Functional Series 200 – Programming Policy
ADS 200 – Introduction to Programming Policy

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ADS 200 – Introduction to Programming Policy

200.1 OVERVIEW

Effective Date: 01/31/2003

This chapter provides an overview to ADS Series 200, which covers USAID's programming policy. Programming policy guides the way in which USAID designs programs to achieve development results, implements those programs, and assesses them. It includes the two following types of policies:

- **Operations Policy:** USAID's use of procedures and methods to plan, achieve, assess, and learn from its programs. (Covered in **ADS 201-203** and the mandatory references in **200.4**.)

- **Development Policy:** Policy regarding the content of USAID development programs, including Agency choices among development goals, recommended practices in addressing particular development challenges, and policy directives and required procedures affecting specific aspects of program design and implementation. (Covered in **ADS 204-299** and the mandatory references in **200.4**.)

This chapter outlines the general principles that govern our results-based programming system. It includes a

- Vision that guides ongoing reform and improvement efforts;

- Description of core values;

- Description of results-based programming;

- List of additional programming policies organized by topic area; and

- List of term-of-art definitions.

200.2 PRIMARY RESPONSIBILITIES

Effective Date: 03/19/2004

a. Operating Units include both USAID field Missions and USAID/Washington organizations responsible for Bureau programs. Operating Units, usually working in a Strategic Objective Team context, develop Strategic Plans and Strategic Objectives that define the precise results that USAID holds itself accountable for achieving. Operating Units also create and support the SO Teams responsible for achieving results.

b. Strategic and Special Objective Teams (SO Teams) are responsible for managing the achievement of Strategic and Special Objectives. SO Teams develop and implement activities designed to achieve objectives, take the lead in modifying SO

approaches when necessary, and often lead the development of new Strategic Plans. Team members serve as the focal point of interaction between USAID and partner organizations at an operational level. SO Team members are responsible for assessing and learning from the Agency's development experience.

c. Regional Bureaus support and provide guidance to Operating Units in the field. Regional Bureaus and Operating Units in the field have responsibility and authority for the design, implementation, and evaluation of regional and country-specific Strategic Plans and programs. However, Regional Bureaus do not normally manage projects or programs. They operate within the context of the Agency's overall objectives and priorities, and with the technical support and guidance of the Pillar Bureaus. Regional Bureaus evaluate and approve regional and country programs for the region, and conduct periodic reviews of their performance and progress toward achieving program objectives. They recommend regional and country resource requirements, including operating expenses and food aid, within the Agency's overall budget process and within the context of overall Agency guidance. Within their regions, these Bureaus are also responsible for ensuring that Agency systems for internal controls and financial management operate efficiently. Additional specific functions of the Regional Bureaus include

- Providing regional and country expertise and perspective at all points in the Agency decision-making process;
- Evaluating the managerial performance of Bureau and Operating Unit staff;
- Providing the principal point of Agency contact and coordination with the Department of State and other regionally focused development organizations within and outside of the U.S. Government;
- Coordinating at the regional and country level with other international donors and financial organizations;
- Collaborating with the Bureau for Democracy, Conflict and Humanitarian Assistance (DCHA) in supporting the Agency's response to humanitarian and political crises;
- Managing non-presence programs or any other programs that are not appropriately managed in the field or in other USAID/Washington Bureaus;
- Providing regional and country-specific economic analysis support to Agency Bureaus, Offices, and the Operating Units; and
- Representing the Agency on Operating Unit and country program issues to Congress.

d. Pillar Bureaus are the locus of technical leadership for the Agency. Their primary function is to provide technical advice and support to the Agency's Regional Bureaus and Operating Units in the field, as well as to the Bureau for Policy and Program Coordination (PPC) and other operational Offices. The Pillar Bureaus are vested with primary responsibility for research in areas relevant to overall Agency goals and objectives. The Pillars investigate and produce innovations and develop pilot projects for wider application in close collaboration with the technical staff of the Regional Bureaus. They also draw on the knowledge of the most recent advances in their respective technical fields and share that knowledge throughout the Agency. Additional specific Pillar Bureau functions include

- Providing technical support and advice for the design, implementation, and evaluation of technical strategies and programs at the request of Regional Bureaus and Operating Units in the field;

- Developing technical strategies and providing guidance in the formulation of Agency policy development and resource allocation;

- Designing and implementing selected programs that address newly emerging global issues;

- Developing and managing programs to provide core technical support services for Agency-wide access;

- Maintaining communication with relevant professional communities, the Agency's development partners, and other U.S. Government (USG) agencies to keep them apprised of developments in relevant technical fields; and

- Ensuring professional management of the Agency's technical and scientific staff, including assisting in recruitment, training, assignment, and career development.

e. The Bureau for Policy and Program Coordination (PPC) is responsible for the Agency's overall policy formulation, planning, program and administrative resource allocation, and evaluation systems.

- PPC is responsible for the integration of performance into the Agency’s overall management and resource allocation systems.

- PPC serves as the Agency's central staff to integrate bilateral economic and social development assistance in a manner consistent with U.S. foreign policy interests and objectives. In this context, the Bureau ensures that budget allocations and program content reflect USG strategic foreign policy interests, Administration priorities, Agency policies, and program performance.

- PPC houses the Agency's independent evaluation, performance measurement, and development information functions, as well as the Office of the Agency's Chief Economist.

- PPC defines and monitors USAID's program priorities.

- PPC leads USAID interactions with key development partners and other donor organizations.

Additional specific functions of PPC include

- Clarifying objectives and reviewing appropriate and effective bilateral, regional, and sectoral strategies needed to advance the Agency's development program in support of USG foreign policy interests; and

- Developing, updating, and ensuring familiarity and compliance with the Agency's overall programming procedures.

f. The Office of General Counsel (GC) and its Regional Legal Advisors provide legal support and advice to Agency Offices and Operating Units on the full range of operational matters pertaining to USAID programs.

g. The Bureau for Legislative and Public Affairs (LPA) has primary responsibility for communicating with external parties, including Congress and the American public.

h. The Bureau for Management (M) ensures that the Agency's core systems related to acquisition and assistance, financial accounting and management, workforce management, and information management, are adequately integrated and support programming processes.

i. The Global Development Alliance (GDA) is a temporary organizational unit attached to the Office of the Administrator. The GDA Secretariat works to mainstream the concept of public-private alliances within USAID; identifies alliance opportunities; provides technical assistance in developing alliances; develops and disseminates training materials and practical "how to" guides; assists with "due diligence" research on prospective alliance partners; helps develop processes and criteria to allocate resources; and directs assessment, research, and reporting activities. In addition, the Secretariat manages a small incentive fund.

j. *The Office of Security (SEC) provides security services to protect USAID personnel and facilities, safeguard national security information, and promote and preserve personal integrity. Some critical functions of SEC are to lead the USAID Counterterrorism Task Force, coordinate counterterrorism activities for the Agency, conduct liaison with the U.S. intelligence community at the national

level, and work closely with the U.S. Department of State on diplomatic security matters.

k. ***The Center for Faith-Based and Community Initiatives (CFBCI)** seeks to identify and remove regulatory, contracting, and other programmatic and policy obstacles or barriers that faith-based and community-based organizations encounter when competing for federal funds. The Center also educates Agency Offices and Operating Units on the Initiative and conducts outreach and technical assistance to faith-based and community organizations.

200.3 POLICY DIRECTIVES AND REQUIRED PROCEDURES

200.3.1 Performance-Informed and Results-Based Programming at USAID

Effective Date: 01/31/2003

200.3.1.1 History of Programming System

Effective Date: 01/31/2003

USAID began revising its internal programming policies in 1994 in response to broader U.S. Government efforts to reinvent the way the public sector works. Reinvention movements have revolutionized government operations on every continent, drawing extensively from private sector experience. As part of this revolution, legislatures have mandated that government agencies center their planning processes and organizational structures on intended program results. This focus is intended to improve communications with the public, help ensure that resources are focused on agreed-upon results, and promote results-level accountability.

U.S. Government reinvention efforts received special attention starting in the early 1990s. Congress passed the Government Performance and Results Act (GPRA) in 1993, which held Federal agencies accountable for achieving program results and required Federal agencies to define program goals and annually measure performance toward their achievement. Other legislation promoted the concept of focusing on customer service as a means of improving effectiveness. In total, more than 300 U.S. Government agencies, departments, and units engaged in some type of reform or reinvention initiative. As part of this reform, most Federal agencies have consolidated their policies, procedures, and best practices into a directives system.

USAID stands out as one of a handful of Federal agencies that committed early to this type of effort on an Agency-wide basis. The decision to adopt changes on a wider basis at USAID was prompted by the two challenges below:

a. The evolution of development needs and challenges in the post-Cold War period characterized by

- Rapidly changing development, transition, and post-conflict settings;
- The rise of global environmental, health, and crime concerns;

- A new international context with greater cross-border economic opportunities and risks;

- Increased need to manage "failed state" transitions;

- Greater demand for natural and man-made disaster recovery and mitigation;

- Increased receptivity of host governments to work with non-government entities, and a corresponding rise in the capacity of private organizations to contribute to development processes; and

- The increased importance of traditional and non-traditional development actors including ethnic diasporas, foundations, corporations, and universities whose aggregate resources outstrip traditional development assistance resources.

b. The requirement to operate with significantly increased efficiency as a result of severe operating expense budget constraints.

USAID addressed these challenges by re-examining fundamental assumptions about internal operations and USAID's relationship with partner organizations. This resulted in several phases of improvements to the Agency programming system beginning in 1995.

- In 1995, the first version of ADS Chapters 201-203 was issued. Although many sections were heavily based on "Handbook 3," the programming approach in the ADS was more flexible than in the Handbooks; there was more emphasis on achieving results and less emphasis on mandatory procedures.

- In 1999-2000, the Agency reviewed experience with the new programming approach, which resulted in further modifications to reflect best practice, fill gaps, and meet current needs. Chapter 200 was added.

- In 2002, the Agency updated ADS Chapters 200-203 in response to feedback from field and management rationale.

Starting in 2001, the Administration took further steps to improve USAID's effectiveness as a key foreign policy instrument by coordinating and focusing Agency resources and capabilities to address globalization and trade, infectious disease, conflict, and the increased role of the private sector and other actors in development. The reform vision was meant to structure the organization around the Agency's mission to achieve its objectives and priorities, and to enable more efficient use of financial, technical, and human resources within the Agency. As a result, USAID brought together programs and activities that cut across all USAID funding accounts into three program Pillar Bureaus. The primary function of the Pillar Bureaus is to provide technical advice and

support to the Agency's Regional Bureaus and Operating Units in the field, and to PPC and other operational Offices.

