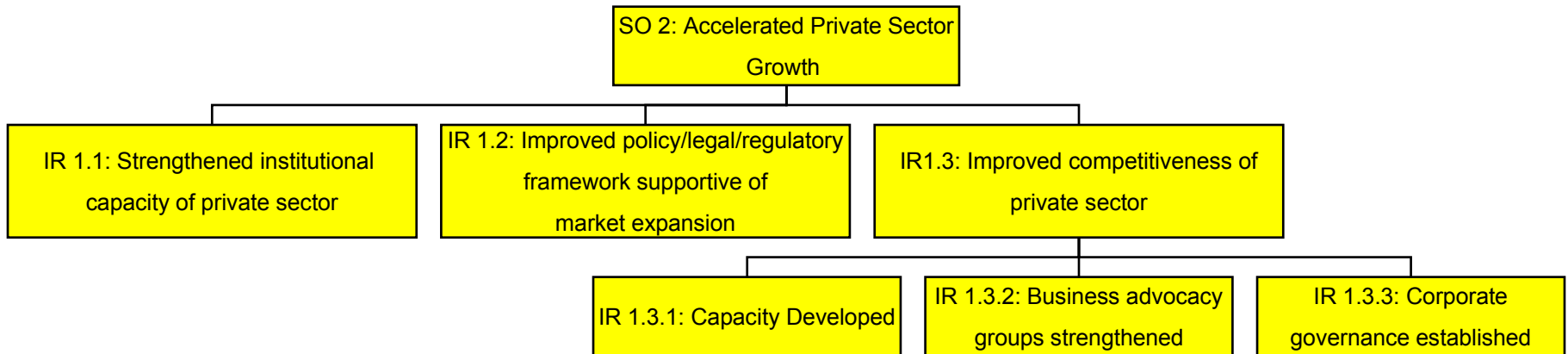
USAID Organization: Mission Program Structure

