USAID
FROM THE AMERICAN PEOPLE

USAID Enterprise Architecture
Agency Conceptual Level Overview

Volume I: Management Discussion







March 4, 2005

Version History

Version	Publication Date	Description of Change	Author
1.0	March 4, 2005		SM, JT, FRM, ES, LW, LR, JS, OY, SS
1.1	March 4, 2005	Electronic Version	SM, JT, FRM, ES, LW, LR, JS, OY, SS

Table of Contents

List of Figures

List of Tables

Executive Summary

The United States advances its national interests and values overseas by employing three primary tools: defense, diplomacy, and development assistance. As noted in the United States National Security Strategy, ***"Including all of the world's poor in an expanding circle of development—and opportunity—is a moral imperative and one of the top priorities of U.S. international policy."***

The United States Agency for International Development (USAID) is the lead U.S. Government agency that provides foreign assistance and humanitarian relief on behalf of the American people. Headquartered in Washington, DC, USAID implements programs in economic growth and agriculture, health, education, democracy and governance, environment, and humanitarian relief through over 80 field missions and regional offices in Africa, Asia/Near East, Latin America and the Caribbean, and the former Soviet countries of Europe and Eurasia.

To support these programs worldwide and strengthen the Agency's ability to manage and account for taxpayers' funds, USAID has launched a major Business Systems Modernization (BSM) effort. Recent highlights of the effort include significant improvements in USAID's accounting systems – resulting in two years of unqualified audit opinions – as well as acceleration in civil service recruitment, improvements in acquisition and assistance (A&A) management, and advancing its joint investment planning with the Department of State. At the same time, USAID has intensified its workforce development efforts under the new Human Capital Strategy, training hundreds of staff worldwide to improve policy compliance, performance management, and ensure appropriate oversight of A&A processes and awards. In addition, under the joint Department of State-USAID Strategic Plan, USAID has developed a White Paper on foreign assistance priorities and country typologies. Further, the Agency's recent Business Model Review process made recommendations for improved strategic planning procedures, management oversight, operations management, and regional platforms that are beginning to be implemented. Amid these improvements there is intense White House pressure to increase USAID's performance in the priority areas identified in the Presidential Management Agenda (PMA). Increasing globalization and security concerns at home and abroad are forcing programs to design and implement their portfolio of activities with requirements USAID has never had to plan for before.

As is illustrated below, all of these initiatives are occurring in the context of a more collaborative relationship with the Department of State (DoS), including increasing co-location in the field and Joint Management and Policy Councils at Headquarters, and a series of joint DoS\USAID investment initiatives, such as Joint Enterprise Architecture (JEA), Joint Financial Management System (JFMS), and Joint Acquisition and Assistance Management System (JAAMS).

Managing the Agency and joint initiatives, programs and priorities is a dauntingly complex task. USAID is using its Enterprise Architecture (EA) to help:

- **Establish a baseline** for development of the Joint Enterprise Architecture, other joint initiatives, and any Agency specific initiatives
- **Organize and align** Agency specific initiatives and resources around fulfilling Joint and USAID strategic goals

Enterprise Architecture (EA) is a results-driven management framework and "blueprint" of the Agency's business model and its components – strategy, people, information, processes and technology. Through using the Office of Management and Budget's (OMB) Federal Enterprise Architecture (FEA) reference models, EA provides a standard language and repeatable approach for different business units within and outside of USAID to talk with each other, examine how these business units relate to each other, and forge consensus on areas of needed investment.

Developing the USAID Enterprise Architecture entails several steps, each of which employs a disciplined analysis that leads to potential investment or transformation opportunities. These steps are: 1) analyze the Agency's environment and strategic drivers; 2) develop a capability model to examine USAID's operations, the Business Capability Map; 3) identify candidate functional groupings of capabilities, each focusing on addressing key business results; 4) map USAID's Business Capability Map to the FEA reference models; 5) Identify gaps between USAID's current and potential business model; 6) develop recommendations that address the opportunities for improvement reflected in the gaps; and 7) communicate the recommendations throughout to start the change process. This iteration of the EA remains at the conceptual level, to establish a basic framework for the Agency, which can be used in the future to drill down in areas of importance to the Agency's leadership.

This EA entailed a rigorous and repeatable analytic process that generated findings, conclusions, and recommendations as summarized below. Central to the analysis was the finding that USAID delivers value at three broad levels: the corporate, Agency level; the Program Management level; and the Activity Management level. A variety of resources and investments (from training to policy development to Information Technology (IT) systems) support these three operational levels in both USAID headquarters and field missions. Indeed, in some of the most difficult operating environments experienced by any USG agency, USAID's ability to manage individual development activities is superb, the systems that support these activities are mature, and Automated Directives System (ADS) policies are well formulated to provide clear operating guidance. In contrast, it is at the corporate Agency and program management levels where systems and policies are less well defined; where information is more difficult to aggregate, interpret and utilize; and thus, where the Agency's ability to operate consistently and effectively is reduced.

Ultimately, USAID must be able to match its technical and managerial leadership on the ground with higher levels of operational management, must improve its capacity to coordinate across its entire portfolio of development "offerings," and must be able to demonstrate the results of this entire portfolio within the USG in order to maintain and strengthen its position as the USG development organization of choice. If USAID can clearly demonstrate effective business management at all three levels, it can maintain its role as the USG's development leader. If not, USAID will continue to see this historic position challenged as more organizations move into the development space, ultimately leading to USAID's being one among many programming channels, rather than the coordinator of all these United States Government (USG) channels. The conclusions, recommendations, and proposed initiatives below are intended to help build and sustain that historic leadership.

Though the EA analysis it quickly became apparent that there are any number of areas USAID could invest. Without strict and disciplined focus it could easily perpetuate a never ending cycle of patching short term fixes to shore immediate infrastructure and operational needs, rather making a coordinated effort to making investment decisions that support specific business needs. In a sense the Agency is

caught in this cycle now, and one of the unfortunate byproducts of this situation is that the Agency's infrastructure is aging to the point of degradation and in some cases failure. With further analysis it became apparent that transformational efforts and investments in certain key areas would have the highest impact for USAID.

Procurement

USAID has evolved into a "procurement organization" and as such, needs to better align its operational model, financial resources, and staffing to reflect this core function. USAID provides funding through acquisition and assistance (A&A) instruments to hundreds of implementing partners, including U.S. and local nonprofit organizations, cooperatives, private sector firms, and institutions of higher education. A&A is the service area in which the Agency's strategic foci, technical programs and business transactions converge. A&A must be planned for significantly sooner in the program development process, and must eventually take on a central role in Agency planning.

Performance Based Budgeting

Budget and Performance Integration is one of six priorities outlined in the Presidential Management Agenda (PMA) and compels all USG agencies to develop budgets focused on results, rather than inputs and outputs. Performance-based budgeting links the budget process with strategic planning and performance management data – from approved program objectives and rigorous metrics to documented results linked to budget allocations. Performance-based budgeting is critical not only for PMA compliance and good management, but also to help demonstrate USAID's foreign assistance leadership within the U.S. Government. Notwithstanding its importance, however, performance –based budgeting at USAID relies on informal and ad hoc systems and should be supported by investments in new infrastructure (systems, processes, trained people, information structure and repositories) within the Agency.

Business Decision and Technical Decision Support

USAID managers, and many of the line staff who report to them, require more comprehensive information and decision support regarding the Agency's ongoing business. This includes their need for timely, integrated financial and procurement

data; improved technical decision support through easier access to "knowledge for development"; and executive information systems related to Agency programs and operations. USAID decision-makers depend upon information that currently resides in multiple, poorly integrated systems and that is difficult to aggregate up from the activity level, to the program level, to the Agency level. This lack of integration, combined with an historic reliance on tacit information and data storage in informal and semi-formal systems (e.g., individual files and email), slows decision-making and reporting. Given the demographics of the USAID workforce, moreover, these informal systems represent a significant vulnerability as experienced staff retire. In order to reduce redundancy and unnecessary costs and to establish data, information and reporting standards, the Agency needs to develop and use more formal single or integrated systems whenever possible.

Global Outreach

USAID must expand its ability to tell its story in compelling and comprehensible terms to diverse audiences at home and abroad. USAID is under intense political scrutiny, yet its key stakeholders and publics in the United States and overseas have a poor understanding of the Agency's mission and many successes. To ensure its continued existence, USAID needs to improve its outreach to key stakeholders, including its overseers (the Office of Management and Budget [OMB], Congress, and the Administration), key policy makers at other USG agencies, U.S. and host country media, targeted audiences within the US public (business, academia, USAID implementers and supporters), fellow donors, and other governments and in-country stakeholders. Recently USAID has started making significant strides expanding its Public Outreach efforts through the Bureau for Legislative and Public Affairs (LPA). LPA has begun to set up standards for Development Outreach and Communications Officers (DOCs) throughout the Agency, begun Public Outreach training programs, and a USAID communication program. This is an excellent effort that should be supported and expanded.

Systems Integration

USAID headquarters and mission Operating Units utilize disparate systems and IT platforms and, as the development wholesaler described above, support hundreds of implementing partners through acquisition and assistance awards. Agency staff and implementing partners need to be able to access information and services globally in a standard manner. However, Agency staff that move to different Operating Units must learn to use different software and systems, and implementing partners are unable to submit periodic reports on line. Instead, vast quantities of implementer performance and financial data at the activity level must be manually entered into disparate systems for aggregation up to the Program and Agency level. As a global procurement organization, USAID can achieve huge efficiencies and reduce its management and reporting burden through development of an Extranet. While being mindful of telecommunications security and training needs associated with such a system, USAID should provide systems that can be supported globally so that partner financial and performance data, and Operating Unit budgeting, financial, A&A, and results data can be unified, integrated and aggregated for both program management and reporting purposes.

1. Background

"The United States has a long history of extending a helping hand to those people overseas struggling to make a better life, recover from a disaster or striving to live in a free and democratic country. It is this caring that stands as a hallmark of the United States around the world -- and shows the world our true character as a nation."

Andrew Natsios May 8, 2001

The United States Agency for International Development (USAID) is the primary U.S. Government Agency charged with implementing our nation's foreign assistance and humanitarian relief programs around the world. Since its inception in 1961, the Agency has improved the lives of millions of people in developing and transition countries while advancing the national interests and values of the United States. USAID plays an essential role in promoting our nation's foreign policy objectives of peace, prosperity and stability by supporting the people of developing countries in their efforts to achieve enduring economic and social progress.

Numerous internal and external drivers affect USAID's global footprint and operating model. These include most prominently U.S. foreign policy priorities and changing development and humanitarian relief challenges worldwide. While the end of the Cold War, widespread donor agreement on development priorities, and increasing globalization have presented new opportunities, the rise of terrorism and pandemics such as HIV/AIDS threaten development progress and U.S. security. USAID staff and systems have needed to adjust to these opportunities and challenges, requiring new skill sets, policies, procedures, and technologies. At the same time, the Agency now works with an increasing number of development collaborators and "competitors" within and outside the U.S. Government.

In contrast to its early years, when USAID staff performed most of the Agency's development work themselves, the Agency no longer acts as a "retailer" of development and disaster relief services. Rather, USAID has evolved into a "wholesaler" responsible for conceptualizing and funding a highly complex program portfolio that other organizations help implement. In fact, USAID now coordinates and supports hundreds of implementing partners, including U.S. and local nonprofit organizations, cooperatives, private sector firms, and institutions of higher education, as well as numerous USG agencies and other bilateral and multilateral donors. The Agency now performs more policy and transactional tasks, rather than direct implementation of development activities. USAID retains key functions in strategy development, donor coordination, program planning, and technical oversight, and essential management of policy dialogue and institutional development efforts with counterpart government ministries.

USAID's ability to perform these policy, strategic, coordination, technical oversight and transactional roles as the lead USG foreign assistance agency is essential given the importance assigned to foreign assistance by the President's National Security Strategy (NSS). In elevating development with defense and diplomacy as one of our nation's central foreign policy tools, the NSS raised the stakes for USAID's business transformation. Today, USAID can no longer rely on development and relief expertise alone; in this environment the Agency must also exhibit management and operational excellence – as well as increased efficiencies – across its entire value chain: from strategic planning and performance management through acquisition and assistance and program delivery. In order to fulfill its role as the USG development leader, USAID must be able to analyze the broad development and relief program environment, manage its own resources in effective programs, assess and deploy partner capabilities in international development, and coordinate with the greater USG and international donor community. And, to help a skeptical Congress and poorly informed publics both here and overseas understand the impact of USAID programs, the Agency must do a much better job of demonstrating relevance and results.

USAID's Business Systems Modernization initiative is a transformational process focused on improving the extent to which USAID's systems support the achievement of these goals. As an important step, USAID has undertaken the development of an Enterprise Architecture (EA) to better align its resources to the achievement of its core business.

2. Approach

USAID is using Enterprise Architecture (EA) to examine and align the Agency's resources in support of fulfilling its strategic goals in the most cost efficient and effective means possible. EA provides a structured a way of looking at the Agency's challenges and needs from a people, process, strategy, data, technology perspective and then developing comprehensive suggestions and recommendations to help the Agency grow into its future operating vision. The examination of the Agency's operation and components, herein in referred to as the Agency's business model, enables improved USAID management decision-making in a number of important ways. Enterprise architecture:

- Establishes a starting point for people in the Agency to define USAID's business model – together;
- Provides, within a single framework, a standard language for different business units within and outside of USAID to talk with each other and examine how these business units relate to each other;
- Provides a disciplined, repeatable approach that can be applied by different groups of people to analyze the business; and
- Forges consensus on areas of needed investment.

Enterprise Architecture establishes a well-defined construct linking an organization's strategy, business processes, and technology. Thus, the purpose of the USAID Enterprise Architecture (EA) is to link the Agency's strategic direction to its business model, supporting operations, and investments in a results-driven framework. This framework helps to strategically inform the Agency's decision-making process (e.g. the Capital Planning and Investment Control process) in a standard, repeatable manner and to identify and document gaps and misalignments in Agency investments and resource allocations.

2.1 Project Scope

This iteration of the USAID EA effort paints a broad, conceptual picture of USAID's business model and the capabilities needed to deliver foreign assistance. It does this through developing a functionally based model, the Business Capability Map (BCM), which is then used to examine the Agency's operations. The purpose of this iteration of the EA has been to establish a baseline for further development, and identify a limited number of high priority areas for further examination. This iteration of the EA remains at the conceptual level, in order to establish the end to end structure. Further architectural development is needed to do detailed process, data, organizational and technical design.

2.2 The USAID EA Methodology

USAID's Enterprise Architecture methodology links the Agency's strategic drivers, goals, and stakeholder requirements to specific components of its business model, in order to align USAID's resources to its mission. This EA methodology entails seven steps, each of which employs a disciplined analysis that leads to potential investment or transformation opportunities the Agency can pursue to enhance its operational potential. The seven steps are as follows:

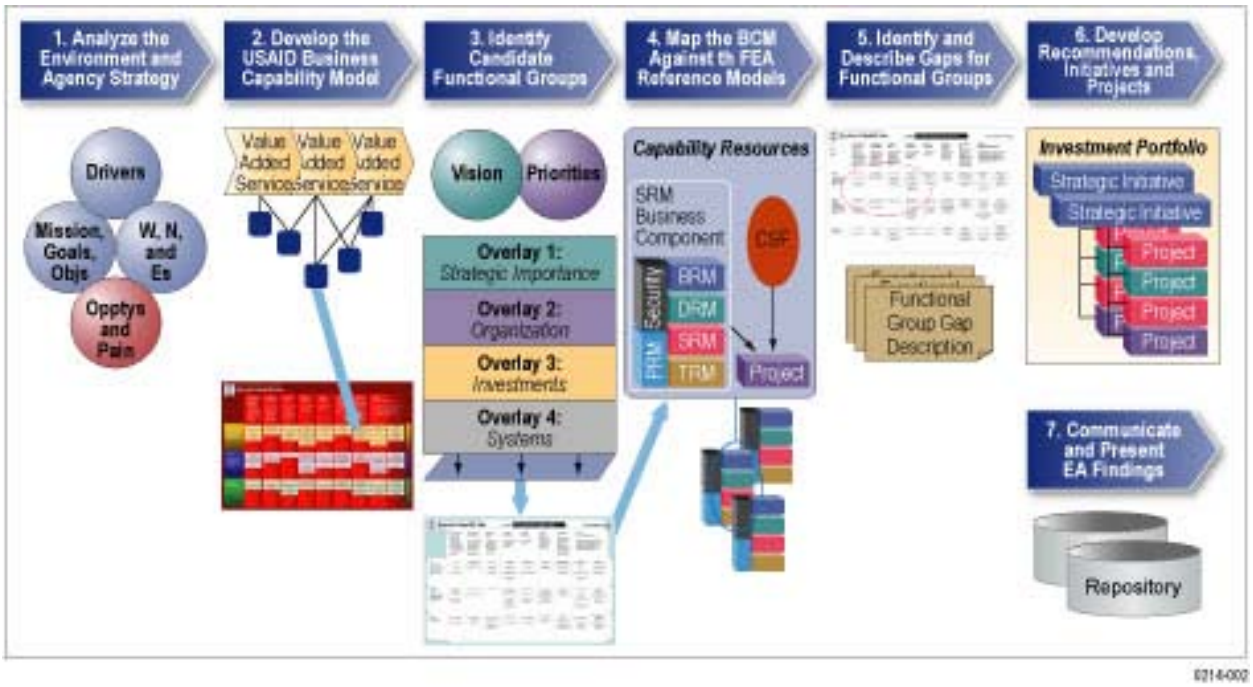


Figure 1: Enterprise Architecture Methodology

1. Analyze the environment and Agency strategic drivers

This process included examination of the Agency's Automated Directives System (ADS), Joint Strategy 2005 – 2009, Knowledge for Development strategy, International Business Model Review, The HIV/AIDS Segment EA, the Administrator's communiqués, and interviews with personnel from across the Agency (such as PPC, FM, IRM, AFR, GH, various missions, etc.). The resulting data falls into four primary categories: external drivers, internal drivers, stakeholder requirements, and the Agency's strategic goals. This data was consolidated, organized and analyzed to determine those business issues most pressing to the Agency, as described in greater detail in Section 3.