200.3.1.2 Overview of Programming System

Effective Date: 01/31/2003

The approach and philosophy embodied in USAID's programming system evolved from innovative techniques developed by USAID staff as they sought more effective ways to work in extremely varied and changing development environments. USAID reform efforts legitimized and expanded a variety of successful practices. Overall, the objectives of this system are to

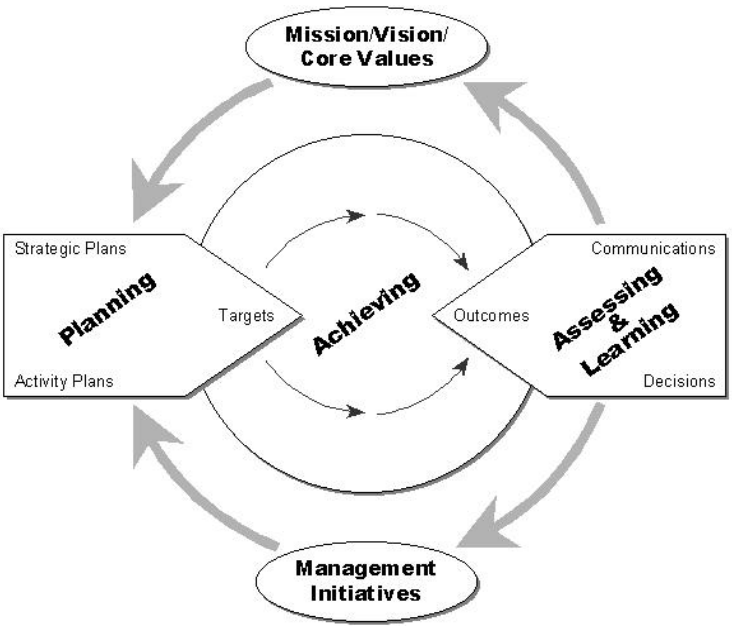
- Limit Bureau approval process to results (objectives), as opposed to activity-level inputs and outputs;
- Link Bureau budget allocations to performance and results (objectives), as opposed to activities with defined inputs and outputs;
- Delegate activity design, approval, and budgeting decisions to Operating Units; and
- Establish teams that bridge organizational boundaries both within and outside of USAID as the basic organizational unit to manage development programs.

The system is designed to promote clarity in defining objectives and provide flexibility in selecting and implementing the activities to achieve them. A dynamic cycle of management functions lies at the heart of the system and includes three functions:

- Planning
- Achieving
- Assessing and Learning

These three functions operate within the context of two elements of management leadership – defining an organizational mission and vision and taking management initiatives. Figure 200A[1], Dynamic Model of the USAID Programming System, illustrates this model.

Figure 200A: Dynamic Model of the USAID Programming System



Before discussing each of the three main functions, it is worth pointing out three important linkages.

- The Agency **mission, vision, and core values** provide a framework that guides our planning. This framework is shaped by learning from past experience (both from USAID and other entities' experiences) and is described in the mandatory reference, **Agency Strategic Plan**. This plan also sets out an overall vision of what we want to accomplish through a statement of our overarching Agency goals, and represents a broad consensus on a framework for action that directly affects our planning efforts.

- Linking the planning and the assessing and learning functions are **performance measures**. We need to know whether we are succeeding, and we do this by establishing performance measures and **performance targets** before achievement takes place. We use these measures to assess progress and **outcomes**. When necessary, we work to develop better performance measures as we implement our programs. These measures help us stay focused on results throughout the three phases of our work.

- Assessing and learning is not the end of the process. It includes making decisions that lead to **management initiatives** that in turn put us back into planning. New planning could range from developing a new activity, to refining Strategic Objectives (SOs) or Intermediate Results (IRs), to rethinking our tactics in an entire goal area of the Agency Strategic Plan. The latter could affect many subsequent objectives in different countries or Washington programs.

200.3.2 Core Values

Effective Date: 01/31/2003

Values are deeply held beliefs that guide action in a wide range of circumstances. The USAID core values are an explicit statement of those values that we, as an Agency, seek to promote actively in order to improve our overall performance. Core values represent ideals we strive for, as opposed to a state that we have already achieved. In USAID, we specifically seek to promote five interrelated core values:

Note: The linkage between these core values and those of the **DOS and USAID Strategic Plan, FY 2004-2009** will be completed by the next update of this chapter.

- Managing for results
- Customer focus
- Teamwork and participation
- Empowerment and accountability
- Valuing diversity

These core values help us focus on the things that matter: working with others; encouraging staff to take initiative and assume risks; embracing the cultural, social, and gender differences among us; and achieving development results. These values are reflected in how we organize our work and processes, delegate authority, engage partners and customers, judge the value of our efforts, and apply the regulations we are expected to follow.

Core values alone are not sufficient for success in a large government organization. Similarly, simply following the regulations in ADS chapters is not sufficient either. Applying the core values while implementing rules, regulations, and procedures leads us to achieve the most meaningful results rather than merely implement activities or administer resources.

200.3.2.1 Core Value – Managing for Results

Effective Date: 01/31/2003

Managing for results means that we seek to define and organize our work around the end result we seek to accomplish. This means making intended results explicit; ensuring agreement among partners, customers, and stakeholders that proposed results are worthwhile; and organizing our daily work and interactions to achieve results effectively.

In the planning phase described in **ADS 201**, the processes and procedures used to define and reach agreement on intended results are explained. The planning phase

includes the customers whom we intend to affect and benefit. The resulting SOs and IRs provide the rationale for allocating program and staff resources.

In the achieving phase described in **ADS 202**, we use Strategic Objective Teams to keep our partners and ourselves focused on intended results. This provides flexibility in mobilizing staff and program resources around each objective while meeting the regulatory and accountability requirements that we must follow. We seek to optimize integration with other key Agency systems, especially budgeting, acquisition and assistance, and financial management, in order to minimize internal barriers to performance.

In the assessing and learning phase described in **ADS 203**, we define how we assess our progress on an ongoing basis, decide on modifying activities when needed, make changes to results based on experiences or other factors, and learn from success or failure so as to improve our ability to succeed in future programs.

Accountability for Results

In the development work that is the core of our programs, we almost never have total control over the results we seek to accomplish. Indeed, development results that would be within our control are not likely to represent sustainable development. Rather than limit ourselves to mundane, safe, but not useful results, our goal is to select objectives that reach high and inspire others but that are also within our manageable interests. The concept of manageable interest recognizes that achievement of results requires joint action on the part of many other actors such as host country governments, institutions, other donors, civil society, and the private sector. When an objective is within our manageable interest, it means that we have reason to believe that

- Our ability to influence, organize, and support others around commonly shared goals can lead to the achievement of desired results; and

- The probability of success is high enough to warrant expending program and staff resources.

In such cases, the concept of accountability for results means that Strategic Objective Teams, Operating Units in the field, and Washington Operating Units are expected to

- Make intelligent, informed choices on what results to pursue;

- Manage proactively towards those results;

- Respond effectively to the inevitable changes in the development and policy environment that affect the feasibility of our selected results by modifying tactics or strategies, including the use of public-private alliances as a way to meet those objectives;

- Provide transparency and objectivity when reporting problems and progress; and

- Help the entire Agency learn from successes and failures.

Accountability is achieved through meeting these requirements, rather than simply by achievement of agreed-upon (numerical) targets.

200.3.2.2 Core Value – Customer Focus

Effective Date: 01/31/2003

Our development assistance objectives require that we identify who our customers are and secure their participation to help us choose a variety of approaches. We focus on our customers to understand their needs and help us focus our efforts and resources on the most productive tasks. As defined in **200.6**, there are several types of USAID customers.

- **Ultimate customer —** Those host country individuals, especially the socially and economically disadvantaged, who are beneficiaries of USAID assistance and whose participation is essential to achieving sustainable development results.

- **Intermediate customer —** Those organizations, including host country governments, that receive USAID services and resources to implement programs that are designed to benefit the ultimate customer.

- **Internal customer —** Bureaus, Operating Units (both in Washington and in the field), and individuals within USAID that benefit from, and participate in, the activities undertaken by other Bureaus, Offices, and individuals within the Agency.

- **Washington and U.S.-based customer —** Those entities at whose urgent request USAID carries out foreign assistance. These include the U.S. Congress, the American taxpayer, and other relevant Government agencies, including the Department of State.

We embody this core value in our work by

- Exercising participatory planning techniques to obtain direct involvement of customers, and to identify their aspirations and priorities;

- Consulting with organizations representing the interests of customers;

- Monitoring customer participation and consistently seeking feedback through surveys, field visits, and open forums to determine if our efforts are consistent with the aspirations or needs of our customers;

- Using customer information to frame program strategies and to design specific interventions; and

- Communicating with customers on how their recommendations have been incorporated into programs.

USAID results-focused programming systems are intended to help ensure that our programs and priorities are as responsive as possible to customer needs. In many cases, we will not be able to produce the products and services some customers prefer. In such cases, customer focus means being clear with our customer about what we can and cannot do. Another aspect of customer focus involves managing potential conflict between customer groups who perceive themselves as gaining or losing as a result of a particular intervention.

200.3.2.3 Core Value – Teamwork and Participation

Effective Date: 01/31/2003

The core value of teamwork and participation represents a belief that we are more effective when we work collaboratively with others, through teams or joint consultations with those who have expertise or interest in the outcome of our work. Working more effectively is directly linked to managing for results. Therefore, the teamwork and participation core value is also directly linked to our results orientation.

a. Teamwork. Teamwork is the coming together of a group of people who are

- Committed to achieving defined results;

- Vested with the authority to make decisions; and

- Willing to be held jointly accountable for achieving results.

These points help to distinguish teams from committees or work groups that include representatives from different units. In a traditional office-based structure, committees and groups are formed with the idea that each member represents and promotes the goals of his or her unit. There is no presumed commitment to accept responsibility to pursue a new goal or result that transcends the different units represented on the committee. If the members of a group agree to share responsibility for achieving common results and have the agreement and support of their home unit to take on this responsibility, then the group takes on the characteristic of a team.

USAID uses Teams for many different purposes. They may have specific, long-term or short-term tasks and have full-time or part-time members.

b. Participation. Participation is the active involvement of people in decisions that affect them. At USAID, we seek to involve customers, partners, and stakeholders. Partners are those individuals and organizations who work with us (formally or informally) to achieve shared objectives. Stakeholders are individuals and organizations who have an interest in the outcome of USAID programs.

The objective of participation is to improve the quality of our decisions and to ensure that we have the support we need from others to succeed. In the case of public-private alliances, participation means jointly defining the development problem and its solutions with partners. An agreement is then reached between the development partners to share resources, risks, and results in pursuit of an objective that can be better obtained through joint effort. Alliance participation is intended to leverage significant resources that may include financial resources, in-kind contributions, and intellectual property. In some cases, participation in public-private alliances will mean looking toward new partners. The principle of joint planning means developing plans with those who have a stake or interest in our programs. The objective of joint planning is to ensure broader Agency ownership and support for our plans and actions.

In our programming system, we practice teamwork and participation by establishing and supporting Strategic Objective (SO) Teams to manage each SO that is financed by USAID. SO Teams are structured to permit inclusion of a broad range of members beyond USAID staff, including other Federal agencies, grantees, contractors, other partner organizations, customers, and stakeholders.

The results of effective teamwork and active participation include

- Better decisions,
- More effective work or business processes,
- An increased sense of broad-based ownership for program results,
- An improved likelihood of sustainable program impact, and
- In the case of public-private alliances, leveraging resources more effectively to meet Agency development objectives.

Concerns over conflict of interest and governmental decision-making need to be taken into account when involving others in SO Teams. Related policies and best practices in **ADS 202** give USAID staff a variety of tools for promoting teamwork and participation while avoiding these difficulties.