- This represents the Strategic Plan (to be explained later) of the mission

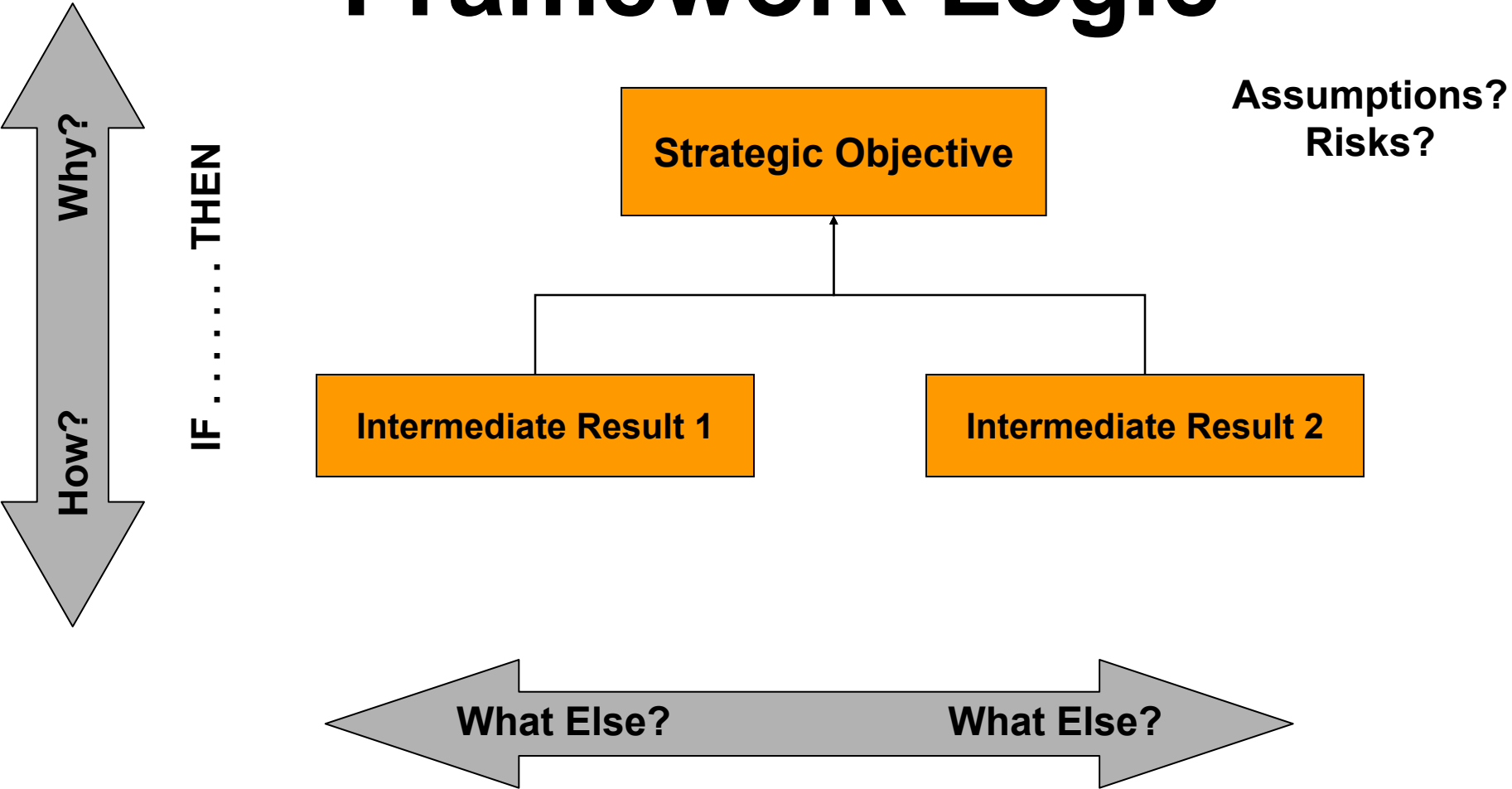


USAID Organization: Example of a Results Framework

Freedomi



Characteristics of Results Framework Logic



USAID Organization: Results Framework and A&A

SO 1: Accelerated Private Sector Growth

IR 1.1: Strengthened institutional capacity of private sector

IR 1.2: Improved policy/legal/regulatory framework supportive of market expansion

IR1.3: Improved competitiveness of private sector

IR 1.3.1: Capacity Developed

IR 1.3.2: Business advocacy groups strengthened

IR 1.3.3: Corporate governance established

Implementing Partners

- | | |
|---|-----------------|
| • Contractor: ABC, Inc. | IR: 1.1 & 1.3 |
| • Contractor: Three private consultants | IR: 1.2 |
| • Grantee (Cooperative Agreement): US PVO & Local NGO | IR: 1.1 & 1.3.2 |

How do we get to that last level? How does the money get from the Congress all the way down to an implementor?

Topic

The Budget Process

The Budget Process,

- Is complex
- Involves multiple years simultaneously

Congressional Budget Justification (CBJ)

- Reflects the Administration's program and budget request for bilateral foreign economic assistance appropriations.
- Summarizes the budget request and discusses the programs and activities implemented through USAID's centrally funded programs and through the four geographic regions.

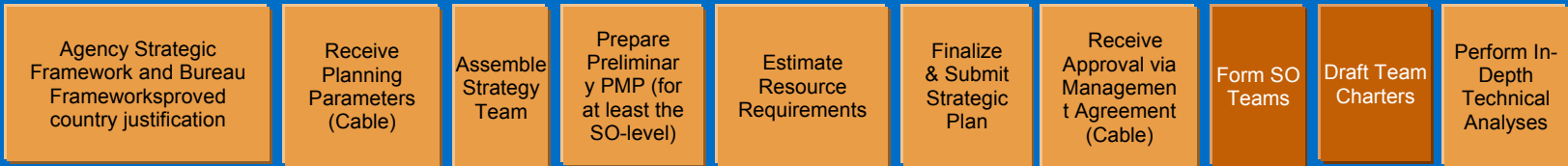
When USAID gets the money, how does it decide what to do with it?

Independently of the budget cycle process (but no doubt influenced by it), USAID has been following a well documented and established process for planning the development activities it will pursue.

What is that process?