2. Develop the USAID Business Capability Map (BCM)

This analysis led to the depiction of the Agency's operating model, which identifies eight basic services in which USAID must excel to address its internal and external drivers, stakeholder requirements, and achieve its strategic goals. The model then illustrates the discrete Agency level business capabilities required to produce those services. The resulting model provides a map of the Agency's operational functions, which can be used to examine supporting systems, processes, organizational make up, knowledge and information flow, and overall success measurement. Once the basic model was developed, USAID operations and program leadership reviewed and refined it so that they could "see themselves and their areas of responsibility within it." Section 4 discusses the Business Capability Map. It is important to understand that the BCM is a functionally based model, not an organizationally based one. This facilitates the examination of what resources are needed to support USAID's goals rather what organizations.

3. Identify candidate functional groupings, each focusing on key business results

Review of USAID's business capability model through an operational lens also helped to clarify the specific business results (e.g. procurement, business decision support, knowledge management, public relations, etc.) that USAID must attain in order to successfully deliver value to its stakeholders. This analysis, combined with interviews and research on USAID's "pain points" indicated similarities and patterns among pressing business issues facing the Agency. Analysis and grouping of the preponderant business by category led to the identification of five functional groups that are business priorities for USAID. A detailed discussion of these five functional groups builds on the discussion of the BCM in Section 4.

4. Map the BCM against Federal Enterprise Architecture (FEA) reference models

Section 5 maps the USAID BCM against the FEA Business Reference Model (BRM), Performance Reference Model (PRM), Service Reference Model (SRM), and Technical Reference Model (TRM) at a conceptual level. This provides a frame of reference and standardization with other USG entities. The PRM mapping was also used to focus and expand the development of specific performance criteria and success factors in order to align the Agency's planned investments, supporting systems, and organizational design.

5. Identify and describe "Heat Zones" or gaps within each functional grouping

To determine if USAID resources are well aligned to support successful business results in each functional group, overlays identifying individual resource components (e.g., systems, processes, and current investments) were developed. Analysis of these overlays and FEA reference models pointed to gaps in resource alignment, for example in the case of Executive Information System (EIS), where current investments do not fully support managerial decision making. Section 6 discusses these gap findings, which serve as the basis for the development of the recommendations.

6. Develop recommendations that address the opportunities for improvement

The next step is to develop recommendations that address specific gaps and misalignments between the Agency's current resource usage and the needs documented in the business model. These recommendations are used to develop a set of initiatives and projects that address the gaps and build needed capabilities as discussed in Section 7.

7. Communicate and present EA finding and recommendation to decision makers

The final step in the methodology was to prepare the findings and recommendations of the analysis in a manner that is understandable to Agency stakeholders, including business and technical decision managers. The Agency will communicate the findings, recommendations, and initiatives to its stakeholders through management briefings and the use of a central EA repository. The repository is an interactive tool that allows management officials to search and identify transformation and investment information that is relevant to them.

2.3 Key Terms

The following terms recur throughout this document and the EA analysis as a whole. Appendix 16 provides a more extensive list of key terms.

- **Business Model**. The infrastructure and resources required for USAID to successfully carry out its mission and meet its strategic and operational goals.
- **Business Capability Map (BCM)**. A functional depiction of the Agency comprised of the primary services USAID provides and the business capabilities that enable those services. It is not, nor is it meant to be, an organizational representation of the Agency.
- **Value Added Service**. One of the primary services USAID provides in order to fulfill its overall mission of development and humanitarian assistance (e.g., Program Design, and Knowledge for Development).
- **Capability**. A measurable business function that enables USAID to provide one or more of its value added services (e.g., Contextual Analysis, or Knowledge Lifecycle Management). Each capability is comprised of definable processes, technologies, skills, and information required to successfully enable that capability.
- **Management Level**. The Business Capability Map is divided into three levels of management capabilities (i.e., those most associated with planning, management control, and execution of Agency services).
- **Functional Group**. A group of functions that produces specific business results in support of USAID's overall business model (e.g., Performance Budgeting). Each Functional Group is a subset of capabilities found within the Business Capability Map.
- **Overlay**. A graphical depiction of specific analysis points within the Business Capability Map or a Functional Group within it. For example, there are overlays that illustrate the Agency's current investments, and another that illustrates its current systems, each mapped against the overall Business Capability Map.

2.4 Document Scope

This document presents the management discussion of this iteration of USAID's EA. This iteration of the EA was at the conceptual level so the majority of the discussion is at a high level, in business terms. It discusses USAID's operating environment, presents a model that then is used to examine the Agency's business model and how it can most efficiently and effectively marshal its resources to support that model. It describes a number of analytical methods to, including the Office of Management and Budget's (OMB) Federal Enterprise Architecture (FEA), perform that analysis. Finally, it presents a series of detailed recommendations followed by suggested initiatives and projects to implement those recommendations.

Though there is a fair amount of technical discussion throughout, this is not a technical document. This document takes the perspective of what resources are needed to support USAID's business goals. This should be used to guide a deeper investigation of the technical resources required to support the business oriented requirements presented here.

This is a guide to help correlate where they are in the document to what part of the analysis they are covering. The analysis starts out with the foundational environmental analysis, and ends up with the projects and initiatives.

2.5 Assumptions

This document presents information and conclusions that are based upon analysis of interviews with USAID subject matter experts and a review of Agency documents. The conclusions assume that all relevant information was provided, and that USAID's business environment and goals have remained constant during the analysis. The following additional assumptions underlay the analysis and preparation of this document.

- This effort is an initial iteration of the Agency level EA and does not cover the entire Agency in detail. Rather, it describes the Agency at a conceptual level and provides more detail in specific functional groups.
- This iteration of the EA establishes a baseline to be used in future EA efforts to explore specific areas of the Agency in more detail.
- Existing work (such as the HIV/AIDS Segment EA, Knowledge for Development Strategy, Business Model Review, ADS, and the Joint Information Security and Telecommunication Segmented EA, etc.) contributed to development of the initial model and analysis of the Agency. This material accurately reflects the strategic direction of the Agency.
- The Agency has planned or currently has in progress numerous transformation efforts. Many of these are not managed centrally or were not known at the time of this analysis. Some of the recommendations may need further consideration once these other efforts are fully understood.
- USAID's mission guides the Agency's strategic direction and corresponding operations, but it evolves over time. If the Agency's mission is not revisited, clarified and solidified by senior management as it evolves, strategic direction and operations downstream will fragment. Currently, the USAID Mission is incorporated in the Joint Department of State-USAID Strategic Plan. If the USAID Strategic Management Guidance or other documents under development generate a new, USAID-specific Mission statement, this EA will need to be cross-walked and updated for alignment with the new articulated Mission.
- An Enterprise Architecture is a living tool. This effort attempts to depict a representation of the Agency and its direction in December 2004. The EA will need refinement based on continued understanding of, and changes to, the Agency's operating direction. Without active use and updates, the Enterprise Architecture can become stale and out of alignment with the Agency's goals.
- Most of the level of effort to generate the USAID EA was expended on understanding and generating the Agency's business context. Thus, this high level conceptual overview does not provide the level of detail required for fully aligned project plans.

3. Environmental Analysis – USAID's Operating Landscape

An agency as complex and geographically dispersed as USAID has multiple strategic drivers, all of which affect the organization's business model. The environmental analysis presented in this section examines the four primary factors that influence the Agency's operating landscape; a more detailed discussion of the data and analytic methodology is found in Appendix 1. The four primary factors are:

- External forces
- Stakeholders and their requirements
- Agency mission and strategic direction
- Internal operating environment

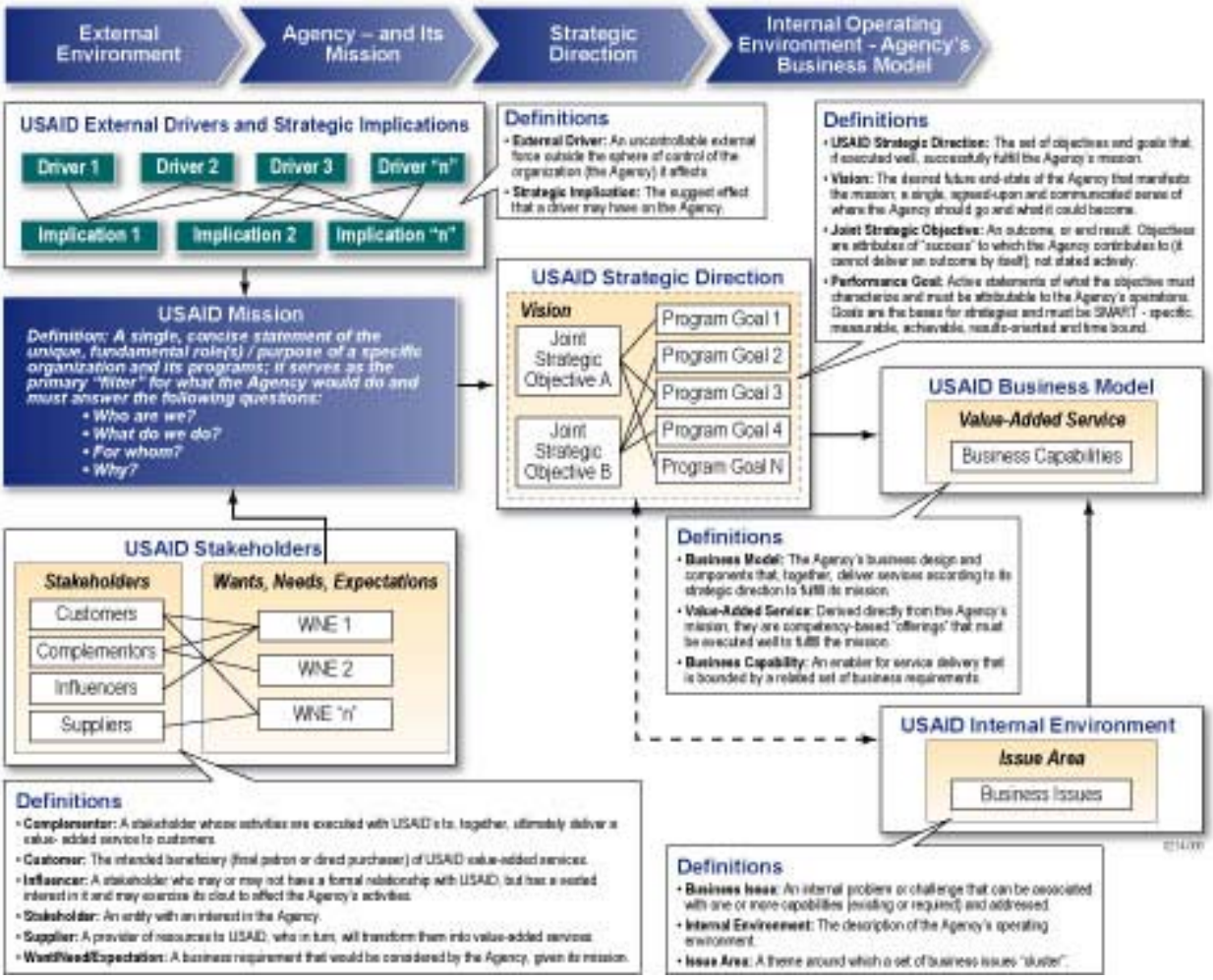


Figure 2: Environmental & Strategic Analysis

3.1 The External Forces Driving USAID

There are five key external drivers affecting USAID. These factors are largely out of USAID's control, yet Agency leadership must consider them in making decisions about specific programs as well as decisions affecting the Agency as a whole. The table below summarizes these factors, which include both political and programmatic drivers. These drivers affect USAID worldwide, requiring the Agency to be able to respond consistently across programs and geographic regions.

There are five key external drivers affecting USAID. These factors are largely out of USAID's control, yet Agency leadership must consider them in making decisions about specific programs as well as decisions affecting the Agency as a whole. The table below summarizes these factors, which include both political and programmatic drivers. These drivers affect USAID worldwide, requiring the Agency to be able to respond consistently across programs and geographic regions. This, in turn, will require USAID to improve its ability to coordinate operations centrally, while maintaining its ability to respond appropriately to emerging situations in the field. The table below illustrates key external forces affecting the Agency, and their implications. A detailed list of these external forces is found in Appendix 2.

Table 1: External Forces Driving USAID

EXTERNAL DRIVERS	IMPACT IS ON…	STRATEGIC IMPLICATONS
Constituent expectations and public focus on accountability ♦ Presidential, legislative and regulatory mandates, e.g., PMA, GPRA, etc. ♦ Depletion of experienced, well-trained knowledge workforce; 60% of the USG knowledge workforce is eligible to retire in 5 years, and USAID is a part of that trend	Clarity on mission, goals and operational capabilities	USAID must be focused on achieving results and demonstrating its relevance over the long term
Global integration ♦ Unprecedented flow of ideas, people, goods and services across the world ♦ Increased incidence of transnational issues – disease (HIV/AIDS, SARS), conflict, economic crises – threaten gains in development ♦ Increasing need to depend on a more coordinated response with a broader set of resources because of the unpredictability of response requirements	Business operating model	Be responsive to global conditions by being able to continue to accelerate integration of Agency wide planning and operations
Rapid technological change ♦ Technology increasingly available and sophisticated, requiring a steadily increasing level of user competency ♦ Maturity of infrastructure in different parts of the world poses implementation, delivery and governance challenges for technology services	Business network and resources (to include human, knowledge, and technological resources)	Have an agile infrastructure which is utilized to gain maximum potential from internal resources, and external competencies across USAID's global infrastructure
Asymmetric nature of foreign policy priorities and threats to national security ♦ Anti-American attitudes continue to spread while world expectations of the U.S. continue to multiply ♦ Threats do not have to be sophisticated to have dramatic and widespread impact ♦ Increasing focus on security and the need to understand who USAID is funding	Business capabilities	Must adapt USAID's total value chain, from planning and donor coordination to implementation and outreach, to evolving and dynamic development and humanitarian assistance needs

EXTERNAL DRIVERS	IMPACT IS ON...	STRATEGIC IMPLICATONS
Increased competition in traditionally "protected" development arena and increasing mandates for work in "new" arenas, such as post-conflict reconstruction ♦ Relationship with DoS is changing ♦ Increasing development role of other USG (e.g., CDC, Treasury, Global AIDS Coordinator, MCC) ♦ Changing nature of non-public resource flows (e.g., remittances, NGO programs, foreign trade & investment) ♦ Increasing USAID role in fragile and failing states	Business culture and staff competencies	Be collaborative while differentiating to comparative advantage

3.2 USAID Stakeholders – Who are the Significant Players?

USAID interacts with, affects, and is affected by a complex mix of groups and individuals across its worldwide organization. This section identifies these stakeholders and what they want, need or expect from USAID – their requirements. The services and capabilities that make up USAID's business model must effectively and efficiently fulfill these requirements.

3.2.1 Stakeholder Segments

USAID's primary stakeholders can be divided into four main groups, each of which has different requirements of USAID. The four stakeholder segments are:

- **Customers**. Individuals and organizations to whom USAID provides services. They receive these services directly and indirectly. U.S. taxpayers, as well as the citizens of countries where USAID has programs, are Agency customers.
- **Suppliers**. Individuals and organizations who provide services to USAID. Commonly, USAID arranges for these services through contracts, cooperative agreements or grants. Most suppliers are "implementing partners," although they can also include Personal Services Contracts (PSCs) and commercial vendors.
- **Influencers**. Internal and external organizations that directly affect USAID by creating policies, directives and legislation that guide and govern Agency operations and determine funding and program allocations, e.g., the Office of Management and Budget and the U.S. Congress.
- **Partners**. U.S. and foreign government entities, strategic alliance partners, bilateral donors, and multilateral agencies that collaborate and coordinate with USAID to implement development and reconstruction assistance. Partners range from other U.S. Government agencies, such as the Millennium Challenge Corporation and Department of State Office of the Global AIDS Coordinator; to philanthropic entities, such as the Gates Foundation; to other donors such as the Japan International Cooperation Agency (JICA) and the World Bank.