SO Teams use many different means of ensuring broad participation beyond recruitment of non-USAID team members. These include participatory planning and

evaluation methods, regularly scheduled consultative groups, rapid appraisal techniques, and so forth. In the case of public-private alliances, regular participation may imply establishing new forms of working and funding relationships. These include the establishment of new operating vehicles, which in turn could mean that USAID may have less control over the direction of an activity than through a traditional USAID funded activity. Through active participatory processes, the SO Team ensures that USAID partners and customers are engaged in program planning, achieving, and assessing and learning.

200.3.2.4 Core Value – Empowerment and Accountability

Effective Date: 01/31/2003

The core value of empowerment and accountability reflects the belief that success requires that we push decision-making to those organizational units that are closest to the "front lines" and that we maintain an appropriate balance between authority and responsibility. Empowerment and accountability directly complement the core values of teamwork and managing for results.

In practice, this means delegating authority to those who need it to help the Agency succeed in achieving important results. It also means that authority should be delegated consistent with the capacity to carry it out in a responsible and accountable manner. This value recognizes that delegating responsibility alone, without the necessary concurrent authority, is a recipe for failure. It recognizes that to succeed, we must delegate authorities to the people closest to the action, who are in the best position to see and react to a changing environment and to the changing needs of ultimate customers, partners, and stakeholders. Finally, it recognizes that managers who delegate and empower their staff have a responsibility to ensure that staff are adequately trained and supported so that they can meet the accountability requirements that correspond to the authority delegated. This can include providing information on changing internal and external policy mandates.

Empowerment means that we are accountable for our decisions. If a manager (or team) is empowered to make decisions, he or she must have sufficient knowledge of the legal, ethical, and policy-related issues that affect those decisions.

Part of accountability means consistently exercising high ethical standards and personal integrity in all matters. This expectation pertains to both teams and individual employees.

We use empowerment and accountability to give Strategic Objective Teams official authority to make and implement decisions and to accept responsibility for decision-making. As an organization that focuses on its customers, we put the authority for decisions as close as possible to the point where the impact is achieved. Empowerment means we allow teams to take considered risks and to adjust their programs in light of new developments and the constantly changing broader environment affecting the Agency. With accountability, we must provide them with parameters related to Agency goals, and legal, policy, and ethical standards and

requirements. We can achieve this balance between empowerment and accountability by eliminating or replacing unnecessary rules, required procedures, and policy directives and by being transparent and clear about the rules, required procedures, and policies that we must have. The continual upward and downward flow of information, to and from SO Teams, particularly concerning changing internal and external foreign policy and Congressional factors, is an essential component of empowerment and accountability.

Within a team structure there is individual accountability; therefore, team input is necessary for individual performance evaluations. When individuals successfully show results from teamwork, we must reward both team and individual performance.

200.3.2.5 Core Value – Valuing Diversity

Effective Date: 01/31/2003

Valuing diversity reflects a belief that there is more than one way to look at the world and that our work will improve if we consciously seek to consider and take into account the diversity of views, experience, skills, capabilities, and beliefs of those around us.

Valuing diversity recognizes that our success as an organization depends on having a multicultural workforce that works effectively with diverse customers, stakeholders, and partners all around the world. We must ensure that our own workplace environment promotes

- Diversity, experience, and contributions of others;
- Mutual respect for all individuals;
- Opportunities for team members to contribute to the full extent of their ability on Strategic Objective Teams and other initiatives;
- Synergy and the benefits of bringing together people of different backgrounds and skills to accomplish the Agency mission; and
- Non-discrimination based on race, color, religion, national origin, physical or mental disability, sex, age, or sexual orientation. (See **ADS 110**, Equal Opportunity Employment)

Valuing diversity is demonstrated within the Agency by the way teams are composed and, more importantly, by the way program decisions are made. For example, are discussions on vision and problem analysis conducted with a broad and diverse audience? Do team decisions respect all members' input regardless of race, color, religion, national origin, physical or mental disability, sex/gender, age, sexual orientation, ethnicity, nationality (especially in the case of Foreign Service (FSN) and Third Country National (TCN) staff within USAID and host country partners), and organizational status (such as rank, grade, and position)?

200.3.3 Basic Business Model for Maximizing Public-Private Alliances

Effective Date: 01/31/2003

USAID should work closely with traditional and non-traditional development actors. Wherever possible, this cooperation should take the form of public-private alliances characterized by the following features:

- A shared understanding of the development problem or issue;
- A shared belief that an alliance will be more effective than any approach taken by a single actor;
- A shared commitment of resources; and perhaps, most important,
- A willingness to share risks.

In some cases, we may frame entire Strategic Objectives (SOs) in the form of public-private alliances; in other cases, alliances are relevant in the case of individual Intermediate Results (IRs), but not for the SO as a whole; in most cases, public-private alliances will operate at the sub-IR level. Operating Units should consider the applicability of public-private alliances at each of these levels and seek practical ways to involve alliance partners in relevant aspects of Agency planning, achieving, and assessing and learning processes.

200.4 MANDATORY REFERENCES

Resolving Conflicting Guidance. We developed many internal mandatory references before the 1995 modifications to the programming system. As such, some references refer to documentation and approval requirements that apply to documents and processes that are no longer in use (for example, Country Development Strategy Statements, Project Papers, Project Authorizations). Until we update these references, you should determine the most appropriate way to meet any mandatory requirements that do not correspond to current approval or documentation steps. In cases where this is difficult to determine, contact your Regional Legal Advisor or the Bureau for Policy and Program Coordination, Office of Strategic and Performance Planning (PPC/SPP).

Due to staff limitations, updating the policies and guidance contained in the tables below will take time. If you find that some mandatory policies are particularly problematic and should be considered for early revision or deletion, please contact PPC. We will use this information to determine priorities in revision efforts.

Where to find guidance in other ADS chapters. Each of the three functions summarized in this chapter (planning, achieving, and assessing and learning) has specific required procedures and processes that are outlined in **ADS 201**, **202**, and **203**,

respectively. Other chapters of the ADS provide more detail on specific elements of relevance to the USAID programming system. Sample areas are listed below.

ADS Chapters	Series Topic	AVAILABLE AT
ADS Series 100	**Agency Organization and Legal Affairs**	http://www.usaid.gov/policy/ads/100
Chapter **102**	Agency Organization	http://www.usaid.gov/policy/ads/100/102.pdf
Chapter **103**	Delegation of Authority	http://www.usaid.gov/policy/ads/100/103.pdf
ADS Series 200	**Programming Policy**	http://www.usaid.gov/policy/ads/200
Chapter **200** (this chapter)	Introduction to Managing for Results	http://www.usaid.gov/policy/ads/200/200.pdf
Chapter **201**	Planning	http://www.usaid.gov/policy/ads/200/201.pdf
Chapter **202**	Achieving	http://www.usaid.gov/policy/ads/200/202.pdf
Chapter **203**	Assessing and Learning	http://www.usaid.gov/policy/ads/200/203.pdf
Chapters **204 – 253**	Other programming policies on specific topics	http://www.usaid.gov/policy/ads/200
ADS Series 300	**Acquisition and Assistance**	http://www.usaid.gov/policy/ads/300
Chapter **350**	Grants to Foreign Governments	http://www.usaid.gov/policy/ads/300/350.pdf
ADS Series 400	**Personnel**	http://www.usaid.gov/policy/ads/400
ADS Series 500	**Management Services**	http://www.usaid.gov/policy/ads/500
Chapter **501**	The Automated Directives System	http://www.usaid.gov/policy/ads/500/501.pdf
ADS Series 600	**Budget and Finance**	http://www.usaid.gov/policy/ads/600
Chapter **624**	Host Country-Owned Foreign Currency	http://www.usaid.gov/policy/ads/600/624.pdf

***Additional policies and guidance.** USAID staff must familiarize themselves with Agency programming policy related to the types of programs they are designing and implementing and must ensure that those programs are consistent with applicable policy. Moreover, USAID staff must ensure that programs conform to all mandatory guidance. You should identify relevant policy early in the planning process and factor it into planning and related decision-making processes from the outset.

The Agency Strategic Plan is the broadest statement of USAID programming policy. It is complemented by a considerable body of detailed programming policy covered in the reference tables that follow. These tables contain the more commonly used references related to programming. However, it is not possible to identify all mandatory references,

particularly legal provisions, which may be applicable in a particular situation. PPC will revise and update this list periodically. The tables are divided into external mandatory references, internal mandatory references, and additional help references.

200.4.1 External Mandatory References

The comprehensive list below contains external mandatory reference documents related to ADS Chapters 200 through 203. External mandatory references are relevant Federal statutes, Executive Orders, and other external regulations (such as USAID-specific regulations, Uniform Foreign Affairs Regulations, and some U.S. Government-wide regulations). Some of the mandatory material consists of guidance that identifies specific approaches that are required in implementing particular types of development programs, as well as detailed guidance on application of certain restrictions, procedures, or accountability standards that affect programming of USAID resources. This list also includes broader statements of Agency goals, guiding principles, views on best practices, and preferred approaches in addressing particular types of development challenges. These reference documents are available by hyperlink if you open this ADS chapter electronically or on the most recent ADS CD.

EXTERNAL MANDATORY REFERENCE TITLE	AVAILABLE AT
22 Code of Federal Regulations (CFR) 62, Mutual Educational and Cultural Exchange Act of 1961 (Fulbright-Hays Act)	http://www.access.gpo.gov/nara/cfr/waisidx_04/22cfr62_04.html
22 CFR 203, Registration of Agencies for Voluntary Foreign Aid	http://www.access.gpo.gov/nara/cfr/waisidx_04/22cfr203_04.html
22 CFR 211, Transfer of Food Commodities for Food Use in Disaster Relief, Economic Development and other Assistance	http://www.access.gpo.gov/nara/cfr/waisidx_04/22cfr211_04.html
22 CFR 216, Environmental Procedures	http://www.access.gpo.gov/nara/cfr/waisidx_04/22cfr216_04.html
22 CFR 225, Protection of Human Subjects	http://www.access.gpo.gov/nara/cfr/waisidx_04/22cfr225_04.html
22 CFR 226, Administration of Assistance Awards to U.S. Non-Governmental Organizations	http://www.access.gpo.gov/nara/cfr/waisidx_04/22cfr226_04.html
22 CFR 228, Rules on Source, Origin and Nationality for Commodities and Services Financed by USAID	http://www.access.gpo.gov/nara/cfr/waisidx_04/22cfr228_04.html
*Executive Order 13279, Equal Protection of the Laws for Faith-Based and Community Organizations	http://www.whitehouse.gov/news/releases/2002/12/20021212-6.html
*Executive Order 13280, Responsibilities of the Department of Agriculture and the Agency for International Development With Respect to Faith-Based and Community Initiatives	http://www.whitehouse.gov/news/releases/2002/12/20021212-5.html
Federal Acquisition Regulation (FAR), [48 CFR Chapter 1]	http://www.arnet.gov/far/