Planning, Achieving, and Learning Operational Map

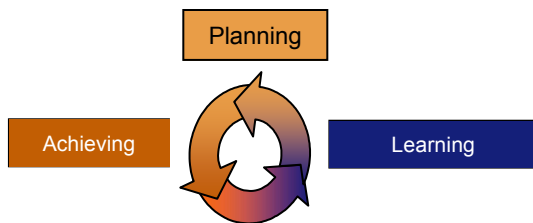
STRATEGIC PLANNING



ACTIVITY PLANNING & ACHIEVING



LEARNING



This map illustrates programming operations from the perspective of the Operating Unit. Note, however, many of these operations occur repeatedly and simultaneously. The color coding suggests how operations interrelate in the cycle of planning, achieving, and learning.

What are the component parts of the Operational Map?

- Strategic Planning
- Activity Planning
- Assistance and Acquisition
- Budgeting (won't go into)
- Financial Planning (won't go into)
- Reporting
- Performance Monitoring and Evaluation

Strategic Planning

- Is Based on Planning Parameters, Required and Other Analyses, plus Consultations.
- There are Mandatory Content requirements at the Plan level and SO level
- There is an extensive and substantive USAID/W Review Process
- From that process a Management Agreement is produced

USAID programs (i.e. OBLIGATES) funds by Strategic Objective (SO).

- A Strategic Objective is the most ambitious *result* that a USAID Operating Unit, *along with its partners*, can materially affect, and for which it is willing to be held accountable. It is made up of:
 - **Inputs mobilized into activities**
 - **Outputs**
 - **Intermediate Results (shown in the Results Framework) translate into Program Components**
 - **Objective (shown in the Results Framework)**
- Each SO is required to prepare a performance management plan
- USAID programs (obligates) funds by SO

Types of Objectives

- **Strategic Objectives**
- **Program Support Objectives**
- **Program Development and Learning Objectives**

Pre-Obligation Requirements

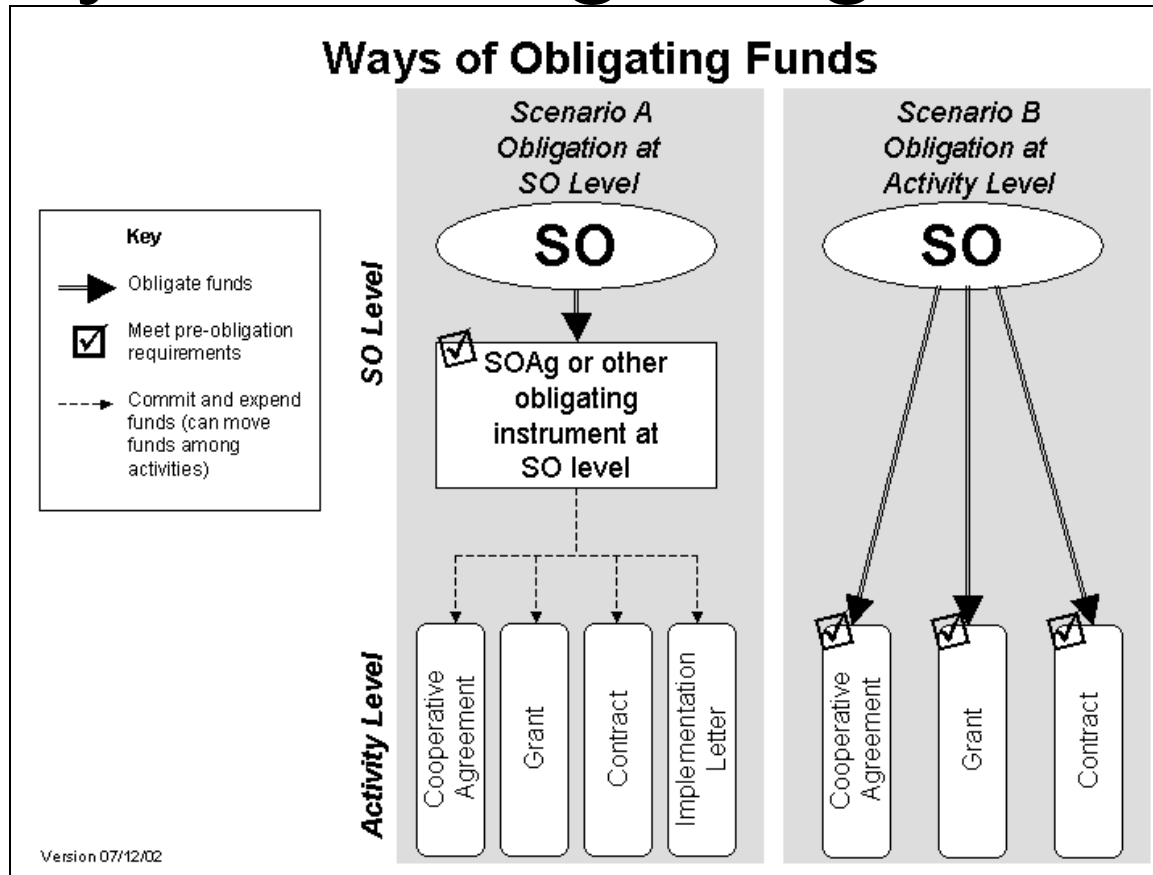
- Adequate Planning
- Environmental Review
- Country-level Statutory Review (“country checklist”)
- Obligation-level Statutory Review (“assistance checklist”)
- Approval by an Authorized Official
- Congressional Notification
- Funds Availability