Figure 3 illustrates USAID's diverse stakeholders.

3.2.2 Wants, Needs and Expectations

This section describes a sample of what USAID's various stakeholders want, need, or expect (WNE) from the Agency. In the private sector, analysis of customer wants, needs, and expectations (WNEs) is the basis for product or service development and, and ultimately, for a firm's business model. As a Federal Agency with stakeholders worldwide, USAID has a more complex challenge: It must seriously consider, and sometimes weigh against one another, the disparate WNEs of U.S. and international stakeholder groups when developing or updating its offerings. Table 2 summarizes USAID stakeholder WNE.

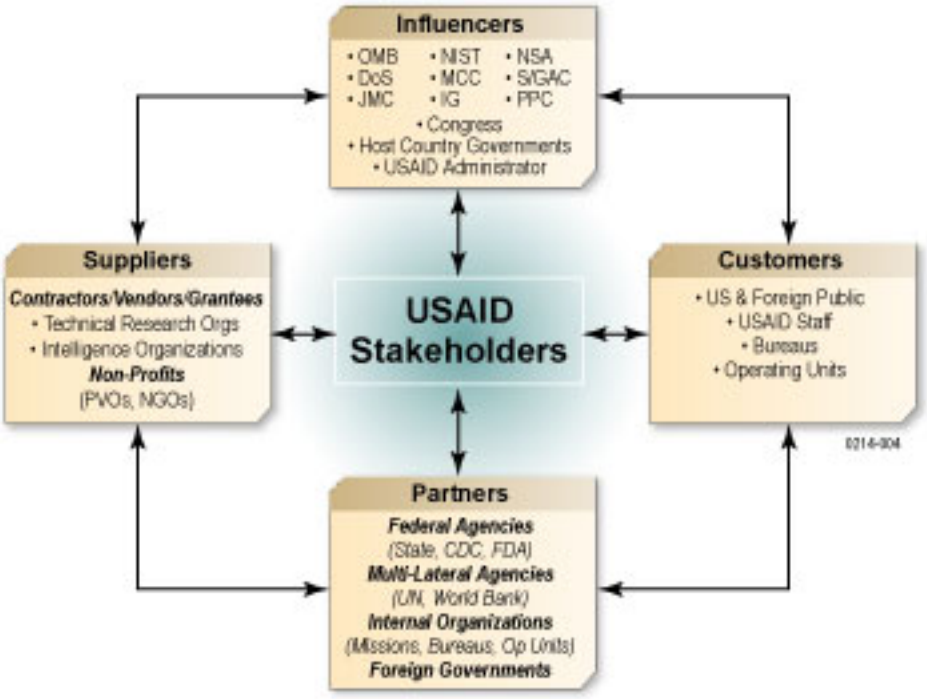


Figure 3: USAID's diverse stakeholders

Table 2: Wants, Needs and Expectations of USAID Stakeholders

Wants, Needs, Expectations			
Customers	Partners	Influences	Supplies
Access to latest policies, information, and technological tools	Access to accurate information	Tel1USAID's story (information snapshots and consolidated stories)	Knowledge of government requirements
Access to technical assistance and environmental expertise	Seamless exchange of information	Access to strategic information	Specificity of need and requirements
Fair prices and flexible contract that are adaptable to IT changes and performance based	Reliable reporting capabilities	Assurance of secure and reliable infrastructure for conducting government business	Reporting requirements
Retain the USAID e-mail address (@usaid.gov)	Stable, reliable, and secure network access and communications	Prioritization of Agency SLAs	Clear expectations
Reliable communications channels in developing countries (video/audio conferencing, email, etc.)	Consistent language across partners	Leverage work of other USG entities	Clear, understandable, unambiguous guidance
Resource availability/access to needed services	Reliable communications channels in developing countries (video/audio conferencing, email, etc.)	Ability to scale operations to meet requirements	Consistent measures

Wants, Needs, Expectations			
Customers	Partners	Influences	Supplies
Quick avenues of support for emergency response	Quick avenues of support for emergency response	Accurate data and information	Clearly defined roles and responsibilities
Reporting capability	Articulate USAID's comparative advantage for in-country implementations	Demonstrate that USAID can distribute funds in a timely manner	Clearly defined policies and procedures
Leverage work of USG entities	Open communication	Measurable results	Fairness in applying regulations to award process
Increased data storage and data accessibility	Clear, understandable, unambiguous guidance	Useful management reports	Fairness in program management
Clear, understandable, unambiguous guidance	Consistent measures	Ability to link performance and dollars	Consistent standards
Guidance to operationalize investment decisions	Clearly defined policies and procedures	Demonstrate cost effectiveness	Access to technical expertise
Formalized mechanism for leveraging DoS and USAID strengths	Leadership	Track obligations and expenditures by country	Leadership
Ability to work remotely and stay connected to the USAID network	Clear expectations	Consistent measurement criteria	Training tailored to specific roles and responsibilities
Training tailored to specific roles and responsibilities	Clearly defined roles and responsibilities	Leadership	
Leadership		Quick answers to questions	

Stakeholder WNE constitute the broad array of requirements that USAID must meet to effectively deliver services. For example, the Influencers expect regulatory compliance and fiscal transparency, while the Customers want informed, appropriate and timely response to development or disaster assistance needs. Suppliers and Partners are looking for clear, understandable requirements and consistent reporting standards so that they can effectively support USAID operations. Though complex and sometimes in tension with one another, once these stakeholder requirements are identified, they can be priority ranked and addressed by Agency leadership in developing the USAID business model and supporting infrastructure.

3.3 USAID's Strategic Goals and Direction

USAID delivers foreign assistance services across multiple regions, countries, and types of countries. USAID's strategic goals and direction have resulted from a convergence of numerous factors within this immense and constantly changing operating environment. The 2002 National Security Strategy established foreign assistance as an instrument of foreign policy and an expression of U.S. humanitarian values. Although the Strategy elevated foreign assistance alongside diplomacy and defense, it did not grant USAID complete autonomy. Rather, USAID's strategic goals and direction are included in a joint Department of State-USAID Strategic Plan. Under the joint strategy, USAID aligns its programs and operations with the Joint Strategic Objectives to: (1) Achieve Peace and Security and (2) Advance Sustainable Development and Global Interests, and with specific Strategic and Performance Goals under each Joint Strategic Objective. In addition, and depending on country typology, USAID programs align with a set of USAID-specific operational goals expressed in the USAID White Paper on "U.S. Foreign Aid: Meeting the Challenges of the 21st Century." Appendix 3 contains the current alignment of USAID's Strategic Goals and Strategic Objectives.

3.4 USAID's Current Operating Model

USAID has a broad and complex mission, and frequently operates in a hostile environment where infrastructure is limited or even nonexistent. At the same time, the Agency has a relatively small staff and variable information technology and support to accomplish this mission. What is more, USAID's business model has evolved from being a development "retailer" to being a "wholesaler" of these services, with USAID staff engaging in policy dialogue and program strategy while overseeing contractors or grantees who implement USAID-funded activities. Throughout its history and during this transformation, the Agency has been acknowledged as a world class development and relief organization capable of delivering services in the world's poorest countries. USAID has accomplished this while placing most strategic, tactical, and funding decision authority in the field in order to provide maximum flexibility and responsiveness to local needs.

A predictable but potentially risky outcome of devolving such strong programmatic and systems support authority to the Operating Unit level is that procedures and support systems are designed to meet discrete local needs, rather than to serve the Agency as a whole. The unfortunate result of this local specialization is that, over time, it becomes increasingly difficult for the Agency to integrate systems and information.

As observed in the International Business Model Review, "The most striking thing we learned about the USAID business model is that we have many models and this lack of standardization is in many ways our own worst enemy. This not only complicates the design and execution of new business systems but makes it difficult to manage across the Agency."

At the same time, as summarized in section 3.1, the drivers influencing USAID have become increasingly transnational, and in many cases, global. As a result, the capabilities of a single mission, headquarters Operating Unit, or bureau are no longer sufficient to meet the demands on the Agency. Examples such as the recent Tsunami disaster effecting South Asia or the global HIV/AIDS pandemic illustrate this problem. To be most effective, USAID must be able to draw on resources from across its global organization in a consistent, repeatable manner. Further, USAID must be able to report on indicators that are standard across countries, regions and programs in order to communicate the totality of USAID results.

At present, the Agency's procedures, systems, knowledge, and skill sets do not fully support this operating model, nor is the operating model sufficiently aligned with the Agency's strategic goals and country typologies as they have evolved over the past decade. Further, as USAID's mandates, development "competitors" and the global demands placed upon the Agency become more numerous and complex, misalignment between USAID's operating model and its strategic goals and direction will increasingly threaten the Agency's standing as the world's premier development and relief agency.

Figure 4 (page 23) is a conceptual representation of USAID's programming environment. It represents the largely inconsistent and inefficient path of systems and processes that staff must follow in order to manage individual programs or activities. Because there is little integration of systems or coordination of processes and knowledge across program or support areas, program and activity management becomes more of an art than a process that can be repeated, measured and explained consistently across the Agency.

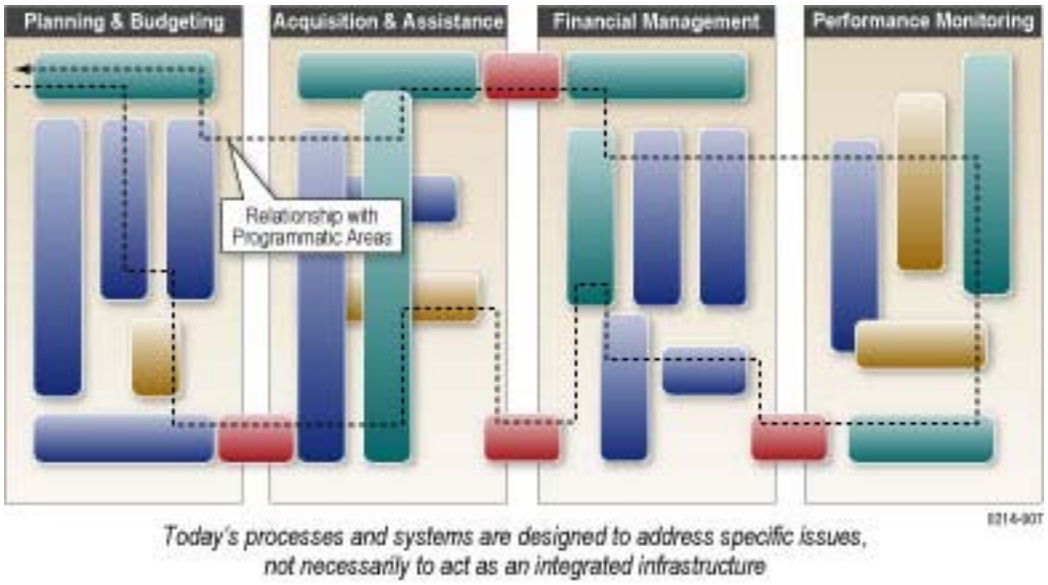


Figure 4: USAID's Overall Programming Environment

3.4.1 Agency Strengths – the Comparative Advantage

USAID has a tremendous challenge: it must mature its ability to coordinate and systematize its programs and operations across the Agency, while remaining sufficiently agile to meet evolving challenges. To do this, USAID must leverage its many acknowledged and well-grounded strengths, including:

- Extensive country presence
- Knowledge and expertise in "getting things done" in-country
- Success at managing for results at the project level
- Collaborative relationships that support successful operations in the field
- Critical mass in key countries and regions
- Excellence in program and activity design
- World-class leadership in technical knowledge
- Plays a catalytic role among donors (e.g., World Bank)
- World leader in strategy and performance management
- Well-conceived strategies and rigorous monitoring and evaluation practices
- Develops world class approaches and metrics for programming in fragile and transition states
- Able to scale-up and deploy resources globally
- Extensive country contacts and relationships that provide access to assistance channels and facilitate development efforts
- Strong, collaborative relationships with partners and host governments
- Can mobilize foreign disaster response assets faster than any other non military USG agency

3.4.2 Agency Business Operations Pain Points

In addition to building upon its strengths, as USAID continues to adapt to new operating conditions, the Agency must also identify, understand and address the major pain points, or barriers, that affect its ability to deliver services.

Research, interviews, and working sessions with expert USAID personnel from headquarters and the field identified the following pain points:

- The successes and benefits of USAID's work are poorly understood by the U.S. public, USG overseers, and the global community
- It is difficult to aggregate results information across programs or geographies and to communicate it in consistent, understandable terms
- It is difficult to link appropriated funds to results
- The Agency does not effectively communicate its work and impact
- From an Operating Unit perspective, the requirements for management vs. reporting information are blurred
- The information needed to manage daily operations is different among the Operating Units, the Bureaus, and the Administrators suite
- USAID does not use a consistent methodology to track funding and performance across the enterprise
- Obligations are important for OMB reporting while accrued expenditures are important for the missions to manage pipelines
- Laborious, duplicative and heroic effort is often required to respond to questions and data calls at all levels of the organization
- Over reliance on tacit knowledge instead of documented information
- Many manual processes, multiple systems and inconsistent adherence to guidance
- Obligations data is available yet it cannot be correlated with associated expenditure data, nor with program results; there is a disconnect between funding and program results
- Aggregation of data is often difficult, inaccurate or misleading
- Different definitions and standards within and outside of Agency
- There is virtually no standardized use of program categories across systems, business process areas, or zones of control
- Current use of technology does not fully support Agency reporting requirements
- Information is not consistent nor accessible
- Data index sharing is poor
- Duplicative reports cause strain on the network
- Increasing demand for long term data storage requires more resources
- There is an increased demand to store data and electronic records but users want to maintain control and access to stored data
- Disparate sources of data and different data formats inhibit standardized data storage

- The IT environment itself lacks standardization between Washington and the field, leading to an inefficient use of resources
- USAID operates under two different telecommunication models. In headquarters, the Office of Telecommunication and Computer Operations (TCO) controls IT operations; in the field, Missions manage 90% of the IT support services with TCO providing some support and guidance. The differing operating models allows the field to make IT decisions that meet Mission operating needs but that may conflict with headquarters standards, leading to a lack of standardization across the two operating models.
- Diverse IT models proliferate at different field locations, often based on different skill sets and personalities.
- IT infrastructure (e.g., operating systems, routers, servers) across the Agency is not consistent, requiring users and IT support staff to understand and manage multiple infrastructure requirements.
- Increased security and cost control needs are driving USAID to standardize its IT environment; however, Missions want to maintain control of their IT environments because they believe their needs are unique.
- Communicating with organizations outside the Agency is difficult
- Security concerns and functionality issues make it difficult to use instant messaging and video conferencing capabilities to communicate with stakeholders outside USAID and in the field
- Telecommunication Infrastructure Requirements are not always clear
- Major application owners do not define telecommunication infrastructure requirements before deploying applications, making it difficult to determine baseline and above- baseline support requirements.
- USAID policies have lagged behind advances in wireless technologies and restrict wireless use to certain functionalities
- USAID customers need to stay connected in the field, but the current wireless devices permitted by the Agency limit user access to email only.
- Demands on USAID's IT functionality to fulfill its business needs. Yet in the evolving security environment specific functional and investment decisions must consider security constraints and implications.

In a resource-poor operating environment where USAID never has sufficient funding or staff to meet its many requirements, more efficient use of knowledge and technology assets is critical. Extensive and effective knowledge management, large scale integration of Agency systems, accurate alignment of Agency resources to its mission and strategic goals, and targeted staff training have the greatest potential to address the pain points above and increase the Agency's operational impact.

3.5 Technical Overview

USAID's operations are extremely challenging to support technically. The Agency supports operations in some of the least developed areas in the world. Agency personnel and implementing partners must be able to utilize information from and get information into the Agency's systems. Agency leadership regularly must be able to answer complex questions about USAID's field operations and results. USAID's personnel are some of the world's leading technical development experts and must be able to transfer that knowledge across the Agency's global infrastructure in an environment of increasingly

complex issues. Finally, security of information and personnel has become a priority at an unprecedented level. USAID must face all of these challenges with an aging infrastructure which is often operating at degraded levels. This section discusses USAID's technical infrastructure at a high level, and its ability to support the Agency's business model.

3.5.1 Application Architecture

USAID conducted an application survey in autumn 2004 to begin to capture information about the software applications in use throughout the Agency. The survey results provided the foundation for the USAID Enterprise Architecture project. For purposes of analysis, the various applications are categorized as Formal, Semi-Formal, or Informal. Formal systems are those supported by Certification & Accreditation (C&A) and/or an OBM Exhibit 300. Semi-formal systems are those not supported by C&A and/or an OMB Exhibit 300, but are in widespread Agency use. Informal systems are those used randomly throughout the Agency but not supported by M/IRM. Informal systems are not generally subject to organizational scrutiny nor oversight; however, the informal systems appear to fill a void that is not currently addressed by formal or semi-formal systems.