EXTERNAL MANDATORY REFERENCE TITLE	AVAILABLE AT
Federal Financial Management Improvement Act of 1998, beyond original FMFIA	http://www.usaid.gov/policy/ads/200/fmfia98.pdf
Foreign Assistance Act of 1961, as amended (FAA)	http://www.usaid.gov/about_usaid/usaidhist.html
*National Security Strategy of the United States	http://www.whitehouse.gov/nsc/nss.html
OFPP Policy Letter 97-1, Procurement System Education, Training and Experience Requirements for Acquisitions Personnel	http://www.arnet.gov/Library/OFPP/PolicyLetters/Letters/PL97-01.html
Office of Management and Budget (OMB) Bulletin 98-08, Audit Requirements for Federal Financial Statements, and amendment OMB Bulletin 98-04	http://www.whitehouse.gov/omb/bulletins/98-08.html and http://www.whitehouse.gov/omb/bulletins/b98-04.html
OMB Circular A-11, Preparation, Submission, and Execution of the Budget	http://www.whitehouse.gov/omb/circulars/a11/03toc.html
*OMB Circular A-76, Performance of Commercial Activities	http://www.whitehouse.gov/omb/circulars/a076/a76_incl_tech_correction.pdf
OMB Circular A-123, Management Accountability and Control	http://www.whitehouse.gov/omb/circulars/a123/a123.html
Public Law 101-576, Chief Financial Officers Act of 1990	http://thomas.loc.gov/cgi-bin/query/z?c101:H.R.5687.ENR:
Public Law 102-511, Freedom Support Act of 1992, Freedom for Russia and Emerging Eurasian Democracies and Open Markets Support Act	http://thomas.loc.gov/cgi-bin/query/z?c102:S.2532.ENR:
Public Law 103-62, Government Performance and Results Act [GPRA] of 1993	http://thomas.loc.gov/cgi-bin/bdquery/z?d102:SN00064:|TOM:/bss/d102query.html
Public Law 103-356, Government Management Reform Act [GMRA] of 1994	http://www.usaid.gov/policy/ads/200/pl102-62.doc
USAID Acquisition Regulations (AIDAR)	http://www.usaid.gov/policy/ads/300/aidar.pdf
31 U.S.C. Chapter 39, Prompt Pay (Federal Prompt Payment Act)	http://www.usaid.gov/policy/ads/usclist.html?31usc39
22 U.S.C. Chapter 63, Support for Eastern European Democracy (SEED) Act of 1989	http://www.usaid.gov/policy/ads/usclist.html?22usc63
41 U.S.C. 253, Competition in Contracting Act	http://www.usaid.gov/policy/ads/usclist.html?41usc253
31 U.S.C. 1341, Limitations on expending and obligating amounts (includes the Federal Anti-Deficiency Act)	http://www.usaid.gov/policy/ads/usclist.html?31usc1341
31 U.S.C. 6301-6308, Federal Grants and Cooperative Agreements Act	http://www.usaid.gov/policy/ads/usclist.html?31usc63

200.4.2 Internal Mandatory References

The comprehensive list below contains internal mandatory reference documents related to ADS Chapters 200-203. USAID creates internal mandatory references, which contain policy directives and required procedures that supplement ADS chapters. These reference documents are available by hyperlink if you open this ADS chapter electronically or on the most recent ADS CD.

CATEGORY	INTERNAL MANDATORY REFERENCE TITLE	AVAILABLE AT
Goal Area: Democracy & Governance	Policy Determination (PD) #12 – Human Rights	http://www.usaid.gov/policy/ads/200/pd12.pdf
	*USAID Political Party Assistance Policy	http://www.usaid.gov/policy/ads/200/200maz.pdf
Goal Area: Economic Growth & Agricultural Development	*ADS 225, Program Principles for Trade and Investment Activities and the "Impact on U.S. Jobs" and "Workers' Rights" [also listed under Other Issues]	http://www.usaid.gov/policy/ads/200/225.pdf
	Microenterprise Development	http://www.usaid.gov/policy/ads/200/200mas.pdf
	Policy Determination (PD) #15 – Assistance to Support Agricultural Export Development	http://www.usaid.gov/policy/ads/200/pd15.pdf
	PD #71 – USAID Financing of Palm Oil, Citrus and Sugar Projects and Related Products	http://www.usaid.gov/policy/ads/200/pd71.pdf
Goal Area: Education & Training	Policy Paper: Program Focus Within Basic Education	http://www.usaid.gov/policy/ads/200/200mad.pdf
	USAID-Higher Education Community Partnership	http://www.usaid.gov/policy/ads/200/higher_ed/highed.pdf
Goal Area: Environment & Energy	Energy	http://www.usaid.gov/policy/ads/200/energy/energy.pdf
	Environment Strategy	http://www.usaid.gov/policy/ads/200/environ/environ.pdf
	Guidance on Complying with the Knollenberg Amendment for Climate Change-Related Programs	http://www.usaid.gov/policy/ads/200/200maa.pdf
Goal Area: Health & Population	A Collaborative Approach to Reviewing HIV/AIDS Strategies	http://www.usaid.gov/policy/ads/200/200max.pdf
	Guidance on the Definition and Use of the Child Survival and Health Programs Fund	http://www.usaid.gov/policy/ads/200/200mab.doc

CATEGORY	INTERNAL MANDATORY REFERENCE TITLE	AVAILABLE AT
	Guidance on the New Monitoring and Evaluation Reporting System Requirements for HIV/AIDS	http://www.usaid.gov/policy/ads/200/200maw.pdf
Goal Area: Health & Population, continued	Population Assistance	http://www.usaid.gov/policy/ads/200/population/populat.pdf
	TAACS (Using Technical Advisors in AIDS & Child Survival Programs)	http://www.usaid.gov/policy/ads/200/200mat.pdf
	USAID Policy on Female Genital Cutting	http://www.usaid.gov/policy/ads/200/200mac.pdf
Goal Area: Humanitarian Assistance and Food Aid	Post-Crisis Planning and Implementation—USAID Policies and Regulations	http://www.usaid.gov/policy/ads/200/200may.pdf
Other Issues	*ADS 225, Program Principles for Trade and Investment Activities and the "Impact on U.S. Jobs" and "Workers' Rights" [also listed under Economic Growth and Agricultural Development]	http://www.usaid.gov/policy/ads/200/225.pdf
	Appropriate Use and Funding of USAID's Non-Direct Hire Workforce, Series 400, Interim Update #2	http://www.usaid.gov/policy/ads/400/updates/iu4-02.pdf
	Implementation of Policy Guidance Concerning Fellows, Series 400, Interim Update #3	http://www.usaid.gov/policy/ads/400/updates/iu4-03.pdf
	Non Presence Programming Procedures	http://www.usaid.gov/policy/ads/200/200mag.pdf
	Records Disposition Schedule – Agency-wide (USAID/W and Missions)	http://www.usaid.gov/policy/ads/500/50255dm.pdf
	Strategic Objective Document Disposition Schedule	http://www.usaid.gov/policy/ads/500/502mab.pdf
	USAID Disability Policy Paper	http://www.usaid.gov/about/disability/policies.html
Operational Policy: Planning	Acquisition and Assistance Policy Directive (AAPD) #02-10, Cost Sharing in Grants and Cooperative Agreements to NGOs (also see **ADS 303**)	http://www.usaid.gov/business/business_opportunities/cib/pdf/aapd02_10.pdf
	PD #21 – Guidelines: Endowments Financed with Appropriated Funds	http://www.usaid.gov/policy/ads/200/pd21.pdf
	Procedures for the Protection of Human Subjects in Research Supported by USAID	http://www.usaid.gov/policy/ads/200/humansub.pdf

CATEGORY	INTERNAL MANDATORY REFERENCE TITLE	AVAILABLE AT
Operational Policy: Planning, continued	Program Assistance (includes information on non-project assistance, sector program assistance, cash transfers, balance of payments support, and budget support)	http://www.usaid.gov/policy/ads/200/prog_asst/proasst.pdf
	Requirements for Congressional Notifications / FY2000 Operating Year Budget	http://www.usaid.gov/policy/ads/200/200mak.pdf
	*DOS and USAID Strategic Plan, FY 2004-2009	http://www.usaid.gov/policy/ads/200/200mba.pdf
	USAID – U.S. PVO Partnership Policy Guidance	http://www.usaid.gov/policy/ads/200/200mau.pdf
	*ADS 260, Geographic Codes	*http://www.usaid.gov/policy/ads/200/260.pdf
Cash Transfer Guidance	Cash Transfer and Interest Earnings [94 State 205189]	http://www.usaid.gov/policy/ads/200/205189.pdf
	ESF Cash Transfer Assistance - Amplified Policy Guidance [87 State 325792]	http://www.usaid.gov/policy/ads/200/325792.pdf
	Financial Management Guidance on Dollar Separate Accounts for ESF Cash Transfers and ESF-, DA and DFA-Funded Non-Project Sector Assistance Cash Disbursements [90 State 194322]	http://www.usaid.gov/policy/ads/200/194322.pdf
	Supplemental Guidance on Programming and Managing Host Country-Owned Local Currency [91 State 204855]	http://www.usaid.gov/policy/ads/200/204855.pdf
	PD #18 – Local Currency	http://www.usaid.gov/policy/ads/200/pd18.pdf
	USAID Exchange Rate Policy Guidance	http://www.usaid.gov/policy/ads/200/exchrate.pdf
Operational Policy: Achieving	Choosing Between Acquisition and Assistance Instruments, Series 300, Interim Update #17	http://www.usaid.gov/policy/ads/300/updates/iu3-17.pdf
	Contract Information Bulletin (CIB) 99-17, Organizational Conflict of Interest	http://www.usaid.gov/procurement_bus_opp/procurement/cib/pdf/cib9917.pdf
	Inherently Governmental Functions as Defined by the Office of Management and Budget in Office of Federal Procurement Policy Letter 92-1, Dated September 23, 1992	http://www.usaid.gov/policy/ads/600/601577m1.pdf

CATEGORY	INTERNAL MANDATORY REFERENCE TITLE	AVAILABLE AT
Operational Policy: Achieving, continued	Policy Guidance on Criteria for Payment of Salary Supplements for Host Government Employees [88 State 119780]	http://www.usaid.gov/policy/ads/200/119780.pdf
	Past Performance Handbook, Contractor Performance Report Card	http://www.usaid.gov/policy/ads/300/30259m1.pdf

200.5 ADDITIONAL HELP

The comprehensive list below contains all additional help documents related to ADS Chapters 200-203. Additional help references provide detailed information about Agency policy, guidance, and procedures. Use of these additional help documents is encouraged, but not required. These documents do not specify required actions or other requirements. These reference documents are available by hyperlink if you open this ADS chapter electronically or on the most recent ADS CD.