Activity Planning

- Results Framework--detailed at lower levels
- Analyses
- Roles of Partners
- Capacity of Implementing Partners
- Cost Estimate; Financial Plan
- Procurement Plan
- Team Management
- Additional Planning Considerations
- Selection of Obligating Instrument
- Pre-obligation Requirements
- Activity Approval Document
- Approval

(ADS 201.3.12.4, vetting version)

Ways of Obligating Funds



(ADS 201.3.12.2, Graphic 201B, vetting version)

(ADS 203.3.1, vetting version)

ASSISTANCE AND ACQUISITION

- Though a variety of implementation instruments are available, **most** USAID funded activities are carried out using ***acquisition*** instruments (i.E., Federal contracts) and ***assistance*** instruments (i.E., Federal grants and cooperative agreements).

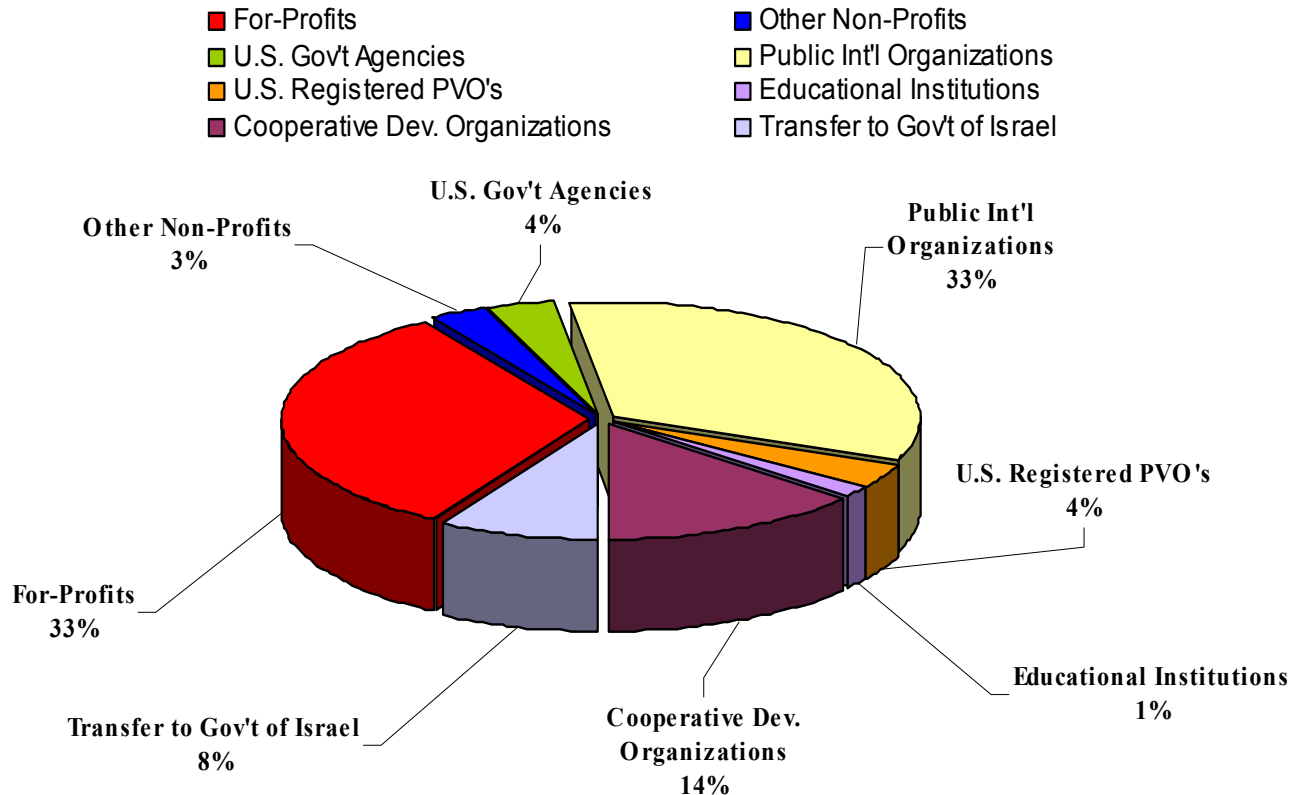
ASSISTANCE AND ACQUISITION

- \$7.1 BILLION OBLIGATED IN FY 03

	<u>Type of Organizations</u>	
	<u>Obligated Amounts</u>	<u>Obligated Amounts FY 2003</u>
For-Profits	\$2,348,270,619.30	\$1,172,870,228.62
Other Non-Profits	\$230,726,500.45	\$750,035,968.57
U.S. Gov't Agencies	\$259,215,255.00	\$252,790,419.00
Public Int'l Organizations	\$2,404,421,382.80	\$613,633,000.00
U.S. Registered PVO's	\$251,809,316.20	
	\$1,875,692,411.00	
Educational Institutions	\$104,119,937.00	\$217,613,914.00
Cooperative Dev. Organizations	\$994,455,618.40	\$126,567,815.00
Transfer to Gov't of Israel	<u>\$597,100,000.00</u>	<u>\$0.00</u>
Totals	\$7,190,118,629.15	\$5,009,203,756.19

OBLIGATIONS BY TYPE

United States Agency for International Development Obligations by Type of Organization FY 2003



ASSISTANCE AND ACQUISITION

ACQUISITION

A legally binding relationship in which the principle purpose is “to acquire (by purchase, lease, or barter) property or services for the direct benefit or use of the U.S. Government

ASSISTANCE