The application inventories are presented in three tables on Formal, Semi-Formal, and Informal Applications, located in Appendix 13.

3.5.2 Technical Architecture

In contrast to the USAID Business Capability Map, which depicts USAID's key business services and capabilities, the figure below is an "As-Is System Technical Diagram" that depicts the current suite of information and communications technology systems, applications and tools. The Agency's fundamental technical areas are USAID/W (including various Washington, DC area locations), Missions, and the Internet. The network infrastructure used for interconnecting these areas consists of:

- Local Area Network(s) (LAN)
- USAID/W
- Missions
- USAID Wide Area Network (WAN)
- X.25 Network
- VSAT Network
- USAID Metro Area Network (MAN)
- Predominantly T1
- Internet
- Unsecured
- Secured with Virtual Private Network (VPN) technologies

The USAID WAN consists primarily of an X.25 network for data and the DTS-PO for voice. The DTS-PO can be used for dialup when problems exist on the X.25 network or X.25 access is unavailable.

Security measures have been put into place, such as firewalls and a web server in the “de-militarized zone" between the Internet and USAID’s network at the Ronald Reagan Building. USAID has a T-1 connection to the Department of State’s Intranet, called OpenNet. Other sites in the Washington metropolitan area, such as Springfield, VA, Rosslyn, VA, Beltsville, MD, and Laurel, MD are connected through multiple T-1s.

Missions are connected through the Globalsat teleport in Laurel, MD. In addition, missions have their own connection to the Internet. Several missions such as New Delhi, Belgrade, Moscow, Manila, Jakarta, and Kiev utilize VPN access over a public internet.

3.5.2.1 Security

The security of each system, application, and tool relates closely to its size, complexity, and degree of user access. For the purposes of analysis, USAID systems, applications, and tools fall into the five general groupings:

- Agency-wide institutional systems
- Agency-wide tools
- Intranet applications
- Internet applications
- Word processing applications and spreadsheet applications

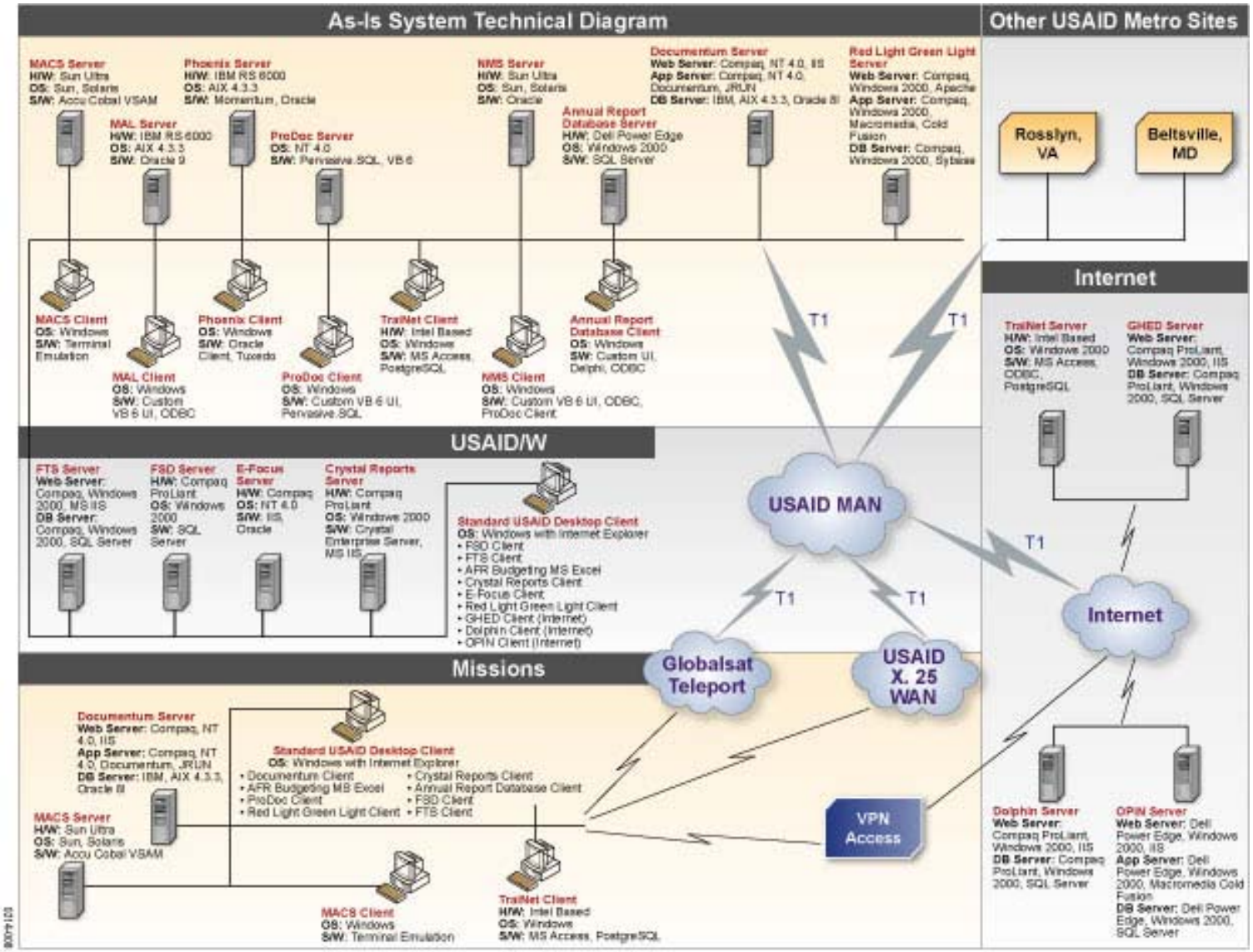


Figure 5: As-Is System Technical Diagram

This page intentionally left blank.

Agency-wide institutional applications/systems (e.g., Phoenix) have security evaluations, policies, and procedures in place and have an information system security officer (ISSO), i.e., a formally appointed security expert with system management responsibilities. In assessing system security, the Office of Information Resource Management (M/IRM) evaluates and grades security posture according to seven criteria:

- Formal Appointment of Security Role & Responsibilities (ISSO)
- Training (User/ISSO)
- Security Plan
- Contingency Plan
- Certification and Accreditation
- Risk Assessment
- Scan Status (vulnerabilities)

Agency-wide tools, e.g., MS Office, are also carefully reviewed by M/IRM for their security implications. In addition to cost and functionality, security is a major criterion applied to the acquisition of Commercial Off the Shelf (COTS) and Government Off the Shelf (GOTS) software.

Intranet application security is dependent on several factors, such as network security, location/owner of the hardware, and the owner of the application. Some applications within the USAID Intranet may not have gone through the standard M/IRM security review process.

Internet applications have a wide variety of security vulnerabilities. Unlike the Agency's Intranet, members of the public in addition to USAID users have access to Internet applications. Thus, the security of USAID hardware (servers) is crucial and the Agency's operating system and virus software need to be maintained and updated.

3.5.2.2 Scalability

Scalability is the ability to grow a system while maintaining a consistent level of performance. Enterprise software systems must be designed to meet the changing needs of individual USAID users and increased Agency-wide demand. This can be done by using programming techniques, network capacity planning, and the selection and use of industry-proven operating systems, applications, and appropriate hardware.

For each system, application, and tool, scalability can be categorized according to three levels:

- **High level of Scalability**. Enterprise-level system components such as hardware, applications (components), and operating systems, that enable standardized repetition of a function (e.g., the Mission Performance Plan, or MPP) across an enterprise.

- **Medium level of Scalability**. Sub-enterprise level technical architecture, middle tier components and/or lack of physical separation of components such as database server, web application server, and content server application that enable replication of functions (e.g., the Annual Report).
- **Low level of Scalability**. Stand-alone applications or tools, and/or single-tier architecture that do not comply with any Agency standard and that must be customized for each function.

USAID applications/systems such as Phoenix and MACS are scalable due to their design, supporting applications, operating system, and hardware. For example, Phoenix uses large Unix based servers and an Oracle database. On the other hand, the vast majority of the Agency's work is performed on informal applications that are based on Microsoft Office tools such as MS Excel. This relatively high number of informal applications and systems has a significant impact on and potential reduces the scalability of the Agency's operations. Appendix 13 has a listing of USAID inventory of applications and a rating of whether they are formal, semi-formal, or informal systems, applications, and tools.

Hardware can also be an important factor when considering issues of scalability, as systems with more processing power and memory can attain better scale. Less obvious are the scalability prospects of similar systems with multiple servers. It is preferable for scalability purposes to have a system with a separate web server, application server, and database server, rather than a system that hosts all software on one server, because in the former case, it is easier to add capacity without having to reconfigure the overall environment. Additional factors such as application, system, and tool design can also contribute to the level of scalability.

3.5.3 Technical Pain Points

In addition to the pain points presented in Section 3.4.2 addressing USAID's business operations, there are many which are specifically technical in nature.

- USAID Operating Units use informal applications for such important tasks as field support, expenditures, partner organization systems, and basic Microsoft applications. There is little standardization of tools across USAID. This means that the effective mobility of USAID personnel is reduced as personnel must learn different tools in different USAID organizations. In addition, it is difficult to aggregate information, since it must be processed differently with each stand alone tool or individual configuration.
- It is difficult to maintain current, comprehensive inventories of Agency IT applications. This causes tremendous redundancy of information and consumption of resources in an attempt to maintain current IT information on all USAID's Bureaus and Operating Units.
- USAID manages application distribution across Operating Units in a decentralized manner, increasing the risk of potentially costly duplication.
- Budgeting and support for USAID's application and technical infrastructure is decentralized and loosely coordinated. As a result, strategic IT decision-making is more difficult, less agile, and potentially more costly.
- The Agency's technical infrastructure requires a high-level of flexibility and a broad geographical reach in order to adequately serve stakeholders requirements. Moreover, it requires a high degree of security while being flexible, agile and responsive to the needs of Agency's stakeholders. USAID's current lack of standardization does not support this needed flexibility or level of security.

- Flexible approaches for delivering applications, secure access, and rapid movement of information requires coordination of policy and investment decisions across Mission, Bureaus, and Pillars. This level of coordination does not currently exist.
- The Agency's current infrastructure is aging, and does not support the level of wide scale integration it needs to support its evolving business model.
- There is no standard way to access information within the Agency. Individual organizational units manage their own technical information, and the Agency's large scale systems are largely siloed. There are also no standard means to interface with implementing partners. This creates a situation throughout the Agency of pockets of knowledge and data, with no systematized way to share it.

3.6 USAID Findings – The Problem at Hand

This section builds on the analysis done in the previous sections, presenting a series of findings that combine the business and technical perspectives. Combined with direction from the Joint Strategic Plan, and Agency goals, these findings are used as the foundation to develop the Agency's business requirements and subsequent Business Capability Map (BCM) presented in the next section.

- There are three primary roles played by the Agency: Development Leadership, Program Management, and Activity Management. USAID is mature at activity management, is maturing the program management level, and needs to focus more on maturing the Agency's overall role as a development leader within the USG.

- Most formal systems and business processes in USAID are designed for program operations at the mission or Operating Unit; other than the Phoenix system for accounting, very few formal systems and business processes facilitate the program oversight functions of Washington. At present, most of these Agency-wide functions, such as knowledge management and budgeting, are dominated by cuff systems and informal business processes developed by discrete offices to solve particular problems.
- USAID systems, processes and organizations each use different criteria to describe the Agency's programs. Using HIV/AIDS as an example, budget accounting is by HIV/AIDS and Mother to Child Transmission (MTCT); coding uses six categories – prevention, care and treatment, children affected by HIV/AIDS, policy and institutional strengthening, HIV/AIDS surveillance, and MTCT; and Congressional Budget Justification program descriptions call for undefined "functional areas of assistance." The lack of consistency is the same for strategic plans, expenditures, and the procurement reporting system. The lack of consistency makes it very difficult to roll-up information or to relate information across systems.

- The Agency supports two different technical communications infrastructure models. USAID centrally manages the Agency's communications infrastructure for USAID\W and between USAID\W and field Operating Units. Each mission operates its own infrastructure largely according to locally developed standards and guidelines. USAID's Office of Telecommunication and Computer Operations (TCO) supports both Missions and headquarters. It can do this with a high degree of user satisfaction for USAID\W because it manages the architecture, design, and standards. In the field, however, because there is little standardization across Missions, TCO cannot provide the same level of support. This results in highly inconsistent operational availability of networks and systems at Missions, and decreased reliability of Operating Unit information at USAID\W.
- The Agency lacks consistent documentation of business processes and procedures. The ADS provides high level policy guidance but the guidance needed to manage operations is not documented. Insufficient operational guidance and documentation of appropriate business processes and procedures leads to inefficiencies, unnecessary expense, and variable practices that increase audit risk and staff frustration.
- USAID is extremely decentralized. The Agency's command and control structure was designed to enable decentralized mission strategy formulation in order to address unique local needs. In the operational realm, this programmatic decentralization has led to lack of standardization, inconsistency in reporting, and barriers to agency wide collaboration.

4. Challenges and Opportunities – USAID's Business Model and Technical Infrastructure

Create a more secure, democratic, and prosperous world for the benefit of the American people and the international community

(Department of State-USAID Strategic Plan)

In 2003, the Administrator charged the Bureaus for Policy and Program Coordination (PPC) and Management (M) with leading a review of the USAID business model. The purpose of the Business Model Review was to propose changes to enhance USAID's development impact by improving the alignment of Agency operations – including USAID's overseas organization and workforce – to USAID's mission, U.S. foreign policy priorities, and to development and humanitarian relief objectives. Commenting on the lack of standardized operations across the Agency, PPC and M reported: ***"We discovered that there are many opportunities to improve our strategic management process and make it more responsive to the changing environment in which we operate."***

Against this backdrop, the development of USAID's Enterprise Architecture distilled the many business processes that are performed and/or repeated across the Agency into a set of core activities required to achieve the Agency's mission. An iterative process of synthesis and consultation with Agency staff identified the business requirements discussed below.

4.1 USAID Business Requirements and their Value Added Services

As the lead USG foreign assistance agency, USAID has eight primary business requirements. These business requirements drive the planning, management, and execution of 8 Agency value added services that are integral to USAID's achievement of its mission and critical objectives. These business requirements are:

1. **Create International Development and Humanitarian Assistance Policy**. The creation of International Development and Humanitarian Assistance policies is the first step in the process of delivering this assistance where it is needed. These policies create and maintain a viable structure of organizational rules and norms to promote and advance development excellence and consistent behaviors across USAID Operating Units worldwide. Within the U.S. Government and donor community, as well as in partnership with host governments, USAID must have the credibility and expertise to promulgate development and humanitarian relief policies that others acknowledge to be sound and worthy of emulation. USAID must be able to assign and enforce roles and responsibilities to develop appropriate policies and be able to promulgate these policies internally at the corporate, program, and activity levels, as well as externally with other USG and foreign interlocutors. USAID must actively identify foreign assistance policy issues, set foreign assistance policies with and for the

development community, advocate foreign assistance policy to stakeholders, and directly or indirectly contribute to other USG and donor foreign assistance policy formulation.

2. **Develop Partnerships for International Development and Humanitarian Assistance Delivery**. Effective and efficient delivery of foreign assistance requires close coordination among disparate U.S. and international partners. USAID's primary partners include: the Department of State; other USG agencies such as the Departments of Agriculture (USDA) and Health and Human Services (HHS); foreign governments, including both host governments in developing countries and other bilateral donors; non-governmental organizations (NGOs), including private voluntary organizations (PVOs) registered with USAID and other U.S. and local civil society organizations; private sector firms and contractors; U.S. and local institutions of higher education; multilateral donor agencies, such as the World Bank, Asian Development Bank, and United Nations; and Global Development Alliance strategic partners, such as foundations and businesses. Each type of potential partner possesses different assets that may contribute to the overall foreign assistance delivery package. Coordination of foreign assistance activities among these diverse partners increases efficiency and impact, reduces redundancy, and helps generate new knowledge and capabilities. To optimize such partnerships, USAID must develop formal and informal mechanisms for entering into, building, and maintaining strategic relationships with diverse partners.

3. **Design International Development and Humanitarian Assistance Programs**. Foreign assistance program design requires skilled analysis of international development and humanitarian relief needs in the broader context of USAID and other USG and donor resources, local and regional operating environments, USG regulations, and U.S. foreign policy goals. USAID must prioritize competing needs for its assistance, select the most appropriate assistance program component, identify program resources and partners, develop program budgets, and establish program governance. Drawing upon past experience and current staff capacity, USAID must have the necessary knowledge, skills, and abilities to create programs that will meet foreign assistance needs, and USG and Agency goals.