CATEGORY	ADDITIONAL HELP TITLE	AVAILABLE AT
Goal Area: Democracy & Governance	Alternative Dispute Resolution Practitioners Guide	http://www.usaid.gov/policy/ads/200/200sbe.pdf
	Civil-Military Relations: USAID's Role	http://www.usaid.gov/policy/ads/200/200sbf.pdf
	Conducting a DG Assessment: A Framework for Strategy Development	http://www.usaid.gov/policy/ads/200/pnagc505.pdf
	Decentralization and Democratic Local Governance Programming Handbook	http://www.usaid.gov/policy/ads/200/200saz.pdf
	Democracy and Governance	http://www.usaid.gov/policy/ads/200/demgov/demogov.pdf
	Democracy and Governance: A Conceptual Framework	http://www.usaid.gov/policy/ads/200/cframe.pdf
	Handbook of Democracy & Governance Program Indicators	http://www.usaid.gov/policy/ads/200/indhndbk.pdf
	Handbook on Fighting Corruption	http://www.usaid.gov/policy/ads/200/crpthdbk.pdf
	Managing Assistance in Support of Political & Electoral Processes	http://www.usaid.gov/policy/ads/200/200sba.pdf
	Role of the Media in Democracy: A Strategic Approach	http://www.usaid.gov/policy/ads/200/200sbc.pdf

CATEGORY	ADDITIONAL HELP TITLE	AVAILABLE AT
	USAID Handbook on Legislative Strengthening	http://www.usaid.gov/policy/ads/200/200sbb.pdf
Goal Area: Democracy & Governance, continued	USAID Political Party Development Assistance	http://www.usaid.gov/policy/ads/200/200sbd.pdf
Goal Area: Economic Growth & Agricultural Development	Agricultural Sector Assessments	http://www.usaid.gov/policy/ads/200/200san.pdf
	AID Food and Agriculture Strategy	http://www.usaid.gov/policy/ads/200/200saa.pdf
	Cooperative Development	http://www.usaid.gov/policy/ads/200/coopdev/coopdev.pdf
	Design of Urban and Environmental Credit (UEC) Program	http://www.usaid.gov/policy/ads/200/2506s1.pdf
	Economic Analysis of Assistance Activities	http://www.usaid.gov/policy/ads/200/2026s6.pdf
	Financial Markets Development	http://www.usaid.gov/policy/ads/200/finmkts/finmkts.pdf
	Food and Agricultural Development	http://www.usaid.gov/policy/ads/200/foodagri/foodagri.pdf
	Introduction to Food Security Analysis	http://www.usaid.gov/policy/ads/200/200sab.pdf
	Loan Refinancing	http://www.usaid.gov/policy/ads/200/25054s1.pdf
	PD #13 – Land Tenure	http://www.usaid.gov/policy/ads/200/pd13.pdf
	PD #14 – Implementing USAID Privatization Objectives	http://www.usaid.gov/policy/ads/200/pd14.pdf
	PD #22 – Telecommunication, Information, and the Global Information Infrastructure	http://www.usaid.gov/policy/ads/200/pd22.pdf
	PD #52 – Policy Determination on Labor Manpower	http://www.usaid.gov/policy/ads/200/pd52.pdf
	Pricing, Subsidies, and Related Policies in Food and Agriculture	http://www.usaid.gov/policy/ads/200/pricing/pricing.pdf
	Role of Resource Transfers in U.S. Economic Assistance	http://www.usaid.gov/policy/ads/200/restrans.pdf
	Trade Development	http://www.usaid.gov/policy/ads/200/200say.pdf
Goal Area: Education &	Basic Education and Technical Training	http://www.usaid.gov/policy/ads/200/basiced/basic_ed.pdf

CATEGORY	ADDITIONAL HELP TITLE	AVAILABLE AT
Training	Education Sector Assessment [Vol. 5, Strategy Development and Project Design]	http://www.usaid.gov/policy/ads/200/200sac.pdf
Goal Area: Environment & Energy	Domestic Water and Sanitation	http://www.usaid.gov/policy/ads/200/water/index.html
	Environment and Natural Resources	http://www.usaid.gov/policy/ads/200/envirnat/envirnat.pdf
	Guidance for Preparation of Background Assessments on Biological Diversity and Tropical Forests for Use in CDSS or Other Country Plans	http://www.usaid.gov/policy/ads/200/200sbh.pdf
	Initial Environmental Examination	http://www.usaid.gov/policy/ads/200/25052s1.pdf
	Making Cities Work: USAID's Urban Strategy	http://www.makingcitieswork.org/
	PD #6 – Environmental and Natural Resource Aspects of Development Assistance	http://www.usaid.gov/policy/ads/200/pd6.pdf
	PD #7 – Forestry Policy and Programs	http://www.usaid.gov/policy/ads/200/pd07.pdf
	Shelter	http://www.usaid.gov/policy/ads/200/shelter/shelter.pdf
	Summary Description of FAA sections 118(e) and 119(d) Requirements for Preparing Strategic Plans	http://www.usaid.gov/policy/ads/200/200saj.pdf
	Urban Development Policy	http://www.usaid.gov/policy/ads/200/urban_dev/urbandev.pdf
Goal Area: Health & Population	Expanded Response Guide to Core Indicators for Monitoring and Reporting on HIV/AIDS Programs	http://www.usaid.gov/policy/ads/200/200sbk.pdf
	Handbook of Indicators for HIV/AIDS/STI Programs	http://www.dec.org/pdf_docs/PNACK416.pdf
	Health Assistance	http://www.usaid.gov/policy/ads/200/health/health.pdf
Goal Area: Health & Population	Monitoring and Reporting on HIV/AIDS Programs [02 State 046436]	http://www.usaid.gov/policy/ads/200/200sbl.pdf
	Nutrition	http://www.usaid.gov/policy/ads/200/nutrition/nutritio.pdf

CATEGORY	ADDITIONAL HELP TITLE	AVAILABLE AT
	UNAIDS National AIDS Programmes: A Guide to Monitoring and Evaluation	*[Note: Please see the website listed here for information on the UNAIDS National AIDS Programmes (http://www.unaids.org)]
	UNAIDS/UNGASS: Monitoring the Declaration of Commitment on HIV/AIDS	*[Note: Please see the website listed here for information on UNAIDS/UNGASS (**http://www.unaids.org**)]
Goal Area: Humanitarian Assistance & Food Aid	FAS Online Food Aid Programs Summary & web entry (Pub. L. 480)	*[Note: Please see the website listed here for information on the FAS Online Food Aid Programs (**http://www.fas.usda.gov/food-aid.html**)]
	FAS Online--Food Aid, Section 416(b)	*[Note: Please see the website listed here for information about FAS Online (**http://www.fas.usda.gov/food-aid.html**)]
	Field Operations Guide for Disaster Assessment & Response	**http://www.usaid.gov/policy/ads/200/fog_v3.pdf**
	Food Aid and Food Security Policy Paper	**http://www.usaid.gov/policy/ads/200/foodsec/foodsec.pdf**
	Food for Peace (Pub. L. 480, Titles II & III), Formerly HB 9	**http://www.usaid.gov/policy/ads/200/ffp/ffp.pdf** (Contact DCHA/FFP for additional assistance)
	Mitigation Practitioner's Handbook	**http://www.usaid.gov/policy/ads/200/hbkoct18.pdf**
	OFDA Guidelines for Grant Proposals and Reporting	**http://www.usaid.gov/policy/ads/200/pvoguide.pdf**
	PD #19 – Definition of Food Security	**http://www.usaid.gov/policy/ads/200/pd19.pdf**
Goal Area: Cross-Cutting Issues	Conflict Prevention Guidance for Strategic Planning	**http://www.usaid.gov/policy/ads/200/200sav.pdf**
	Donor Coordination Strategies	**http://www.usaid.gov/policy/ads/200/200sad.pdf**
	Gender Plan of Action	**http://www.usaid.gov/policy/ads/200/gplana96.pdf**
	Institutional Development	**http://www.usaid.gov/policy/ads/200/instdev/instdev.pdf**
	PD #73 – Policy on USAID-U.S. Cooperative Organization Relationships	**http://www.usaid.gov/policy/ads/200/pd73.pdf**
	USAID Research: Policy Framework, Principles and Operational Guidance	**http://www.usaid.gov/policy/ads/200/polframe.pdf**
	USAID's Strategy for Sustainable Development: An Overview	**http://www.usaid.gov/policy/ads/200/200sai.pdf**
	Women in Development Policy Paper	**http://www.usaid.gov/policy/ads/200/women/womendev.pdf**

CATEGORY	ADDITIONAL HELP TITLE	AVAILABLE AT
Operational Policy: Planning	Budget Cycle as of June 1, 2000 (Details of the USAID Budget Cycle)	http://www.usaid.gov/policy/ads/200/200sax.pdf
	FY2004 USAID Statutory Checklists (Template for Country Checklist and Assistance Checklist)	http://www.usaid.gov/policy/ads/200/202saa.pdf
Operational Policy: Planning, continued	GC's Description of Inherently Governmental Functions re: teams (not a legal determination)	http://www.usaid.gov/policy/ads/200/200sam.pdf
	Guaranty Authorization	http://www.usaid.gov/policy/ads/200/25034s1.pdf
	Guidelines for Strategic Plans	http://www.usaid.gov/policy/ads/200/statplan.pdf
	How to Choose between 632(a) and 632(b) - Memoranda of Understanding and Inter-Agency Agreements	http://www.usaid.gov/policy/ads/200/200sat.pdf
	Model Checklist for Pre-Obligation Requirements	http://www.usaid.gov/policy/ads/200/200sar.pdf
	National Security Decision Directive Number 298 – National Operations Security Program	http://www.usaid.gov/policy/ads/200/nsdd298.pdf
	Official Files (for Strategic Objectives)	http://www.usaid.gov/policy/ads/200/200sae.pdf
	Performance Management Toolkit	*http://www.usaid.gov/policy/ads/200/200sbn.pdf
	PD #4 – Title XII	http://www.usaid.gov/policy/ads/200/pd04.pdf
	Regulations Implementing Section 487 of Foreign Assistance Act (FAA)	http://www.usaid.gov/policy/ads/200/135276.pdf
	Results-Oriented Assistance: A USAID Sourcebook	http://www.usaid.gov/policy/sourcebook/usgov/
	Social Soundness Analysis	http://www.usaid.gov/policy/ads/200/2026s7.pdf
	Strategic Plan Checklist	http://www.usaid.gov/policy/ads/200/200sbi.pdf
	UEC Loan Documentation	http://www.usaid.gov/policy/ads/200/25031s1.pdf
	USAID and Other Websites Providing Helpful References and Other Information	http://www.usaid.gov/policy/ads/200/200sah.pdf
	USAID Multi-Year Budget Process	http://www.usaid.gov/policy/ads/200/200sau.pdf
	USAID Reform Roadmap	http://www.usaid.gov/policy/ads/200/200sap.pdf