To carry out a public purpose of support or stimulation
authorized by a law of the united states

Assistance and Acquisition

- Worldwide business opportunities USAID
Business site:<http://www.usaid.gov>
– **Click on Business Opportunities**
- Federal Business Opportunities
– <http://www.fbo.gov>
- FEDGRANTS
– <http://www.fedgrants.gov>
- Direct Marketing with USAID Missions

Assistance and Acquisition

- **The following business opportunities continue to be publicized on the USAID website:**
- **Small Purchase Requests for Quotations (RFQs)**
(less than \$25,000)
- **Ocean Transportation** opportunities for doing business under USAID's food aid program. These opportunities will be directed at firms that supply ocean transportation and related services.
- **Commodities-Procurement Information Bulletins (PIRs):** [:](#) Commodities procurement requirements are advertised in the Procurement Information Bulletin (PIB) as required by Section 602 of the Foreign Assistance Act.

Assistance and Acquisition

U.S. and International private voluntary organizations (PVOs)

- Must register with USAID office Private and Voluntary Cooperation
- PVO must meet established guidelines and accountability standards
- Disaster assistance funding/funding through sub-grants or contracts are not subject to this requirement

AWARD PROCESS

- COMPETITIVE SOLICITING
- PUBLIC ANNOUNCEMENT

— ANNUAL PROGRAM STATEMENTS:

Used to generate competition for a variety of creative approaches by NGO's to develop their methodologies in assessing or implementing activities consistent with agency strategic objectives. Issued once a year – open ended or six month period

AWARD PROCESS

– REQUEST FOR APPLICATION:

Used where the agency intends to support a specific type of activity or methodology consistent with a strategic objective. Open for a minimum of 30 days.