4. **Establish International Development and Humanitarian Assistance Program Operations**. USAID provide the underlying resource infrastructure for setting up foreign assistance and disaster relief programs wherever and whenever they are required, even in challenging country settings and on an emergency basis. This resource infrastructure includes a sufficient number of staff with the requisite skills and capabilities, and adequate funding, program inputs, logistical support, and regional and in-country presence. USAID must coordinate these resources at a programmatic level in order to provide maximum support to individual field activities as well as enable the utilization of resources across program and activity boundaries. The Agency must also be able to establish and enforce program management and execution procedures across the multiple activities and country typologies that comprise Agency programs.

5. **Execute International Development and Humanitarian Assistance Activity**. All of USAID's business requirements should help support the execution of development or relief activities. USAID must plan, design, and fund activities that will contribute to program objectives, which are in turn aligned with the joint State-USAID Strategic Plan and USAID White Paper. Because of USAID's role as a procurement organization, effective activity execution also requires

that USAID staff be able to determine and manage the appropriate implementing instrument for the activity, such as grant, cooperative agreement, contract, loan, or budget transfer. USAID must coordinate, monitor, assess, and manage activities, including development and enforcement of appropriate performance metrics and reporting mechanisms. USAID must also deploy the necessary resources to the field when and where they are needed to execute activities, as well as perform ongoing activity management, processing and payment of invoices, etc.

6. **Provide Internal Technical Support to aid in the implementation of Development and Humanitarian Assistance Activity**. In support of program implementation, USAID must successfully deliver technical assistance services to Operating Units. These are the specialized, enabling support services customized by development sector that underlie the delivery of the development assistance and disaster relief. Whether to advance USAID support for rural credit or micro enterprise development, immunization campaigns, or protection of biodiversity in tropical ecosystems, USAID must proactively acquire, analyze, validate and disseminate all pertinent internal technical support to Operating Units in headquarters and missions. To target this support appropriately, USAID must be able to analyze individual Operating Unit needs for technical assistance, as well as the most cost-effective and efficient sources of this support in USAID headquarters, regional hubs, or colleague missions. By matching technical support supply and demand, USAID must be able to successfully deliver services globally to meet any reasonable foreign assistance program demand.

7. **Create, capture, access, and disseminate Knowledge for Development to the right people at the right time**. Effective and efficient delivery of USAID's program and business services requires continuous learning and sharing of knowledge from inside and outside USAID. Learning, sharing and creating knowledge requires a corporate, network-wide foreign assistance and disaster relief knowledge base that can be systematically and dynamically developed and used by relevant communities inside and outside the Agency. USAID must establish the structures for development knowledge and related reference models to facilitate knowledge management programs, and to manage and oversee the enabling distribution channels and communication media to achieve Knowledge for Development objectives. USAID must also support Operating Units in the efficient and effective use of Knowledge for Development services.

8. **Manage the business of USAID**. USAID must continue to establish the Agency's overall shared service business infrastructure to support and enable the day-to-day operations of administering development and humanitarian assistance. To successfully deliver these foreign assistance services, USAID must define and implement operational governance; manage and implement its business model, including acquisition and assistance management; budget financial and human resources at the Agency level; manage policy planning and implementation; and carry out corporate, Agency-wide decision making.

4.2 The Business Capability Map

The Business Capability Map (BCM) is a tool for developing USAID's Enterprise Architecture. The objective of the BCM is to depict USAID's business model in a one-page snapshot to facilitate examination of different elements of USAID's "business" from a common perspective. The map is the key framework used to identify areas of potential improvement/opportunity for short, medium, and long-term investment. It is divided into three sections: Value Added Services, Management Levels, and Business Capabilities.

Value Added Service (across the top of the map). These are the services that must be provided and executed well to successfully fulfill USAID's mission of development and humanitarian assistance. Each one of the Value Added Services is aligned to one of the 8 Agency business requirements.

Management Levels (the left axis of the map). The phase of the business cycle in which capabilities are most appropriately utilized and placed. There are three management levels – Plan, Control, and Execute. There must be at least one capability in each management level to deliver the value-added service.

Business Capability (the internal boxes in the map). A measurable business function that enables USAID to provide one or more of its value added services (e.g., Contextual Analysis, or Knowledge Lifecycle Management). Each capability is comprised of definable processes, technologies, skills, and information required to successfully enable that capability.

Figure 6: USAID's Business Capability Map

The BCM is intended to be a functional view of the Agency as a whole, rather than a business process map or organizational chart. Other important characteristics of the BCM include:

- The map does not dictate content (specific information), but helps bound and structure it
- Capabilities are interactive – not mutually exclusive – and are applied to meet specific needs
- The map depicts the "what's" of the Agency, rather than a sequential workflow
- The map will evolve over time

As the foundation for the rest of the EA analysis, this map will be used to develop the FEA reference models, illustrate specific operational functions, identify misalignments and gaps, and provide the framework for investment opportunities to improve USAID's operational ability.

4.2.1 Business Capability Map Methodology

The USAID Business Capability Map was developed after attaining a baseline understanding of the USAID environment and the day-to-day services and functions USAID must execute in order to achieve its mission. This process included four basic steps:

1	Compile Strategic Implications, Trends and Drivers of USAID Operations through USAID documentation, interviews and meetings. This information identifies and establishes a context and understanding of USAID business operations and assists with the development of the Business Capability Map.
2.	Compile and Understand USAID's Mission, Goals, and Objectives.
3.	Investigate "what USAID does" in day-to-day operations, characterized as "capabilities." Begin to align the capabilities into broad categories, called Value-Added Services.
4.	Validate these Agency capabilities and Value Added Services with Subject Matter Experts, USAID working groups, and USAID Executives and managers.

4.3 Examining USAID's Business Model – BCM Findings

4.3.1 Multiple Operating Levels Across USAID

Analysis of USAID's Business Capabilities Map (BCM), informed by discussions with Agency staff, suggests that USAID conducts the business of international development at three operational levels, all of which are supported by USAID's Business Management capabilities (the far right column of the map). Beginning with the lowest level, these operating levels are: the activity and project level; the program and portfolio level; and the corporate, overall Agency level as the lead USG foreign assistance agency. To be most effective in this leadership role, USAID must be able to balance and integrate management across all three operational levels and have the infrastructure to support excellence in all three. At present, these three levels are not fully integrated and USAID has difficulty sharing information efficiently within and among levels. As a USAID discussant stated during a working group review of the BCM, "As you aggregate up [e.g., from the activity to the program level], whether it's performance or budget information, each time you take it to the next level, there's pain making sure the information makes sense and is accurate, so that we understand what's happening."

Development Leadership

This is USAID's highest management function, through which the Agency performs the role of coordinating and integrating development activities with other USG agencies, and with other donors and governments. To be effective in this role, USAID must be able to evaluate the macro development environment, assess and coordinate the activities of the total spectrum of potential development partners (USG, foreign government, other donors, implementing partners, etc.), market its services across this spectrum, and manage across the entire Agency and, as appropriate, broader USG program portfolio to gain advantages of scale and scope.

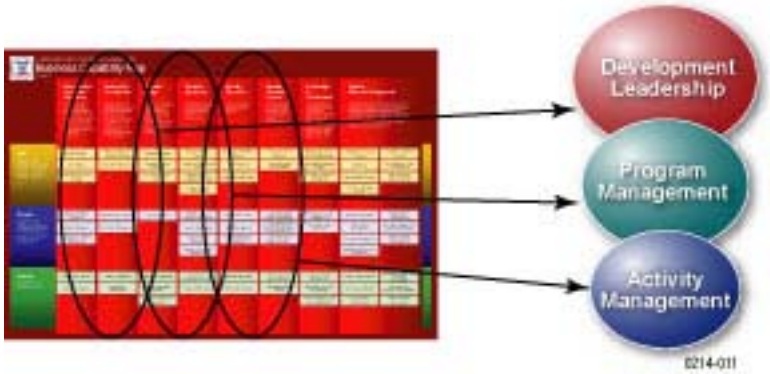


Figure 7: USAID Three Operational Levels

Program Management

This management level entails USAID's ability to manage individual program portfolios at the sector or geographic level. This management level describes how the Pillar and Geographic Bureaus organize their staff, systems and procedures to provide a total portfolio of services. This includes being able to aggregate and compare results across activities and regions, as well as the ability to provide the standards and governance that support effective portfolio management (e.g., the capacity to provide effective strategic and technical support across all HIV/AIDS activities supported by USAID, and then be able to aggregate results in a meaningful way, compare responses to the pandemic across individual countries and regions, and modify program approaches to implement a more comprehensive and effective response).

Activity Management

This level centers on the Agency's ability to manage individual activities through USAID Operating Units. As such, the activity management level centers on USAID's ability to access and deploy the resources necessary to execute individual field activities, including: technical inputs needed for activity design and oversight, acquisition and assistance, financial management, logistics, appropriate policy and technical guidance, budgeting, etc. USAID excels at this level; the Agency is unparalleled in its capacity to deploy effective development assistance and humanitarian relief anywhere, as evidenced, for example, by the deployment of USAID personnel as the first non-military USG representatives on the ground in Kosovo or Iraq.

In some of the most difficult operating environments experienced by any USG agency, USAID's ability to manage individual development activities is superb, the systems that support these activities are mature, and ADS policies are well formulated to provide clear operating guidance. In contrast, it is at the higher two levels where systems and policies are less well defined; where, as noted above, information is more difficult to aggregate, interpret and utilize; and thus, where the Agency's ability to operate consistently and effectively is reduced. Ultimately, USAID must be able to match its technical and managerial

leadership on the ground with higher levels of operational management, must improve its capacity to coordinate across its entire portfolio of development "offerings," and must be able to demonstrate the results of this entire portfolio within the USG in order to maintain and strengthen its position as the USG development organization of choice. If USAID can clearly demonstrate effective business management at all three levels, it can maintain its role as the USG's development leader. If not, the Agency will continue to see this historic position challenged as more organizations move into the development space, ultimately leading to USAID's being one among many programming channels, rather than the coordinator of all these USG channels.

4.3.2 Critical Functional Groups of USAID Capabilities

Section 3 examined USAID's operating environment and identified numerous pain points and findings. By combining this examination of USAID's operating environment, analysis of USAID's drivers, and the patterns found within USAID's Business Capability Map, a set of business issues begin to emerge.

Identifying and grouping these business issues is an important, intermediary step in establishing a clear, traceable connection between the multiple pain points, patterns, and changing drivers discussed above, and a set of priority transformational projects and investment opportunities. The current list of business issues pose discrete barriers or opportunities to improving USAID's business model and supporting infrastructure. This list is dynamic, and should be reexamined on a regular basis. The current list of identified business issues, found in appendix 6, contains 47 issues.

Identifying USAID's pressing business issues helps to focus and scope analysis of a set of well grounded functional solutions, categorized by groupings of similar issues. The table below outlines the process used to develop these functional groups of similar business issues.

Table 3: Functional Group Analysis Process

1. List the business issues along the left access of a matrix.
2. Develop a list of Agency business functions that would be impacted by that business issue and listed them across the top of the chart.
3. Assess which Agency business functions would be impacted by the next business issue, noting the business functions that were common to the first business issue and adding any additional business functions.
4. Continue and repeat this process through the entire list of 47 business issues, until a defined set of functional groups stabilizes.

Examination of the business issues led to an initial set of 11 of these solution areas (e.g., procurement, human resources, etc.). Each of these is called a functional group, because they are a grouping of BCM capabilities organized around producing a defined outcome. In theory, there are hundreds of USAID functional groups, and significant time and resources could be expended to identify and define them. However, time and resource constraints limited the number of functional groups examined here to those with highest impact on increasing efficiency, reducing cost, or on increasing USAID's overall operational potential.

In this effort, USAID senior leadership determined that there were sufficient resources to examine five functional groups. A simple frequency matrix determined the highest priority functional groups to examine. This matrix placed functional groups on one axis, the business issues on the other axis, and check marks where they related. The functional groups associated with the highest number of business issues yield the highest potential impact, and were selected as the five to examine in this iteration of the EA. These five functional groups are:

- Procurement
- Performance Based Budgeting
- Business Decision Support
- Technical Decision Support
- Global Outreach

Appendix 6 provides a complete list of USAID business issues mapped to their functional groups.

It is important to note that two of the eleven functional groups received very high scores but were not considered in this examination. The first was Human Capital Management, because this is currently the focus of another study at USAID. Senior management determined that two studies would potentially be duplicative. An EA based examination of Human Capital Management will be done later, building on the results of the current study.

The second unexamined functional area, Infrastructure Refresh, touches almost every business issue and almost every capability within the BCM. Even the most cursory examination of USAID's business model indicates that refreshing USAID's global technical infrastructure is of critical importance. Because this need is so pervasive, managing the refresh will first require senior managers to prioritize and sequence the effort. This EA will help in that regard.

Examination of the five functional groups provides a great deal of that prioritization. Because they have the greatest impact on USAID, focusing recommendations and initiatives on strengthening these functional areas helps identify priority investments for USAID's Infrastructure Refresh. In addition to providing recommendations and initiatives to build the capabilities of the five functional groups, a general set of recommendations with an accompanying initiative is found in section 7. This general set of recommendations and related initiative focus on transformation and investments across functional groups.

A description of each of the five functional areas is provided below. The gap analysis in section 6, and the recommendations and initiatives in section 7, are organized around the examination and enhancement of these functional areas.

4.3.2.1 Procurement

The Procurement functions are those involved with acquisition and assistance at USAID, i.e., planning, securing, awarding, and obligating necessary funds to procure goods and services for, or on behalf of, USAID.

Figure 8 depicts the set of capabilities that are necessary to perform the procurement function, which is formally termed Acquisition and Assistance (A&A) in USAID. The capabilities in the map above reflect the analysis of procurement function references in the ADS, as well as interviews and discussion with Agency staff and management. Procurement activities (shaded above) are, by and large, evenly supported by Program Operations and Activity Execution capabilities in each of the Plan, Control and Execute management levels. This is a strong indicator of the importance of the procurement function and helps demonstrate how extensively A&A contributes to USAID programs and activities. The supporting Agency Business Management capabilities provide a management and control infrastructure for the development related procurement activities. Procurement awards often form the basis of the relationship between USAID and its implementing partners and are the mechanism that guides these partners' implementation of USAID-supported activities.

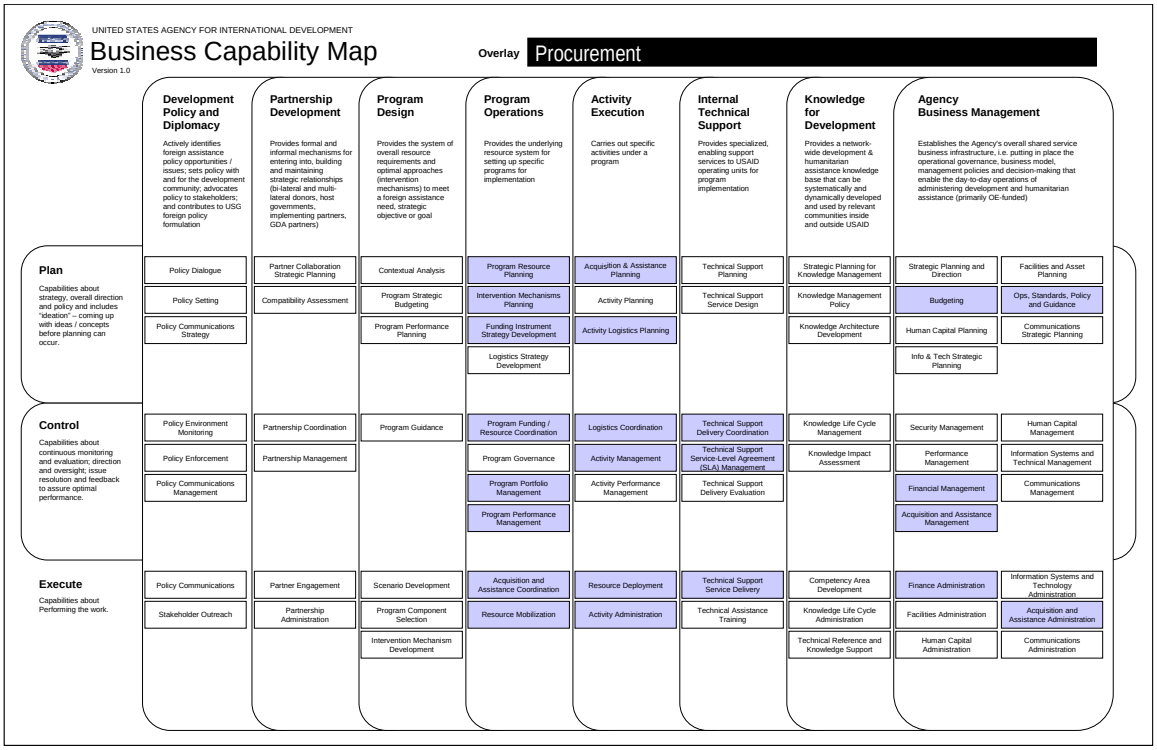


Figure 8: Procurement Functional Group

4.3.2.2 Performance Based Budgeting

The Performance Based Budgeting functions are those involved in the planning for, establishing, and managing predetermined funds to predetermined targets. Fundamentally it is combining budgeting and strategic planning across the Agency in order to establish a standardized, measurable, and manageable infrastructure.