CATEGORY	ADDITIONAL HELP TITLE	AVAILABLE AT
CATEGORY	ADDITIONAL HELP TITLE	**AVAILABLE AT**
Operational Policy: Achieving	632a Draft Memorandum of Understanding	http://www.usaid.gov/policy/ads/200/200sat.pdf
	Activity Information Sheet (AIS) – Database to access	http://www.usaid.gov/policy/ads/200/200sat.pdf OR http://cdie.usaid.gov/npc/ (accessible only within the USAID firewall)
	Detailed Guide for Training Results	http://www.usaid.gov/policy/ads/200/253maa.pdf
	Federal Advisory Committee Act, Title 5 – U.S.C. - Appendix 2 (against establishing new advisory committees for government)	http://uscode.house.gov/DOWNLOAD/05A.DOC
	Form to Use Before Obligating Funds	http://www.usaid.gov/policy/ads/200/200sag.pdf
	Guidance on Consultation and Avoidance of Unfair Competitive Advantage	http://www.usaid.gov/policy/ads/200/200saf.pdf
	Guidelines for Financial Analysis of Activities	http://www.usaid.gov/policy/ads/200/2026s5.pdf
	Implementation Letters	http://www.usaid.gov/policy/ads/200/20259s1.pdf
	Key Individual Certification Narcotics Offenses & Drug Trafficking (See ADS 206 for more information)	http://www.usaid.gov/policy/ads/200/20657m1.pdf
	Legal and Policy Considerations when Involving Partners and Customers on Strategic Objective Teams and Other Consultations	http://www.usaid.gov/policy/ads/200/2016s1.pdf
	Participant Certification Narcotics Offenses and Drug Trafficking (See ADS 206 for more information)	http://www.usaid.gov/policy/ads/200/20657m2.pdf
	Recurrent Costs: Problems in Less Developed Countries	http://www.usaid.gov/policy/ads/200/rec_cost/recurcst.pdf
	Results Act, An Evaluator's Guide to Assessing Agency Annual Performance Plans (GAO/GGD-10.1.20)	http://www.usaid.gov/policy/ads/200/gaoresul.pdf

CATEGORY	ADDITIONAL HELP TITLE	AVAILABLE AT
	Sample 632(a) Memorandum of Agreement to Allocate Funds From USAID to Another Agency	http://www.usaid.gov/policy/ads/300/306sam.pdf
	Sample 632(a) Memorandum of Agreement to Transfer Funds From USAID to Another Agency	http://www.usaid.gov/policy/ads/300/306sai.pdf
Operational Policy: Assessing / Learning	TIPS 01, Conducting a Participatory Evaluation	http://www.dec.org/pdf_docs/pnabs539.pdf
	TIPS 02, Conducting Key Informant Interviews	http://www.dec.org/pdf_docs/pnabs541.pdf
	TIPS 03, Preparing an Evaluation Scope of Work	http://www.dec.org/pdf_docs/pnaby207.pdf
	TIPS 04, Using Direct Observation Techniques	http://www.dec.org/pdf_docs/pnaby208.pdf
	TIPS 05, Using Rapid Appraisal Methods	http://www.dec.org/pdf_docs/pnaby209.pdf
	TIPS 06, Selecting Performance Indicators	http://www.dec.org/pdf_docs/pnaby214.pdf
	TIPS 07, Preparing a Performance Monitoring Plan	http://www.dec.org/pdf_docs/pnaby215.pdf
	TIPS 08, Establishing Performance Targets	http://www.dec.org/pdf_docs/pnaby226.pdf
	TIPS 09, Conducting Customer Service Assessments	http://www.dec.org/pdf_docs/pnaby227.pdf
	TIPS 10, Conducting Focus Group Interviews	http://www.dec.org/pdf_docs/pnaby233.pdf
	TIPS 11, The Role of Evaluation in USAID	http://www.dec.org/pdf_docs/pnaby239.pdf
	TIPS 12, Guidelines for Indicator and Data Quality	http://www.dec.org/pdf_docs/pnaca927.pdf
	TIPS 13, Building a Results Framework	http://www.dec.org/pdf_docs/pnaca947.pdf
	TIPS 14, Monitoring the Policy Reform Process	http://www.dec.org/pdf_docs/PNACA949.pdf
	TIPS 15, Measuring Institutional Capacity	http://www.dec.org/pdf_docs/PNACG612.pdf
	TIPS 15 Annexes, Measuring Institutional Capacity Annexes	http://www.dec.org/pdf_docs/PNACG624.pdf

CATEGORY	ADDITIONAL HELP TITLE	AVAILABLE AT
Global Development Alliance	Tools for Alliance Builders	http://www.usaid.gov/gda/tab.doc
Other Issues	Approaches to the Policy Dialogue	http://www.usaid.gov/policy/ads/200/poldia/poldia.pdf
	*Guidance on how to Close a USAID Mission -- Checklist	http://www.usaid.gov/policy/ads/500/527mab.pdff
Other Issues	Human Resources Tools Available to Assist Overseas Missions in Establishing Team-Based Organizational Structures	http://www.usaid.gov/policy/ads/200/200saw.pdf
	Local Organizations in Development	http://www.usaid.gov/policy/ads/200/localorg/localorg.pdf
	PD #1 – Narcotics	http://www.usaid.gov/policy/ads/200/pd01.pdf
	PD #66 – Criteria for Determining USAID Loan Terms and for Requesting Acceleration of Loan Repayments	http://www.usaid.gov/policy/ads/200/pd66.pdf
	Technical Officer's Guide for Evaluating Contractor Performance (part of the Past Performance Handbook - Contractor Performance Report Cards)	http://www.usaid.gov/policy/ads/300/30259m1.pdf

*200.6 DEFINITIONS

Effective Date: 03/19/2004

The terms and definitions listed below have been incorporated into the ADS Glossary. See the **ADS Glossary** for all ADS terms and definitions.

A. Acronyms and Abbreviations

Acronym	Term
A&A	Acquisition and Assistance
AA	Assistant Administrator
AAPD	Acquisition and Assistance Policy Directive
AA/M	Assistant Administrator/Bureau for Management
AAD	Activity Approval Document
ADS	Automated Directives System
AIDAR	Agency for International Development Acquisition Regulations
AIS	Activity Information Sheet

Acronym	Term
ANE	Bureau for Asia and the Near East
AO	Agreement Officer
APP	Annual Performance Plan
APR	Annual Performance Report (see PAR)
ASP	Agency Strategic Plan
BHR	Former Bureau for Humanitarian Response
BPBS	Bureau Program and Budget Submission
CBJ	Congressional Budget Justification
CDIE	Center for Development Information and Evaluation (see DEI)
CE	Categorical Exclusion
*CFBCI	*Center for Faith-Based and Community Initiatives
CFO	Chief Financial Officer
CFR	Code of Federal Regulations
CIB	Contract Information Bulletin (see AAPD)
CO	Contracting Officer
CP	Conditions Precedent
CP	Congressional Presentation (see Congressional Budget Justification)
CTO	Cognizant Technical Officer
DAA	Deputy Assistant Administrator
DAP	Development Assistance Proposal
DCAA	Defense Contract Audit Agency
DCHA	Bureau for Democracy, Conflict and Humanitarian Assistance
DEC	Development Experience Clearinghouse
DEI	Office of Development Evaluation and Information
DHHS	Department of Health and Human Services
DHS	Demographic and Health Surveys
DOA	Delegation of Authority
*DOS	U.S. Department of State
E&E	Bureau for Europe and Eurasia
EA	Environmental Assessment
EGAT	Bureau for Economic Growth, Agriculture and Trade
EXO	Executive Officer
FAA	Foreign Assistance Act
FAR	Federal Acquisition Regulation
FAR	Fixed Amount Reimbursement
FAS	Freight Along Side
*FBCO	*Faith-Based and Community Organizations
FMFIA	Federal Managers Financial Integrity Act
FOB	Freight-on-Board
FOG	Field Operations Guide
FSA	Freedom Support Act
FSN	Foreign Service National
FSNDH	Foreign Service National Direct Hire
FSNPSC	Foreign Service National Personal Services Contract or

Acronym	Term
	Contractor
G	Former Bureau for Global Programs, Field Support, and Research (see Pillar Bureaus)
GAO	General Accounting Office
GC	Office of General Counsel
GDA	Global Development Alliance
GH	Bureau for Global Health
GPRA	Government Performance and Results Act
IAA	Interagency Agreement
IASP	International Affairs Strategic Plan
ICASS	International Cooperative Administrative Support Services
IEE	Initial Environmental Examination
IG	Inspector General
IMF	International Monetary Fund
IR	Intermediate Result
LAC	Bureau for Latin America and the Caribbean
LOC	Letter of Credit
LPA	Bureau for Legislative and Public Affairs
M	Bureau for Management
M/FM	Bureau for Management, Office of Financial Management
M/HR	Bureau for Management, Office of Human Resources
M/IRM	Bureau for Management, Office of Information Resources Management
M/OP	Bureau for Management, Office of Procurement
MAARD	Modified Acquisition and Assistance Request Document
MCH	Maternal and Child Health Services
MFR	Managing for Results
MOU	Memorandum of Understanding
MPP	Mission Performance Plan
NGO	Non-Governmental Organization
NOA	New Obligating Authority
NPA	Non-Project Assistance
NSS	National Security Strategy
OCI	Organizational Conflict of Interest
OE	Operating Expense
OMB	Office of Management and Budget
OpU or OU	Operating Unit
OYB	Operating Year Budget
PAAD	Program Assistance Approval Document
PAIP	Program Assistance Initial Proposal
PAR	Performance and Accountability Report
PASA	Participating Agency Service Agreement
PD	Policy Directive
PD&L	Program Development & Learning
PMP	Performance Management Plan

Acronym	Term
PPA	Public-Private Alliance
PPC	Bureau for Policy and Program Coordination
PSC	Personal Services Contract or Contractor
PSO	Program Support Objective
Pub.L. 480	Public Law 480 (food aid)
PVO	Private Voluntary Organization
R4	Results Review and Resource Request (see Annual Report)
RCO	Regional Contracting Officer
REFTEL	Referenced Cable
RFA	Request for Application
RFP	Request for Proposal
RLA	Regional Legal Advisor
*RSSA	Resources Support Services Agreement – replaced by PASA in 2003
SEED	Support for Eastern European Democracy
SLC	Special Letter of Credit
SO	Strategic Objective
SOAg	Strategic Objective Agreement
SOW	Scope of Work, Statement of Work
SpO	Special Objective
SpOAg	Special Objective Agreement
TAACS	Technical Advisors in AIDS and Child Survival
TCN	Third Country National
TCNPSC	Third Country National Personal Services Contract or Contractor
UEC	Urban and Environmental Credit Program
UN	United Nations
USAID/W	USAID, Washington
USDH	United States Direct Hire
USG	United States Government
USPSC	United States Personal Service Contract or Contractor

B. Defined Terms

accountability for results (or results accountability)
The establishment of clear responsibility and expectation related to achieving formally approved results. Expectations concerning accountability vary with the degree of control that an individual or Operating Unit has over the results they are managing. (Chapters 200-203)

accrual
The estimated cost of goods and/or services or other performance received but not yet paid for by the Agency. Accruals are calculated for specific agreements and help provide current information on the financial status of an activity (or group of activities), agreement, or program. In the case of construction, they may be based on percent

completed. (See **ADS Series 600** for a more technical discussion of this term) (Chapters 200-203)

activity
A set of actions through which inputs, such as commodities, technical assistance, training, or resource transfers, are mobilized to produce specific outputs, such as vaccinations given, schools built, microenterprise loans issued, or policies changed. Activities are undertaken to achieve Strategic or Special Objectives that have been formally approved and notified to Congress. (Chapters 200-203)

Activity Approval Document (AAD)
A document that approves one or more activities for implementation. (Chapters 200-203)