- EVALUATION
- DISCUSSIONS
- SELECTION

WHAT MAKES A GOOD NGO

- EXCELLENT ARTICULATION OF APPLICANTS DEVELOPMENT PROGRAM
 - REALISTIC SCOPE AND REACH OF ACTIVITY(S)
 - EXPLICIT LINK TO THE DESIRED RESULTS
- MANAGEMENT STRUCTURE
 - DEMONSTRATES ORGANIZATIONAL ACCOUNTABILITY
- TECHNICAL EXPERTISE
 - APPROPRIATE STAFFING AND EXPERTISE

WHAT MAKES A GOOD NGO

- WILLINGNESS TO PARTNER OR TEAM WITH OTHERS
- STRONG FINANCIAL MANAGEMENT AND INTERNAL PROCEDURES
 - CLEAR DELINIATION OF COST AND COST OBJECTIVES
 - REALISTIC COSTS
- RELEVANT PAST PERFORMANCE INFORMATION
 - DEMONSTRATES REQUIRED EXPERIENCE OR TECHNICAL EXPERTISE
- A GOOD EXIT PLAN OR PLAN FOR PROGRAM SUSTAINABILITY

Reporting

- Why Does USAID Report?
- What are the components of the Annual Report?
- How is information reported in the Annual Report utilized for different Agency purposes?
- Does the Agency have other reporting requirements?

Why/How/What USAID Reports

- USAID reports to respond to outside drivers for USAID information including Federal law (GPRA)
- Missions send a performance report annually called the Annual Report
- The Annual Report contains indicators on Agency-wide performance data for which targets were established a year in advance and which may have been developed in conjunction with implementing partners and which will be supplied by them.

How/Why/What USAID Reports (cont')

Drivers of Information from USAID

- The Administration (the President)
- The Congress
- The Government Performance & Results Act
- The Office of Management and Budget
- The U.S. public

Overview: *Annual Report* Contents

What?

- **Unclassified Cover Memo**
- **County Overview**
- **Data Sheets by SO**
- **Performance Overview**
- **SO Performance Narrative**
- **Selected Performance Measures**
- **Resource Request**
- **Budget Tables**
- **Other (updated results framework, environmental compliance, special reporting situations, SO close-out report)**

For Whom?

- **USAID/W**
- **For CBJ**
- **For CBJ**
- **APP, PAR, public**
- **APP, PAR, tech. review**
- **APP, PAR**
- **USAID/W**
- **USAID/W**
- **USAID/W**
- **Multi-use**

Other USAID Reports

- The Congressional Budget Justification (CBJ)
- Activities Not Managed by In-Country US Direct Hire Staff
- GPRA Reports
 - The Joint State-USAID Strategic Plan
 - The Performance and Accountability Report
 - The Annual Performance Plan
- The Performance Assessment Rating Tool (PART)

Congressional Budget Justification (CBJ)

- Summarizes the budget request for FY04 and discusses the programs implemented through USAID's centrally funded programs and through the four geographic regions.
- Serves as notification (subject to certain exceptions) of USIAD's intent to obligate FY03 resources.

Where can you find Agency Reports?

- Annual Reports:
<http://cdie.usaid.gov/ardb/>
- Activities Not Managed by In-country USDH staff: <http://cdie.usaid.gov/npc/>
- USAID document request:
<http://cdie.usaid.gov/rrs/request.html>
- Agency Reports: <http://cdie.usaid.gov/> and see “Agency Reports” at bottom left
- Desk officer

How do USAID managers track progress?

- Performance Management Plan
- Quarterly reports from implementing partners
- Portfolio reviews
- Annual Reports
- Evaluations (various types)

Where do I look to find more on how USAID programs funds? The Automated Directives System (ADS)

- ADS series 100 – Agency Organization and Legal Affairs
 - **ADS series 200 – Programming Policy**
 - ADS Chapter 201, 202, 203 – Planning, Achieving, Learning
 - ADS Chapter 204 – Environmental policies
 - ADS Chapter 212 – Breastfeeding promotion policy
 - ADS Chapter 216 – Microenterprise development policy
 - ADS Series 300 – Acquisition and Assistance
 - ADS Series 400 – Personnel
 - ADS Series 500 – Management Services
 - ADS Series 600 – Budget and Finance