Figure 9 depicts the set of capabilities that are necessary to perform the performance-based budgeting function, based upon budgeting function references in the ADS and interviews and discussion with Agency and management.

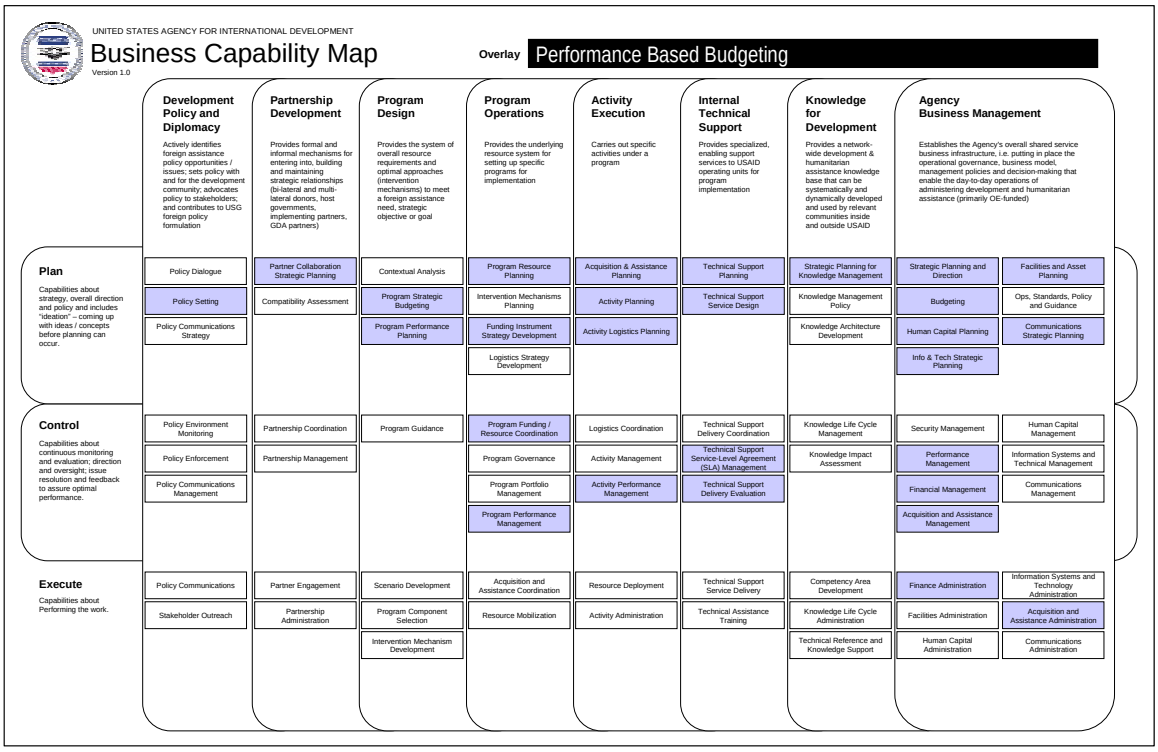


Figure 9: Performance Based Budgeting Functional Group

Performance-Based Budgeting capabilities occur almost exclusively at the Plan and Control management levels, but are spread across the entire spectrum of Agency services. This underscores the strategic importance of this function and its integrative role in linking strategy, programming, budgeting, and reporting.

Performance accountability is essential to successful Agency operations and rigorous reporting to USAID overseers, given the emphasis placed on it by the Government Performance and Results Act (GPRA), the President's Management Agenda and the Program Assessment Rating Tool (PART) process. Inconsistent performance measures and performance management procedures, including irregular results reporting, have handicapped USAID's ability to assess its performance by budget allocation linked to the joint Department of State-USAID strategic objectives. USAID has begun to address these challenges with a new strategic budgeting model and annual report procedures, and has "gotten to green" for progress on the PMA scorecard. However, the current non-integrated budgeting and

performance management processes and systems generate excess, and often conflicting, information and make the alignment of program performance with budget dollars all but impossible.

4.3.2.3 Business Decision Support

The BDS functions are those involved with capturing, organizing, and reporting business management information. This includes information needed for the business (as opposed to technical, or development sector side) of activity, program, and Agency-wide management. Business management information includes financials, acquisition and assistance information, and performance management information that managers and executives need to make operational and strategic decisions.

Figure 10 depicts the set of capabilities that are necessary to support business decision-making. These capabilities were defined based on interviews and discussion with Agency staff and management.

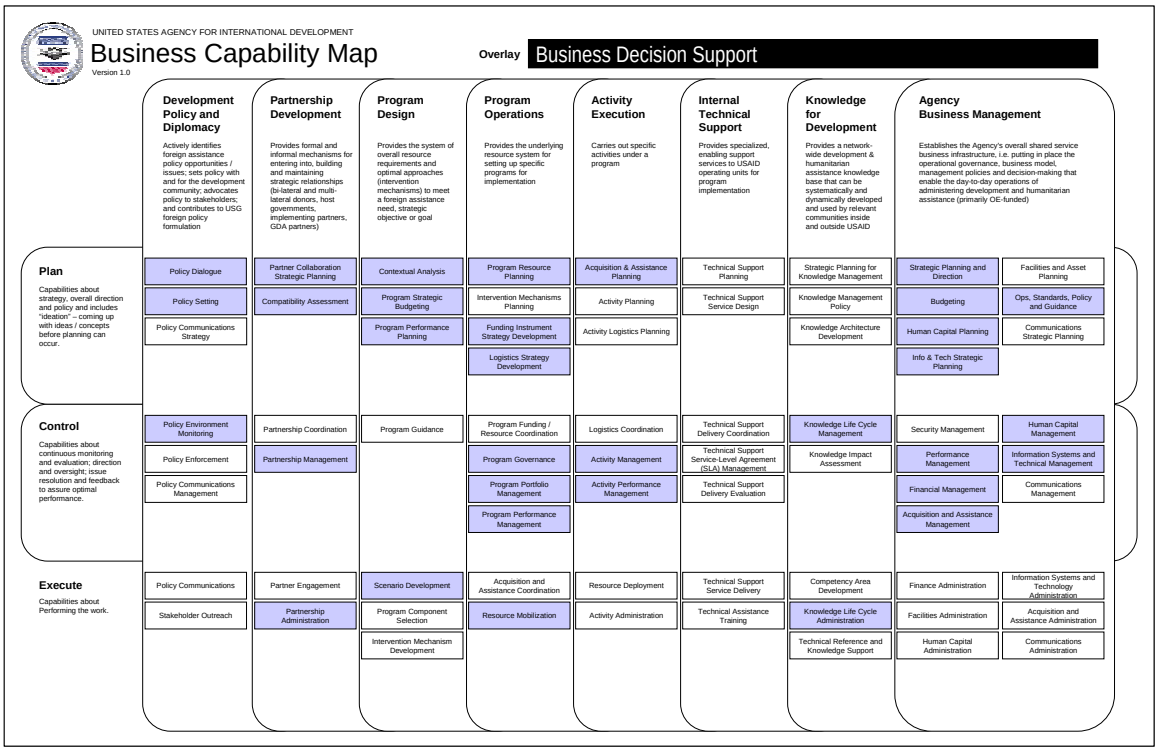


Figure 10: Business Decision Support Functional Group

Business Decision Support's strategic importance is clear on the graphic: It supports activities across the entire spectrum of USAID's business capabilities.

USAID's operating environment requires a vigilant and detail-oriented management approach. Performance monitoring, management and reporting are critical to development impact and stakeholder satisfaction. Agency funding shortfalls combined with changing mandates and humanitarian emergencies demand managerial flexibility. USAID's on-going organizational alignment with the Department of State creates additional challenges to timely management decision making, operational processes and the alignment of technology. These factors, and many more, require that Agency managers make crucial, far-reaching business decisions often and with little lead time.

These decisions must be supported by the right information, at the right time, in the right format. USAID has begun to address these needs, and staff responses on the 2004 Administrator's Survey point to perceived improvements. However, USAID must invest in business decision support if it is to attain and then sustain the level of management excellence its technical expertise demands.

4.3.2.4 Technical Decision Support

The TDS functions are those involved with getting the right technical knowledge to the right people at the right time in order to support Agency programs and field operations. TDS involves the capture, development, and dissemination of knowledge to support development and humanitarian assistance efforts across the entire USAID infrastructure and its implementing partners.

Figure 11 depicts the set of capabilities that are necessary to support technical decision making and program design. These capabilities were defined based on references in the ADS and interviews and discussion with program staff and management.

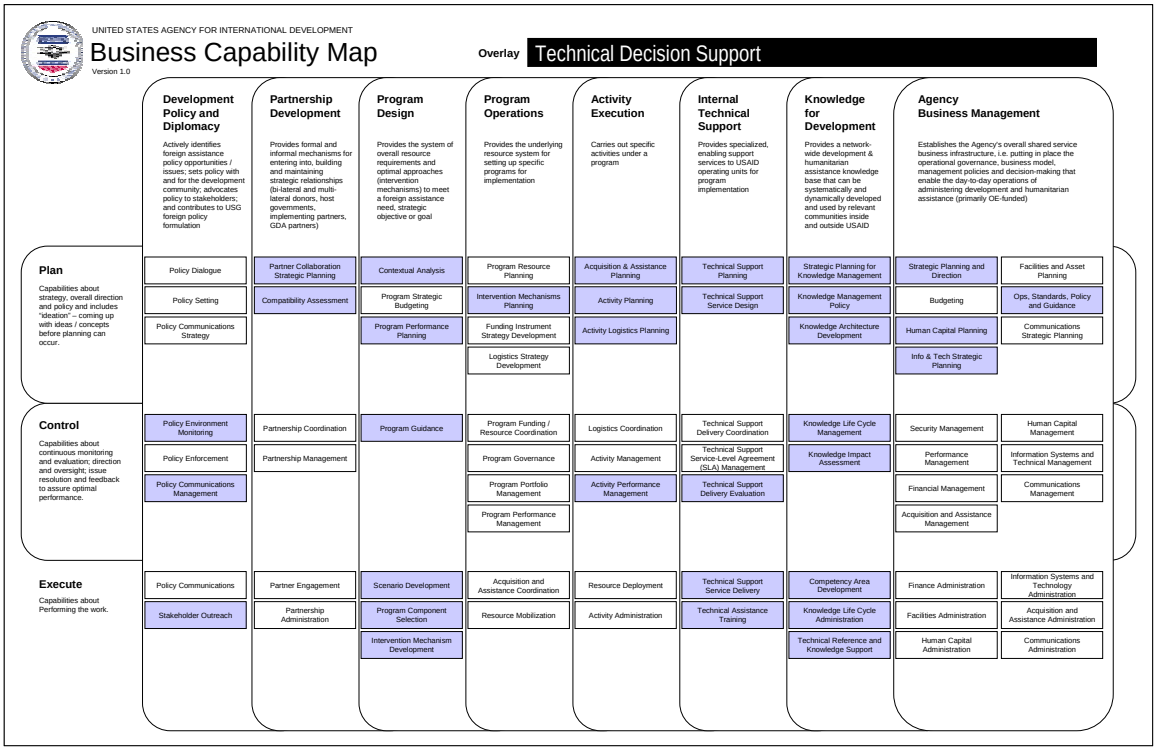


Figure 11: Technical Decision Support Functional Group

The all-encompassing nature, and strategic importance, of Technical Decision Support is evident across the graphic above. Technical Decision Support is essential to USAID's entire range of business capabilities. Decades of international development, transition, and emergency programs have generated experience, knowledge, and empirical data about "what works" and why. Agency staff and partners need to apply this knowledge daily at headquarters and the field, from the Halls of Congress to the refugee camps of Darfur. From best practices in microenterprise development, to essential interventions for child survival, to benchmarking institutional reform and managing large-scale disaster relief programs,

USAID development professionals and their partners have generated a body of knowledge that must be accessible across the enterprise for effective technical decision-making.

Today, many of the Agency's development professionals, in fact, the majority of the Agency's knowledge workforce, are rapidly approaching retirement. Literally thousands of years of accumulated knowledge and expertise will leave with them. To harness this tacit knowledge, as well as pertinent development information outside USAID, the Agency must implement formal processes and a comprehensive organizational and technical infrastructure to collect, manage and disseminate development knowledge, ideas and information. While the Knowledge for Development initiative has made impressive strides in this regard, investment should be expanded to support the full range of capabilities found within the Technical Decision Support functional group.

4.3.2.5 Global Outreach

The Global Outreach functions are those that support the understanding of USAID's services, accomplishments, and benefits by its partners, other USG agencies, and the global community. Fundamentally it is these functions that promote USAID's story being effectively communicated, and then better understood by the widest range of individuals and organizations possible.

Figure 12 depicts the set of capabilities that are necessary to effectively "tell the USAID story." These capabilities were defined based on interviews and discussion with Agency staff and management.

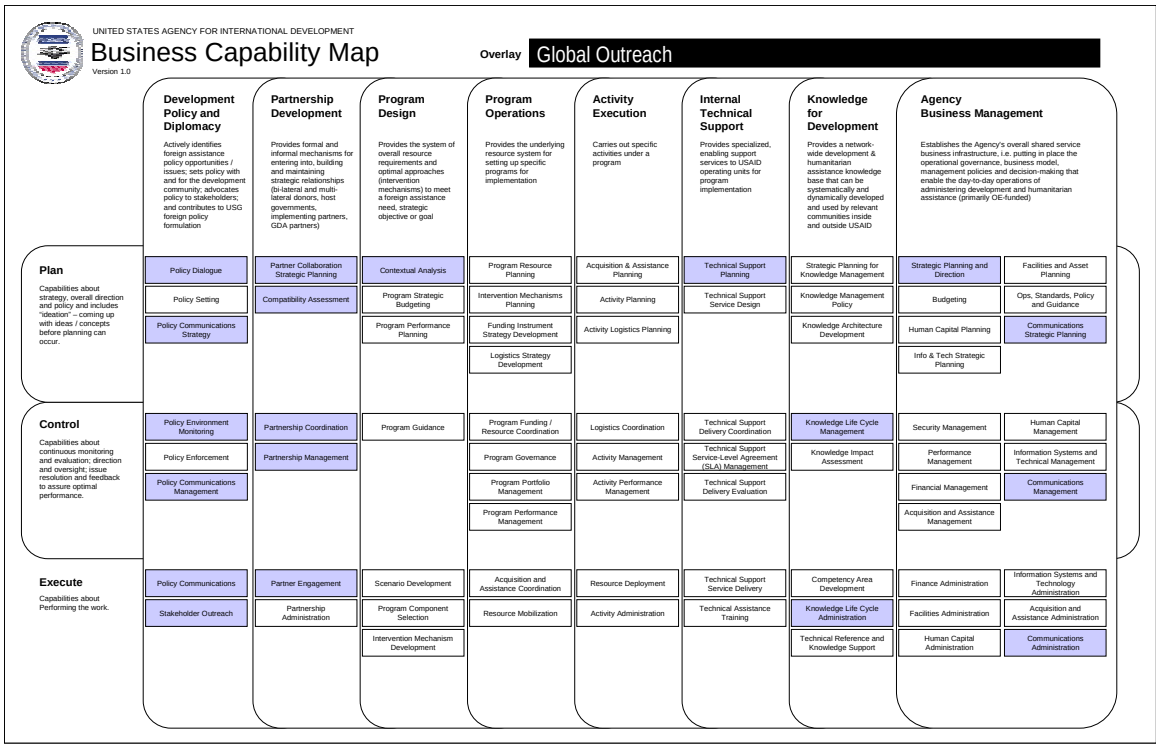


Figure 12: Global Outreach Functional Group

In the private sector, various aspects of Global Outreach are referred to as public relations, marketing or branding. Successful organizations execute highly developed and sophisticated outreach programs. They recognize that market recognition and acceptance is the lifeblood of their success. USAID's "market" is made up of stakeholder groups ranging from other USG entities, to the Congress, the White House, US citizens, development partners, other governments, and citizens of the countries where USAID works. Informing these stakeholders about USAID's work on behalf of the American people is essential to the survival of USAID. Lack of public awareness of USAID's accomplishments and value restricts funding flows and prevents effective reuse of established relationships and goodwill in achieving USAID's, and the U.S. Government's, worldwide development objectives. While the Agency has increased its focus on Global Outreach, e.g., through training of Mission-based Development Outreach and Communications Officers, the USAID branding initiative, redesign of www.USAID.gov including "Telling our Story," improvements in the Front Lines newsletter, and increased collaboration with US Embassies, more needs to be done. USAID needs to develop and implement comprehensive outreach strategy supported by adequate investments and staff trained to tell the Agency's story.

5. Mapping USAID to the OMB FEA Reference Models

The Federal Enterprise Architecture (FEA) reference models establish a common framework for business and technical analysis. This framework is used to promote the alignment of business drivers and technologies in support of the business mission. Once established, this framework can be used for on going business and technical alignment and inter and intra organizational collaboration. This section presents USAID's FEA Business Reference Model (BRM), the FEA Performance Reference Model (PRM), the FEA Service Component Reference Model (SRM), and the FEA Technical Reference Model (TRM). The FEA Data Reference Model (DRM) was not mapped during this effort.