Activity Manager
Member of a Strategic Objective (SO) Team or sub-team who is responsible for the day-to-day management of one or more specific activities. The Activity Manager is selected by the SO Team, and may or may not also have the delegated authorities of a Cognizant Technical Officer (CTO), whose authority to carry out contract management functions are designated by a Contracting or Agreement Officer. (See "Cognizant Technical Officer (CTO)") (Chapters 200-203)

Agency goal
A long-term development result in a specific area to which USAID programs contribute. An Agency goal has been identified as a specific goal in the Agency Strategic Plan (ASP). (Chapters 200-203)

Agency Mission Statement
The ultimate purpose of Agency programs; it is the unique contribution of USAID to U.S. national interests. There is one Agency Mission, and it is described in the Agency Strategic Plan (ASP). (Chapters 200-203)

Agency Objective
A development result that contributes to the achievement of an Agency goal as defined in the Agency Strategic Plan (ASP). Agency Objectives generally denote preferred approaches or areas of emphasis for programs that support specific goals. They should not be confused with Strategic or Special Objectives. Agency Objectives provide a general framework for more detailed planning that occurs for specific country and regional programs. (Chapters 200-203)

Agency Program Approach
A tactic commonly used to achieve a particular Agency Objective. Several program approaches are associated with each Agency Objective. These are identified in the Agency Strategic Plan (ASP). (Chapters 200-203)

Agency Strategic Plan (ASP)
An overall Agency plan for providing development and humanitarian assistance, which articulates the Agency mission, goals, objectives, and program approaches. The Agency Strategic Plan is coordinated with and reflects U.S. Government foreign policy priorities, as described in the International Affairs Strategic Plan (IASP). (Chapters 200-203)

agent
Term no longer used. **(See "Partner")**

Annual Report
An annual document produced by each Operating Unit and submitted to the responsible Bureau to report on past performance, future resources needed, and data needed for Agency-wide management, budget decisions, and external reporting. Annual Reports began in 2001 and replaced the Results Review and Resource Request (R4). (Chapters 200-203)

attribution
The extent to which a result is caused by USAID activities. (Chapters 200-203)

baseline
(See "Performance Baseline")

Bureau Planning Framework
A description of the goals and priorities for a sector or region (in some cases a country). It serves to guide Operating Unit Strategic Plans within that Bureau. (Chapters 200-203)

Cognizant Technical Officer (CTO)
The individual who performs functions that are designated by the Contracting or Agreement Officer, or are specifically designated by policy or regulation as part of contract or assistance administration. In other parts of the U.S. Government, the synonymous term is usually Contracting Officer's Technical Representative (COTR). **(See "Activity Manager" and ADS Series 300)** (Chapters 200-203)

conditions precedent (CP)
A condition or set of conditions that must be met before USAID will agree to disburse funding (for example, if the host country laws require legislative approval of the Strategic Objective Agreement (SOAG), then USAID must receive evidence of that approval before funds disbursement). (Chapters 200-203)

core member
A member of a Strategic Objective (SO) Team carrying out a specific U.S. governmental function for that SO. (Chapters 200-203)

core team
Term no longer used. **(See "Core Member" and "Strategic Objective (SO) Team")**

covenant
A condition that must be met during the performance of the Strategic Objective Agreement (SOAG) (such as after disbursement of USAID funding). (Chapters 200-203)

critical assumption
A general condition under which the development hypothesis or strategy for achieving the objective will hold true. Critical assumptions are outside the control or influence of USAID and its partners (in other words, they are not results), but they reflect conditions likely to affect the achievement of results in the Results Framework, such as the level of world prices or the openness of export markets. (Chapters 200-203)

customer
The person or group who is receiving a service, or who is considered the recipient or beneficiary of a given result or output. There are several different types of USAID customers:

- *Ultimate customers:* Those host country individuals, especially the socially- and economically-disadvantaged, who are beneficiaries of USAID assistance and whose participation is essential to achieving sustainable development results.
- *Intermediate customers:* Those organizations, including host country governments, that receive USAID services to implement programs that are designed to benefit the ultimate customer. This includes private voluntary organizations (PVOs), contractors, and host country entities.
- *Internal/process customer:* Bureaus, Offices, Operating Units, and individuals within USAID that benefit from and participate in the activities undertaken by other Bureaus, Offices, Operating Units and individuals within the Agency.
- *Washington and U.S.-based customers:* U.S. Government entities, or individuals representing such an entity, at whose behest USAID carries out its programs and who have a stake in the program results that USAID produces. Examples include Congress, the Office of Management and Budget (OMB), and the Department of State. Congress represents U.S. taxpayers. (Chapters 200-203)

customer service plan
A planning document previously required for every individual Operating Unit. The plan is no longer required. This term is no longer used. (Chapters 200-203)

delegation of authority (DOA)
A document that officially recognizes when an official, vested with certain powers (authorities), extends that power (authority) to another individual or position within the chain of command. (Chapters 201-202)

deobligation
The process of removing unneeded funds from an obligating instrument. This step is typically done upon completion of activities when unliquidated obligations might have

become excessive or might no longer be needed for their original purpose. (Chapters 200-203)

development actors
USAID has recently expanded its concept of development actors to include the full range of organizations both public and private who seek to achieve improvements in society. These groups can include private sector companies, foundations, universities, philanthropic leaders, multilateral organizations, faith-based membership organizations, and ethnic diasporas sending money home to their country of origin. (Chapters 200-203)

Development Alliance
(See "Public-Private Alliance")

development hypothesis
A narrative description of the specific causal linkages between Intermediate Results (IRs) and a Strategic Objective (SO) that are expected to lead to the achievement of the SO. The hypothesis is based on sound development theory, knowledge, and experience within the context of a specific SO. Generally, the term refers to plausible linkages, and not statistically accurate relationships. (Chapters 200-203)

disbursement
Payments made by the Agency to other parties using cash, check, or electronic transfer. (Chapters 200-203)

due diligence
The technical term for the necessary assessment of the past performance, reputation, and future plans of a prospective alliance partner, private sector, or other entity, with regard to various business practices and principles. This assessment of a prospective alliance partner would normally involve, at a minimum, examining their social, environmental, and financial track records. (Chapter 200-203)

environmental impact statement
A detailed study of the reasonably foreseeable positive and negative environmental impacts of a proposed USAID action and its reasonable alternatives on the United States, the global environment, or areas outside the jurisdiction of any nation. (See **ADS 204** and mandatory reference, 22 CFR 216) (Chapters 200-203)

evaluation
A relatively structured, analytical effort undertaken selectively to answer specific management questions regarding USAID funded assistance programs or activities. (Chapters 200-203)

expanded team
Term no longer used. **(See "Strategic Objective (SO) Team")**

expenditures
The sum total of disbursements and accruals in a given time period. These are typically calculated for specific agreements, activities, and programs. Expenditures are estimates of the total cost incurred by the Agency for a given agreement, activity, or program. Also referred to as accrued expenditure. **(See ADS Series 600 for a more technical discussion of this term)** (Chapters 200-203)

framework goal
A higher-level development result to which a Strategic Objective (SO) contributes. Framework Goals are beyond the manageable interest of an Operating Unit either because of the timeframe necessary to achieve them or because they address very broad objectives. (Chapters 200-203)

gender
The economic, political, and cultural attributes and opportunities associated with being male or female. The social definitions of what it means to be male or female vary among cultures and change over time. (Chapters 200-203)

Global Development Alliance
The Agency's new business model promoting public-private alliances as a central element of USAID's strategic assessment, planning and programming efforts. This initiative involves recognition of a changed role for USAID in development assistance, outreach to an expanded range of potential partners, and organizational changes within the Agency. (Chapter 200-203)

host country
The country in which a USAID funded activity takes place. (Chapters 200-203)

implementation letters
Formal correspondence between USAID and another party following a formal agreement that obligates funding. Implementation letters serve several functions, including providing more detailed implementation procedures, providing details on terms of an agreement, recording the completion of conditions precedent to disbursements, and approving funding commitments and mutually agreed upon modifications to program descriptions. Formerly known as Project Implementation Letters (PIL). (Chapters 200-203)

indicator
(See "Performance Indicator")

Initial Environmental Examination
The first review of the reasonably foreseeable effects of a proposed action on the environment. Its function is to provide a brief statement of the factual basis for a

Threshold Decision as to whether an Environmental Assessment or an Environmental Impact Statement will be required. (See **ADS 204**) (Chapters 200-203)

input
A resource, such as technical assistance, commodities, training, or provision of USAID staff, either Operating Expenses (OE) or program funded, that is used to create an output. (Chapters 200-203)

instrument
A contract, grant, bilateral agreement, or other mechanism that obligates or sub-obligates program or Operating Expenses (OE) funds. (Chapters 200-203)

intermediate customer
(See "customer")

Intermediate Result (IR)
An important result that is seen as an essential step to achieving a Strategic Objective (SO). IRs are measurable results that may capture a number of discrete and more specific results. IRs may also help to achieve other IRs. (Chapters 200-203)

internal/process customer
(See "customer")

International Affairs Strategic Plan (IASP)
The IASP is an overarching framework for the international affairs goals of the executive branch of the Federal Government and is prepared by the Secretary of State. (Chapters 200-203)

leveraging
Significant resource mobilization. In the case of public-private alliances, USAID seeks the mobilization of resources of other actors on a 1:1 or greater basis. Resources may include funds, in-kind contributions, and intellectual property. (Chapters 200-203)

manageable interest
The concept of manageable interest recognizes that achievement of results requires joint action on the part of many other actors such as host country governments, institutions, other donors, civil society, and the private sector. When an objective is within USAID's manageable interest, it means that we have reason to believe that our ability to influence, organize, and support others around commonly shared goals can lead to the achievement of desired results, and that the probability of success is high enough to warrant expending program and staff resources. A result is within an entity's manageable interest when there is sufficient reason to believe that its achievement can be significantly and critically influenced by interventions of that entity. (Chapters 200-203)

Management Agreement
An agreement between an Operating Unit and its Bureau that provides approval to implement a proposed Strategic Plan. The Management Agreement provides a summary of agreements on a set of strategic and other objectives, confirmation of estimated resources over the Strategic Plan timeframe, SO start and end dates, and additional guidance on any special management concerns. Formerly called Management Contract. (Chapters 200-203)

Management Contract
Term no longer used. **(See "Management Agreement")**

Memorandum of Understanding (MOU)
A document that sets forth an agreement between parties. A Memorandum of Understanding may be used to cover a range of topics including results to be achieved, activities to be implemented, and the respective roles and responsibilities of each party. An MOU is not used for obligating funds. However, an MOU may be used to confirm an agreement with a host government on a program that USAID will fund directly through an obligating instrument signed with other parties. (Chapters 200-203)

mortgage
A claim on future resources, which has been authorized in the Operating Unit's Management Agreement; the difference between the total authorized level of funding and the cumulative total amount of funds obligated to a particular strategic objective, Intermediate Result, or activity. (Chapters 202, 602)