The Agency Business Capability Model (BCM) presented in section 4, above, plays a central role in the development of the USAID FEA reference models. The BCM is a functional map of USAID's business operations that has specific meaning to the Agency's program and business management leadership. The capabilities presented in the Agency BCM are the focal points for mapping the FEA reference models. By definition each capability contains the various elements of the FEA reference models. Through using the USAID BCM as the central mapping point the linkage between the FEA reference models and USAID business operations is clearly established. Thus the FEA reference models are clearly placed within the USAID context. This leads to greater understanding of the reference models within USAID, and a more in depth alignment of its operations to the FEA reference models.

5.1 USAID FEA Business Reference Model (BRM)

The Department of State and USAID developed a joint As-Is FEA Business Reference Model (BRM). The joint BRM mapping is presented in Figure 7. The BRM sub-functions are coded with three distinct colors – yellow, blue, and green. The colors represent whether the BRM Sub-Functions are aligned to: (1) only the USAID – coded "**yellow**", (2) only Department of State – coded "**blue**" or (3) both USAID and Department of State – coded "**green**." If a sub-function isn't performed by either organization it is not represented on this model.

Several observations can be made of this FEA BRM Alignment. First, very few sub-functions appear to be solely executed by USAID. Only seven of the sub-functions are executed only by USAID and not performed by Department of State. Second, a moderate number of sub-functions are executed solely by Department of State. Eighteen sub-functions, which are not performed by USAID, are executed only by the Department of State. Third, a majority of the sub-functions (59) are performed by both the USAID and the Department of State.

Figure 13: Joint State-USAID Business Reference Model

The As-Is FEA BRM assessment presented above occurred prior to the development of the USAID BCM. The BCM presents a much more detailed view of the Agency's business model allowing a closer alignment to the FEA BRM sub-functions. It should be used to update the FEA BRM alignment. This updated alignment is discussed in Section 7.14, FEA BRM Recommendations.

5.2 USAID FEA Performance Reference Model (PRM)

5.2.1 Measurement and Critical Success Factor Development Methodology

Formerly submitted Agency Exhibit 300s, aligned with the five USAID capability Functional Groups, informed the development of the Performance Reference Model (PRM) and Operationalized Performance Measurement Indicators (Appendix 12) required by the Office of Management and Budget (OMB). The EA team examined additional documents such as the Agency's Human Capital Strategy and the FY 2004 Performance and Accountability Report for additional metrics.

In order to minimize the management burden on Agency staff, the EA team sought to leverage existing indicators for which data were already being collected. In areas where we were not aware of pre-existing indicators, we sought to develop new metrics that would not only adhere to OMB requirements, but also help drive change in USAID operations. In still other cases where we knew data were being collected (e.g., the number of private voluntary organizations that register with USAID), we developed a new indicator to leverage pre-existing information and reporting procedures.

This process generated a baseline of Performance Measurement Indicators that we inserted into a hybrid PRM construct that included the OMB required Measurement Area, Measurement Category, Measurement Indicator, and Operationalized Measurement Indicator, as well as Capability Business Modeling Management Levels, Value Added Service Lines, and Capabilities. This approach wedded the Federal Enterprise Architecture (FEA) Performance Reference Model- required areas with standard BCM constructs to create an integrated artifact. The PRM, divided by the Five Functional Groups, provides measurement indicators for capabilities within a given Functional Group at the intersection point between capability Management Level and Value Added Services.

Measurement Indicators, essential to the completion of the Performance Reference Model and required by OMB, are not commonly used at an organization-wide level. Rather, these indicators are correctly more specific to a particular subset of capabilities within a Functional Group. Thus, the need arises for a more expansive and pragmatic management measurement tool. Critical Success Factors (CSFs) provide a broader and more effective device for an organization to review the impact and efficacy of its strategy and processes.

The set of critical success factors provided below affords USAID with a manageable set of criteria for concentrating USAID resources and energies to produce desired outcomes. The critical success factors are organized by the five USAID Functional Groups and are then cross walked to respective Value Added Service Lines (Appendix 7). IBM developed these CSFs from several sources, foremost of which was the PRM Operationalized Measurement Indicators, the FY 2004 Performance and Accountability Report, USAID Exhibit 300s, the 2004 Knowledge for Development Strategy Report, and subject matter expertise.

The following section provides a discussion and definition of CSFs associated with each of the five Functional Groups. A detailed mapping of the capabilities found in each Functional Group to the respective Functional Group CSFs is also included.

5.2.2 Critical Success Factors by Functional Group

Functional Group: Procurement (PRO). USAID depends upon well-managed acquisition and assistance services to engage partners in implementing most USAID programs. As a USAID Program Officer noted in one of the Enterprise Architecture consultations facilitated by IBM, "We're a procurement agency; it's an essential function. But why does it take so long, and have so many unnecessary requirements?"

A&A is the service area in which the Agency's strategic foci, technical programs and business transactions converge. It is regulated by a system of rules and regulations that are imperfectly understood across the Agency, yet because millions of dollars are at stake A&A services are subject to intense scrutiny and, often, protest. Differing acquisition and assistance skills among USAID staff, inconsistencies in the way the same rules and policies are applied in different Operating Units, a continuing shortage of Contracting and Agreement Officers Agency-wide, and the need to integrate and automate A&A functions with budgeting and performance management all drive a need for improved A&A services across the Agency. These drivers, in turn, will require USAID to address the following critical success factors:

- Adequate staffing in the Office of Acquisition and Assistance at headquarters and sufficient contracting/agreement officer presence at field missions and regional hubs
- Performance-based contract and results-based assistance management
- Integrated A&A and Financial systems
- Agency-wide use of the Phoenix Financial System
- Use of internal Technical Support Service Level Agreements (SLAs)
- Training and certification in A&A and CTO skills

Functional Group: Performance Based Budgeting (PBB). In 2002, the PMA listed among its long-term results, "Standard, integrated budgeting, performance, and accounting information systems at the program level that would provide timely feedback for management and could be uploaded and consolidated at the agency and government levels." Performance based budgeting drives budget allocation beyond anecdotal evidence and introduces a rigorous, quantitative approach to budgeting. USAID is in the process of elaborating a strategic budgeting model that uses allocation variables to conduct statistical budgetary analysis, which will help inform and defend budgeting decisions linked to performance. Over time, performance based budgeting will need to align with performance based acquisition and assistance procedures. Accordingly, the critical success factors for PBB in the Agency are:

- PBB acceptance and use as a decision-making tool by all Bureaus
- Based on a repeatable and standardized model that is supported by empirical data
- Informs budget allocations between and within regions and sectors

Functional Group: Business Decision Support (BDS). USAID decision-makers function in a challenging operating environment: They are often located thousands of miles from the personnel, programs, and operations about which they must make decisions; these decision-makers, their supervisors, or key members of their staff frequently rotate posts; IT training and knowledge management support is insufficient to decision-makers' needs; and as noted above, it is difficult for managers to access and aggregate important information. As USAID continues to provide both sustainable development services and a growing portfolio of post-conflict reconstruction and programming in fragile or failing states, the need for timely business decision support will increase. In this context, and due to the accelerated timeframes required for key management functions in strategic budgeting, program planning, financial management, strategic management of human capital, and results reporting, USAID faces a growing need for business decision support. Critical success factors in this Functional Group include:

- Accuracy, timeliness, and appropriateness of information available to decision makers
- Appropriate level of analysis; actionable findings
- High level of analysis impact (answers multiple questions)
- Acceleration of report development time
- High degree of executive satisfaction with service and information quality level

Functional Group: Technical Decision Support (TDS). USAID staff make technical decisions in program environments as diverse as refugee camps, national assemblies, rural health clinics, Washington bureau offices, and remote agricultural extension offices. No matter the venue or technical sector, Agency decision-makers share similar frustrations in trying to access useful, timely information: much of the information and program data needed to support decision-making reside in disparate files, are maintained in ad hoc systems, and are held as tacit knowledge by busy staff. As a result, the Agency faces the following types of obstacles to effective information management:

- Uneven use of collaboration tools to support Agency-wide information access
- Orphan data and fragmented systems, e.g., with data residing in different personal archives, e-mails, or hard copy files
- Inefficient understanding and use of technology, including over-dependence on e-mail, and individual files, or on systems in which key data are not search-engine accessible
- Vulnerability to the "missing person" syndrome when key information-owners are sick, on TDY, or leave the Operating Unit
- Insufficient capture of tacit knowledge, such as meeting-based knowledge, where there are unclear or few records about agreements reached, decisions made or the rationale for these decisions; and poor corporate retention of lessons learned
- Absence of norms for use of existing technology, such as rules governing electronic filing, or how/when to disseminate documents

Addressing these challenges will require USAID investment in three key areas: technical infrastructure, staff incentives, and training and skill development in knowledge management. Critical success factors for technical decision support include USAID's need to:

- Leverage existing skills and information in program planning and implementation across the Agency
- Codify and implement knowledge harvest policies and procedures
- Construct a knowledge capture and delivery system available to all Operating Units
- Promote awareness and Agency-wide use of existing knowledge capture and delivery systems
- Develop and publicize personnel incentives for knowledge sharing and knowledge management
- Develop Communities of Practice to create and disseminate knowledge and facilitate/reward staff participation in these CoPs.

Functional Group: Global Outreach (GLO) –To ensure its continued existence, USAID needs to improve its outreach to key stakeholders, such as its overseers (OMB, Congress, and the Administration), key policy makers at other USG agencies, U.S. and local media, targeted audiences within the US public (business, academia, USAID implementers and supporters), fellow donors, and other governments and in-country stakeholders. Upon identifying and examining these target audiences, USAID will need to develop more appropriate and systematic approaches to communicating with each group. In the process, USAID will need to enlist its own staff, the organizations and governments that receive USAID funding, and key interlocutors on Capitol Hill. Historically, certain Congressional staff have sought to prohibit or constrain USAID investments in outreach, notwithstanding the fact that every USG agency conducts outreach to inform taxpayers of their programs. Further, many USAID implementing partners fail to acknowledge USAID support when they are interviewed in the press or when communicating with their donors, members, or other constituents. Equally significant, USAID staff are inconsistent in their outreach on behalf of the Agency. In this challenging context, critical success factors for USAID global outreach include:

- Adherence to global Agency branding guidance
- Audience segmentation and appropriate message development and delivery for these audiences
- Trained Public Information Officers
- Operating Unit stakeholder meetings
- Effective donor consultation coordinated across headquarters and the field
- Increased USAID brand awareness among stakeholders

5.3 USAID Service Component Reference Model (SRM)

This section presents an FEA SRM alignment for USAID. This SRM alignment builds on the Agency's Business Capability Model (BCM). An enterprise level SRM is presented in appendix 10, presenting the detailed alignment of how the BCM capabilities align to the SRM Service Types and Components. To provide added contextual value a discussion of the SRM in terms of the five functional groups is presented below.

The five individual Functional Groups are comprised of capabilities which were mapped to the FEA SRM. A capability can appear in one or more of the functional groups. Although, the capability can appear in

one or more functional groups, the capabilities mapping to the FEA SRM does not alter. This creates a unique mix of SRM Service Types and Components supporting each functional group.

Functional Group: Procurement (PRO). As illustrated in section 4.4, twenty-three (23) capabilities map to the Procurement functional group. The table below presents the Procurement functional group mapping to the FEA SRM Service Types and Components.

Table 4: Procurement SRM Mapping

Customer Services		
Customer Relationship Management	**Customer Preferences**	**Customer Initiated Assistance**
Customer/Account Management Partner Relationship Management		
Process Automation Services		
Tracking and Workflow		**Routing and Automation**
		Inbound Correspondence Management Outbound Correspondence Management
Business Management Services		
Management of Process	**Organizational Management**	**Investment Management**
Requirements Management Program/Project Management Governance/Policy Management Quality Management Business Rule Management Risk Management	Workgroup/Groupware Network Management	Strategic Planning & Management Portfolio Management Performance Management Budgeting (*)
Supply Chain Management		
Procurement Sourcing Management Catalog Management Ordering/Purchasing Invoice/Requisition Tracking and Approval		
Digital Assets Management Services		
Content Management		**Document Management**
Knowledge Management		**Records Management**
Information Retrieval Knowledge Distribution and Delivery		
Business Analytic Services		
Analysis and Statistics		**Visualization**
Modeling Predictive		
Business Intelligence		**Reporting**
Balanced Scorecard Decision Support and Planning		Ad Hoc Standardized/Canned OLAP

Back Office Services		
Data Management	**Human Resources**	**Financial Management**
Extraction and Transformation	Recruiting Time Reporting Education/Training Travel Management	Billing and Accounting Credit/Charge Expense Management Payroll Payment/Settlement Debt Collection Revenue Management Auditing Activity – Based Management Currency Translation Financial Reporting
Assets/Material Management	**Development and Integration**	**Human Capital/Workforce Management**
Property/Asset Management Asset Cataloging/Identification Asset Transfer, Allocation, and Maintenance Facilities Management		Resource Planning and Allocation Skills Management Workforce Directory/Locator Team/Organization Management Contingent Workforce Management Resource Planning and Allocation Workforce Acquisition/Optimization
Support Services		
Security Management	**Collaboration**	**Search**
Communication	**Systems Management**	**Forms Management**

The Procurement Functional Group is primarily dependent on the service components attached to the following Service Types: Management of Process, Supply Chain Management, Financial Management, Investment Management, Asset/Material Management, and Human Capital/Workforce Management.

Functional Group: Performance Based Budgeting (PBB). As illustrated in section 4.4, twenty -eight (28) capabilities map to the Performance Based Budgeting functional group. The table below presents the Performance Based Budgeting functional group mapping to the FEA SRM Service Types and Components.

Table 5: Performance Based Budgeting SRM Mapping

Customer Services		
Customer Relationship Management	**Customer Preferences**	**Customer Initiated Assistance**
Sales and Marketing Product Management Brand Management Customer/Account Management Contact Management Partner Relationship Management Customer Feedback Surveys	Profile Management	Multi-Lingual Support Assistance Request
Process Automation Services		
Tracking and Workflow		**Routing and Automation**
Business Management Services		
Management of Process	**Organizational Management**	**Investment Management**
Requirements Management Program/Project Management Governance/Policy Management Quality Management Business Rule Management	Workgroup/Groupware Network Management	Strategic Planning & Management Portfolio Management Performance Management
Supply Chain Management		
Procurement Sourcing Management Ordering/Purchasing		
Digital Assets Management Services		
Content Management		**Document Management**
		Document Imaging and OCR Document Review and Approval
Knowledge Management		**Records Management**
Information Retrieval Information Sharing Knowledge Engineering Knowledge Capture Knowledge Distribution and Delivery		
Business Analytic Services		
Analysis and Statistics		**Visualization**
Modeling Predictive		
Business Intelligence		**Reporting**
Demand Forecasting/Management Balanced Scorecard Decision Support and Planning Data Mining		Ad Hoc Standardized/Canned OLAP

Back Office Services		
Data Management	**Human Resources**	**Financial Management**
Data Exchange Data Mart Data Warehouse Extraction and Transformation Loading and Archiving	Personnel Administration Travel Management	Billing and Accounting Credit/Charge Expense Management Payroll Payment/Settlement Debt Collection Revenue Management Auditing Activity – Based Management Currency Translation Financial Reporting
Assets/Material Management	**Development and Integration**	**Human Capital/Workforce Management**
Property/Asset Management Asset Transfer, Allocation, and Maintenance		Resource Planning and Allocation Workforce Directory/Locator Team/Organization Management Contingent Workforce Management Resource Planning and Allocation Workforce Acquisition/Optimization
Support Services		
Security Management	**Collaboration**	**Search**
Communication	**Systems Management**	**Forms Management**
Real Time/Chat Instant Messaging Audio Conferencing Video Conferencing Events/News Management Community Management		

The Performance Based Budgeting Functional Group is primarily dependent on the service components attached to the following Service Types: Customer Relationship Management, Management of Process, Investment Management, Business Intelligence, Financial Management, Human Capital/Workforce Management, and Communication.

Functional Group: Business Decision Support (BDS). As illustrated in section 4.4, thirty-three (33) capabilities map to the Business Decision Support functional group. The table below presents the Business Decision Support functional group mapping to the FEA SRM Service Types and Components.