National Security Strategy (NSS)
The NSS is an overarching U.S. Government policy document which covers the national security principles underlying U.S. foreign policy. As published in September 2002, its main themes include promoting "human dignity" through political and economic freedom; providing security against terrorism and weapons of mass destruction; working with others to defuse regional conflicts; and strengthening America's national security institutions. Objectives of development assistance are central to the document, which was prepared by the National Security Council. (Chapters 200-203)

non-project assistance (NPA)
Non-project assistance is also known as program assistance. The distinguishing feature of program assistance is the manner in which USAID resources are provided. Under this mode, USAID provides a generalized resource transfer, in the form of foreign exchange or commodities, to the recipient government. This is in contrast to other types of assistance in which USAID finances specific inputs, such as technical assistance, training, equipment, vehicles, or capital construction. (This distinction parallels distinctions in law and previous USAID usage between project and non-project assistance.) (Chapters 200-203)

Operating Units
USAID field Missions, regional entities, and USAID/Washington Offices that expend program funds to achieve approved Strategic Objectives (including Special Objectives and Program Support Objectives). (Chapters 200-203)

Operating Expenses (OE)
Costs related to personnel, other administration costs, rental, and depreciation of fixed assets. (Chapters 200-203)

operations policy
Program procedures, rules, and regulations affecting the management of USAID internal systems, including budget, financial management, personnel, procurement, and program operations. (Chapters 200-203)

outcome
A result sought by USAID. In ADS Chapters 200-203, the term "outcome" is equivalent to "result." (See "result") (Chapters 200-203)

output
A tangible, immediate, and intended product or consequence of an activity within USAID's control. Examples of outputs include people fed, personnel trained, better technologies developed, and new construction. Deliverables included in contracts will generally be considered outputs, as will tangible products and consequences of USAID grantees. (Chapters 200-203)

parameter setting
(see planning parameters)

partner
An organization or individual with which/whom the Agency collaborates to achieve mutually agreed upon objectives and to secure participation of ultimate customers. Partners include host country governments, private voluntary organizations, indigenous and international non-governmental organizations (NGOs), universities, other U.S. Government agencies, United Nations and other multilateral organizations, professional and business associations, and private businesses and individuals. (Chapters 200-203)

performance baseline
The value of a performance indicator before the implementation of USAID-supported activities that contribute to the achievement of the relevant result. (Chapter 200-203)

performance indicator
A particular characteristic or dimension used to measure intended changes defined by a Results Framework. Performance indicators are used to observe progress and to measure actual results compared to expected results. Performance indicators help answer how or if an Operating Unit or SO Team is progressing towards its objective,

rather than why such progress is or is not being made. Performance indicators may measure performance at any level of a Results Framework (Strategic Objective level or Intermediate Results level). (Chapters 200-203)

performance management
Performance management is the systematic process of monitoring the results of activities; collecting and analyzing performance information to track progress toward planned results; using performance information to influence program decision making and resource allocation; and communicating results achieved, or not attained, to advance organizational learning and tell the Agency's story. (Chapters 200-203)

Performance Management Plan
A tool used by an Operating Unit and SO Team to plan and manage the process of assessing and reporting progress towards achieving a Strategic Objective. Known as a "performance monitoring plan" until 2002. (Chapters 201-203)

Performance Monitoring Plan
(see Performance Management Plan)

performance target
Specific, planned level of result to be achieved within an explicit timeframe. (Chapters 200-203)

Pillars
USAID's four Pillars are its new strategic orientation encompassing all USAID-managed programs regardless of account. The Pillars are the Global Development Alliance; Economic Growth, Agriculture and Trade; Global Health; and Democracy, Conflict, and Humanitarian Assistance.

Pillar Bureaus
Pillar Bureaus provide leadership and innovation in their respective fields. The three Pillar Bureaus are Economic Growth, Agriculture and Trade (EGAT); Democracy, Conflict, and Humanitarian Assistance (DCHA); and Global Health (GH). The activities funded by the Pillar Bureaus are primarily intended to maximize program dollars available to Operating Units in the field. Pillar Bureaus concentrate on program activities that support Operating Units in the field. (Chapters 200-203)

planning parameters
The limits, constraints, and options within which decision-making and planning takes place, especially for the development of Strategic Plans. (Chapters 200-203)

Portfolio Review
A periodic review of all aspects of an Operating Unit or Strategic Objective (SO) Team's programs, often held in preparation for submission of the Annual Report. (Chapter 200-203)

program assistance
Program assistance is also known as Non-project Assistance. The distinguishing feature of program assistance is the manner in which USAID resources are provided. Under this mode, USAID provides a generalized resource transfer, in the form of foreign exchange or commodities, to the recipient government. This is in contrast to other types of assistance in which USAID finances specific inputs, such as technical assistance, training, equipment, vehicles, or capital construction. (This distinction parallels distinctions in law and previous USAID usage between project and non-project assistance.) (Chapters 200-203)

Program Assistance Approval Document (PAAD)
An internal USAID document used before 1994 approving non-project assistance. Term no longer used. (Chapters 200-203)

Program Assistance Initial Proposal (PAIP)
An internal USAID document used before 1994 to initiate and identify proposed non-project assistance, including commodity import programs. It was analogous to the former Project Identification Document (PID). Term no longer used. (Chapters 200-203)

Program Development & Learning (PD&L) Objectives
PD&L objectives are used by Bureaus to finance program development, program assessments, and learning efforts that do not fit within the scope of existing Strategic Objectives (SOs). They are intended to fund studies, analyses, pilots, pre-implementation, and evaluative work for developing future SOs, for assessing completed SOs, or for disseminating lessons learned. (Chapters 200-203)

Program Support Objective (PSO)
A Program Support Objective contains activities being implemented exclusively to support achievement of other Strategic or Special Objectives in one or multiple Operating Units. The results of the activities under a PSO should be visible through and attributed to another Strategic or Special Objective. (Chapters 200-203)

project
A project should be considered one of several possible types of activities that contribute to a given result or set of results. It is a structured undertaking (often involving considerable money, personnel and equipment) of limited duration that is developed through various administrative, analytical, and approval processes in order to achieve a tangible objective (such as school construction project, adult literacy project). Note: The current term is defined differently than before 1995. (Chapters 200-203)

Project Identification Document (PID)
An internal USAID document used before 1995 that initially identifies and describes a proposed project. Term no longer used. (Chapters 200-203)

Project Paper (PP)
An internal USAID document used before 1995 that provides a description and appraisal of a project and the plan for implementation. The project paper was used to obtain formal approval. Term no longer used. (Chapters 200-203)

public-private alliance (PPA)
An agreement between two or more parties involving joint definition of a development problem and shared contributions to its solution. Alliances are characterized by a shared understanding of the development problem or issue; a shared belief that an alliance will be more effective than any approach taken by a single actor; a shared commitment of resources; significant use of limited resources; and perhaps most important, a willingness to share risks. (Chapters 200-203)

result
A significant, intended, and measurable change in the condition of a customer, or a change in the host country, institutions, or other entities that will affect the customer directly or indirectly. Results are typically broader than USAID-funded outputs and require support from other donors and partners not within USAID's control. (Chapters 200-203)

Results Framework
A planning, communications, and management tool, which conveys the development hypothesis implicit in the strategy and the cause-and-effect linkages between the Intermediate Results (IR) and the Strategic Objective (SO). A Results Framework includes the SO and the IRs necessary to achieve the SO, whether funded by USAID or its partners. It includes any critical assumptions that must hold for the development hypothesis to lead to achieving the relevant objective. Typically, it is laid out in graphic form supplemented by narrative. (Chapters 200-203)

results package
A results package is a shorthand designation for items that contribute to achieving a particular result. Some Operating Units have used the term as a name for documentation used to obtain approval for a set of activities and to define SO sub-teams that concentrate on a particular new set of activities. The term is no longer "officially" used. Documentation to approve activities is called Activity Approval Documentation. (Chapters 200-203)

Special Objective (SpO)
A Special Objective (SpO) is an objective that is difficult to define and measure or is not directly linked to a goal in the Agency Strategic Plan. Special Objectives are expected to be small in scope, relative to the total portfolio of any Bureau. Special Objectives should meet at least one of the following criteria:

- Represents a response to a legislated earmark or special foreign policy interest beyond what is described in the Agency Strategic Plan or that does not contribute directly to an Operating Unit's Strategic Objectives.

- Is exploratory or experimental in nature, such as development of a new program area.
- Is research and contributes to the achievement of an Agency goal.
- Responds to an emergency or short-term post-crisis stabilization effort, such as when an interim Strategic Plan is indicated. (Chapters 200-203)

stakeholders
Those who are affected by a development outcome or have an interest in a development outcome. Stakeholders include customers (including internal, intermediate, and ultimate customers) but can include more broadly all those who might be affected adversely, or indirectly, by a USAID activity who might not be identified as a "customer." (Chapters 200-203)

strategic budgeting
USAID's programming policy, which closely links resource allocation with strategic priorities and performance. It is a core element of results-based management. (Chapters 200-203)

Strategic Objective (SO)
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. SOs can be designed for an Operating Unit to provide analytic, technical, logistical, or other types of support to the SOs of other Operating Units (whether bilateral, multi-country, or global in nature). (Chapters 200-203)

Strategic Objective Agreement (SOAG)
A formal agreement that obligates funds between USAID and the host government or other parties, such as, in certain cases, regional organizations created by governments. It sets forth a mutually agreed upon understanding of the timeframe, results expected to be achieved, means of measuring those results, resources, responsibilities, and contributions of participating entities for achieving a clearly defined Strategic Objective. (Chapters 200-203)

Strategic Objective (SO) Team
A group of people with complementary skills who are empowered to achieve a specific USAID development objective for which they are willing to be held accountable. The primary responsibility of SO Teams is to make decisions and implement activities related to accomplishing the objective. Another essential function is to ensure open communication and collaboration across organizational boundaries at all phases of the development process. SO Teams may decide to organize sub-teams if they wish to manage complex SOs more efficiently. SO Teams are composed of USAID employees and those partners and customers considered to be essential for achieving the SO. (Chapters 200-203)

strategic plan
A document used to describe and obtain approval for one or more Strategic Objectives

or Special Objectives to be implemented by an Operating Unit. Approved Operating Unit Strategic Plans represent an Agency-wide commitment to a set of objectives and Intermediate Results (IRs) to be accomplished by an Operating Unit. (Chapters 200-203)

strategic plan timeframe
The time period in which USAID plans to make funds available for a given set of Strategic, Special, or Program Support Objectives. The strategic plan sets the overall vision and strategic directions for this timeframe. (Chapters 200-203)

Strategic Support Objective (SSO)
Term no longer used. **(See "Strategic Objective (SO)")**

target
(See "performance target")

ultimate customer
(See "customer")

Washington customer
(See "customer")

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[1] Figure 200A, Managing for Results – This figure illustrates the links between "planning," "achieving," and "assessing/learning" as a continuous, dynamic cycle. The figure depicts the "achieving" stage as the centerpiece of this cycle, with "planning" and "assessing/learning" as two stages that serve to bolster the "achieving" stage. The overall USAID management system depicted also includes defining a mission/vision within the Agency core values, and taking management initiatives into consideration.

In the "planning" stage, Strategic Plans and Activity Plans are developed, and performance targets are set. In the figure, all these activities then feed into the "achieving" stage.

During the "assessing/learning" stage, communication and decision-making activities are undertaken, and actual performance outcomes are measured. In the figure, results from this stage then lead to potential new management initiatives and potential changes to the mission/vision of the Agency, and eventually flow back into the "planning" stage.