Table 6: Business Decision Support SRM Mapping

Customer Services		
Customer Relationship Management	**Customer Preferences**	**Customer Initiated Assistance**
Customer Analytics Sales and Marketing Brand Management Customer/Account Management Contact Management Partner Relationship Management Customer Feedback Surveys	Subscriptions Alerts and Notifications Profile Management	Self-Service Reservations/Registration Multi-Lingual Support Assistance Request
Process Automation Services		
Tracking and Workflow		**Routing and Automation**
		Inbound Correspondence Management Outbound Correspondence Management
Business Management Services		
Management of Process	**Organizational Management**	**Investment Management**
Requirements Management Program/Project Management Governance/Policy Management Quality Management Business Rule Management Risk Management		Strategic Planning & Management Portfolio Management Performance Management
Supply Chain Management		
Procurement Sourcing Management Catalog Management Ordering/Purchasing		
Digital Assets Management Services		
Content Management		**Document Management**
Content Authoring Content Publishing and Delivery		Document Imaging and OCR Document Referencing Document Revisions Library/Storage Document Review and Approval Document Conversion Indexing Classification
Knowledge Management		**Records Management**
Information Retrieval Information Mapping/Taxonomy Information Sharing Knowledge Engineering Knowledge Capture Knowledge Discovery Knowledge Distribution and Delivery		Record Linking/Association Document Classification Document Retirement Digital Rights Management

Business Analytic Services		
Analysis and Statistics		Visualization
Modeling Predictive Simulation		
Business Intelligence		Reporting
Demand Forecasting/Management Balanced Scorecard Decision Support and Planning Data Mining		Ad Hoc Standardized/Canned OLAP
Back Office Services		
Data Management	Human Resources	Financial Management
Data Exchange Data Mart Data Warehouse Meta Data Management Loading and Archiving Data Classification	Awards Management Benefit Management Retirement Management Personnel Administration	Billing and Accounting Credit/Charge Expense Management Payroll Payment/Settlement Debt Collection Revenue Management Auditing Activity – Based Management Currency Translation
Assets/Material Management	Development and Integration	Human Capital/Workforce Management
Asset Transfer, Allocation, and Maintenance Computers/Automation Management	Legacy Integration Enterprise Application Integration Data Integration Instrumentation and Testing Software Development	Resource Planning and Allocation Skills Management Workforce Directory/Locator Team/Organization Management Resource Planning and Allocation
Support Services		
Security Management	Collaboration	Search
Identification and Authentication Encryption Verification Digital Signature User Management Role/Privilege Management Audit Trail Capture and Analysis	Document Library Task Management	
Communication	Systems Management	Forms Management
Real Time/Chat Instant Messaging Audio Conferencing Video Conferencing Events/News Management Community Management Computer/Telephony Integration	License Management Remote Systems Control System Resource Monitoring Software Distribution	Forms Creation Forms Modification

The Business Decision Support Functional Group is primarily dependent on the service components attached to the following Service Types: Customer Relationship Management, Management of Process, Investment Management, Document Management, Knowledge Management, Business Intelligence, Development and Integration, Financial Management, Security Management, and Communication.

Functional Group: Technical Decision Support. As illustrated in section 4.4, thirty-three (33) capabilities map to the Technical Decision Support functional group. The table below presents the Technical Decision Support functional group mapping to the FEA SRM Service Types and Components.

Table 7: Technical Decision Support SRM Mapping

Customer Services		
Customer Relationship Management	**Customer Preferences**	**Customer Initiated Assistance**
Customer Analytics Product Management Brand Management Customer/Account Management Contact Management Partner Relationship Management Customer Feedback Surveys	Personalization Subscriptions Alerts and Notifications Profile Management	Online Help Self-Service Reservations/Registration Assistance Request Scheduling
Process Automation Services		
Tracking and Workflow		**Routing and Automation**
		Inbound Correspondence Management Outbound Correspondence Management
Business Management Services		
Management of Process	**Organizational Management**	**Investment Management**
Change Management Requirements Management Program/Project Management Governance/Policy Management Quality Management Business Rule Management Risk Management		Strategic Planning & Management Portfolio Management Performance Management
Supply Chain Management		
Digital Assets Management Services		
Content Management		**Document Management**
		Document Imaging and OCR Document Referencing Document Revisions Library/Storage Document Review and Approval Document Conversion Indexing Classification
Knowledge Management		**Records Management**
Information Retrieval Information Sharing Categorization Knowledge Engineering Knowledge Capture Knowledge Discovery Knowledge Distribution and Delivery		Record Linking/Association Document Classification Document Retirement Digital Rights Management

Business Analytic Services		
Analysis and Statistics		**Visualization**
Modeling Predictive Simulation Mathematical		
Business Intelligence		**Reporting**
Demand Forecasting/Management Balanced Scorecard Decision Support and Planning Data Mining		Ad Hoc Standardized/Canned OLAP
Back Office Services		
Data Management	**Human Resources**	**Financial Management**
Data Exchange Data Mart Data Warehouse Meta Data Management Extraction and Transformation Loading and Archiving Data Classification	Personnel Administration Education/Training Travel Management	Billing and Accounting Expense Management Payment/Settlement Auditing Activity – Based Management Financial Reporting
Assets/Material Management	**Development and Integration**	**Human Capital/Workforce Management**
Property/Asset Management Asset Cataloging/Identification Asset Transfer, Allocation, and Maintenance Facilities Management		Resource Planning and Allocation Workforce Directory/Locator Team/Organization Management Contingent Workforce Management Resource Planning and Allocation Workforce Acquisition/Optimization
Support Services		
Security Management	**Collaboration**	**Search**
Identification and Authentication Access Control Encryption Verification Role/Privilege Management Audit Trail Capture and Analysis	Email	
Communication	**Systems Management**	**Forms Management**
Real Time/Chat Instant Messaging Audio Conferencing Video Conferencing Events/News Management Community Management	License Management Remote Systems Control System Resource Monitoring Software Distribution	Forms Creation Forms Modification

The Technical Decision Support Functional Group is primarily dependent on the service components attached to the following Service Types: Customer Relationship Management, Customer Initiated Assistance, Management of Process, Document Management, Knowledge Management, Records Management, Data Management, Human Capital/Workforce Management, Security Management, Communication, Systems Management, and Forms Management.

Functional Group: Global Outreach. As illustrated in section 4.4, nineteen (19) capabilities map to the Global Outreach functional group. The table below presents the Global Outreach functional group mapping the to FEA SRM Service Types and Components.

Table 8: Global Outreach SRM Mapping

Customer Services		
Customer Relationship Management	**Customer Preferences**	**Customer Initiated Assistance**
Customer Analytics Brand Management Customer/Account Management Contact Management Customer Feedback Surveys	Profile Management	Online Help Online Tutorials Self-Service Multi-Lingual Support Assistance Request Scheduling
Process Automation Services		
Tracking and Workflow		**Routing and Automation**
		Inbound Correspondence Management Outbound Correspondence Management
Business Management Services		
Management of Process	**Organizational Management**	**Investment Management**
Change Management Configuration Management Requirements Management Program/Project Management Governance/Policy Management Quality Management Business Rule Management Risk Management	Workgroup/Groupware Network Management	Strategic Planning & Management Portfolio Management Performance Management
Supply Chain Management		
Digital Assets Management Services		
Content Management		**Document Management**
Content Review and Approval		Document Imaging and OCR Document Referencing Document Revisions Library/Storage Document Review and Approval Document Conversion Indexing Classification
Knowledge Management		**Records Management**
Information Retrieval Information Mapping/Taxonomy Information Sharing Knowledge Engineering Knowledge Capture Knowledge Discovery Knowledge Distribution and Delivery		Record Linking/Association Document Classification Document Retirement Digital Rights Management

Business Analytic Services		
Analysis and Statistics		**Visualization**
Business Intelligence		**Reporting**
Demand Forecasting/Management Balanced Scorecard Decision Support and Planning Data Mining		Ad Hoc Standardized/Canned OLAP
Back Office Services		
Data Management	**Human Resources**	**Financial Management**
Data Exchange Education/Training Data Mart Data Warehouse Meta Data Management Loading and Archiving Data Classification		Billing and Accounting Expense Management Payment/Settlement Auditing Activity – Based Management Financial Reporting
Assets/Material Management	**Development and Integration**	**Human Capital/Workforce Management**
Property/Asset Management Asset Cataloging/Identification Asset Transfer, Allocation, and Maintenance Facilities Management		Skills Management
Support Services		
Security Management	**Collaboration**	**Search**
Identification and Authentication Encryption Verification Role/Privilege Management	Email Document Library Shared Calendaring	
Communication	**Systems Management**	**Forms Management**
Audio Conferencing Video Conferencing Events/News Management Community Management Computer/Telephony Integration		

The Global Outreach Functional Group is primarily dependent on the service components attached to the following Service Types: Customer Relationship, Customer Initiated Assistance, Management of Process, Document Management, Knowledge Management, Data Management, Security Management, and Communication.

SRM Alignment Findings

- The five Functional Groups cover a relatively narrow cross section of USAID operations; however, several conclusions are revealed upon the completion of the SRM mapping. The service components aligned to the Customers Service, Financial Management, Knowledge Management, Human Capital Management and Financial Management Service Types are well represented. Thus, it is important to assess, if and how effectively the service components serve USAID operations and how the service components are being supported by the technical infrastructure.
- Various assessments on which service components are mapped against Functional Groups or particular capabilities can be easily queried in the USAID System Architecture Tool/Repository. The analysis can be conducted and reports can be generated to reveal the alignment of service components to the PRM, BRM, and TRM. Additionally, the USAID System Architecture Tool/Repository can generate and reveal information examining the alignment between the various FEA models and, USAID business motivations (i.e. USAID Business Drivers, USAID Wants, Needs and Expectations) and USAID's operating model (the Business Capability Map).

5.4 USAID FEA Technical Reference Model (TRM)

The TRM assessment provided is based on the SRM alignment for the five (5) functional groups: Procurement, Performance Based Budgeting, Business Decision Support, Technical Decision Support, and Global Outreach. The TRM assessment attempts to align the technology necessary to execute a given service component, which is invoked in support of a given business function. Assessment of the TRM will be conducted around the four (4) Service Areas: Service Access and Delivery, Service Platform and Infrastructure, Component Framework, and Service Interface and Integration.

USAID's technology infrastructure is aging and in need of significant investment in order to continue an adequate level of support. USAID's current technical infrastructure evolved in response to localized organizational needs or without a strong link to the Agency's enterprise wide strategy. Disparate and duplicative systems and application were developed to meet individual needs. Various technology deployment strategies guided system and infrastructure investment and development.

USAID's technical infrastructure has been overcome by new business, communication and technological needs. It relies heavily on inadequate and outdated technologies and strategies. USAID should advance is technical infrastructure in support of its business mission. USAID can meet this objective, by aligning its technical infrastructure in a complimentary fashion to its general business operating strategy, which is decentralized, flexible, and standards based.

Service Access and Delivery

USAID has a strong need to interact and engage with both internal and external stakeholders in an organized, secure, and efficient manner. Service Access and Delivery becomes a vital link for moving, directing, and receiving USAID information with and between stakeholders. The decentralized organization of USAID requires attention and coordination between both USAID internal and external stakeholders, in order to effectively address access, delivery and transport requirements and limitations.

The Procurement, Performance Based Budgeting, Business Decision Support, and Technical Decision Support functional groups require that concentrated attention be paid to authentication standards, VPN,

collaboration/communication tools and capabilities, and the enhancement of both internet, intranet functionality. These capabilities must deliver the necessary communication links and forum. The Global Outreach functional group requires that attention be dedicated to the collaboration/communication and the extranet functionality, in order to advance the capabilities necessary to support USAID's interaction with its external stakeholders in an organized, standardized, and expedited manner.

Service Platform and Infrastructure

Like most enterprises and organizations, USAID is dependent on the use of databases to support the storage, access, and maintenance of information. As an enterprise, USAID functions primarily in a decentralized manner, thus fostering an environment where redundant investment in databases is prevalent. The five functional groups heavily rely on the existence and maintenance of databases in order to effectively deliver against USAID operational requirements. The databases should be placed on platforms which permit the widest array of program languages to execute against the portfolio of databases, thus, the support platform standard should be platform independent. The characteristics of the Procurement, Performance Based Budgeting, Business Decision Support, and Technical Decision Support functional groups generally requires access to various databases, the aggregation of information, and the efficient/effective delivery of the information from those databases in order to execute effectively. Therefore, it is essential the platforms, servers, and hardware infrastructure are aligned in a manner to permit proper access and control of information in the least restricted construct.

The geographical dispersal of the USAID enterprise generally promotes the effective use and implementation of web servers and portals. The establishment of portals to direct, control, and centralize information around business functional areas begins to enforce some discipline and to suggest coordination on database management, server alignment, and hardware infrastructure consistency. Invoking an enterprise-wide video conferencing standard would aid in better connecting internal employees and USAID employees with its partners. Of course the decentralized nature of USAID and the need to aggregate/provide information across the enterprise, underscores the need for effective alignment, management and evolution of the WAN/LAN. Determining the proper level of investment in maintaining, enhancing and evolving the WAN/LAN is necessary. Investments in the Mission's LAN, server portfolio, and routers appear necessary. Larger investments in this area appear necessary to support the identified functional groups, particularly, and other business operations. Areas of particular interest include:

- Increased demand for video conferencing services or the improvement of existing video conferencing in support of Global Outreach.
- Emerging VoIP technology provides an opportunity to deliver effective and efficient telephony services across the Agency and to Agency partners. Exploration and eventual investment in this area appears rational.
- Wireless and Mobile Technologies are not generally viewed as essential for the five functional groups; however long-term consideration of the technologies in support of these functional groups should be factored into the IT strategy.
- Increased demand for information data flow and movement generates increased need for bandwidth. Expanding the current capacity and requirement levels appear inevitable.

Component Framework

Security is a primary concern of any enterprise, and USAID is not an exception to the norm. The policies, programs, and operations necessary to manage the security infrastructure should remain at the forefront of USAID operations. Access to databases, applications, portals, and on-line services/applications must be managed in alignment with security policies, guidelines and business requirements.

Reporting and Analysis standards are extremely important for the Business Decision Support, Performance Based Budgeting, and Procurement functional groups. The necessary access to, extraction of, and staging of information necessary to support decision support functions is vital for the effective implementation of what is essentially Executive Information Systems. The interplay of various systems and applications request the use of tools and languages which are open-based standards. USAID is tasked with developing a schema or program which coordinates, integrates, manages, and standardizes application distribution and usage across the enterprise. The coordination and management of a large application inventory must be rooted in a centralized approach that aligns to clearly conceived Agency-wide objectives.

Services Interface and Integration

Procurement, Performance Based Budgeting, and Business Decision Support functional groups require on-going, consistent connectivity, integration, and session/transaction management between numerous applications and systems not necessarily under one organization. The seamless interaction, communication, and sharing of information housed in various systems is necessary to adequately support the Business Decision Support, Technical Decision Support, and Performance Based Budget functional groups. The proper employment of middleware is essential to address the integration issues arising from linking disparate systems in response to meeting enterprise-wide objectives.

Required data sharing, data transporting, and data transaction management can be achieved when employing common file structures open-based standards.

TRM Service Categories and Standards

The following charts illustrate the Service Categories and Standards for each of the five functional groups. The Standards included in the charts represent only those that are applicable to the particular functional group named in the top row of the chart.

The Combined functional groups chart provides a consolidated view of the Service Categories and Standards for the five functional groups. It is important to note that this is not intended to represent a comprehensive TRM for the entire Agency. It considers only the Procurement, Performance Based Budgeting, Business Decision Support, Technical Decision Support and Global Outreach business areas. A notable omission is "Wireless/PDA Devices" which are in general use throughout the Agency but not necessarily in specific support of any of the functional groups discussed.

<table>
<tr><th colspan="4">PROCUREMENT (PRO)</th></tr>
<tr><th colspan="4">Service Access and Delivery</th></tr>
<tr><th>Access Channels</th><th>Delivery Channels</th><th>Service Requirements</th><th>Service Transport</th></tr>
<tr><td>Web Browser
Collaboration/Communication</td><td>Internet, Intranet
Extranet
Virtual Private Network (VPN)</td><td>Authentication/Single Sign-On</td><td>Transport</td></tr>
<tr><th colspan="4">Service Platforms and Infrastructure</th></tr>
<tr><th>Support Platforms</th><th colspan="2">Delivery Services</th><th>Hardware/Infrastructure</th></tr>
<tr><td>Platform Independent</td><td colspan="2">Web, Media
Application
Portal</td><td rowspan="3">WAN, LAN
Video Conferencing</td></tr>
<tr><th>Database/Storage</th><th colspan="2">Software Engineering</th></tr>
<tr><td>Database</td><td colspan="2"></td></tr>
<tr><th colspan="4">Component Framework</th></tr>
<tr><th>Security</th><th>Presentation/Interface</th><th>Business Logic</th><th>Data Management</th></tr>
<tr><td>Certificates/Digital Signatures
Supporting Security Services</td><td rowspan="3">Dynamic Server-Side Display
Content Rendering</td><td rowspan="3">Platform Independent</td><td rowspan="3"></td></tr>
<tr><th>Data Interchange</th></tr>
<tr><td>Data Exchange</td></tr>
<tr><th colspan="4">Service Interface and Integration</th></tr>
<tr><th>Integration</th><th colspan="2">Interoperability</th><th>Interface</th></tr>
<tr><td>Middleware
Transaction Processing</td><td colspan="2">Data Format/Classification
Data Types/Validation</td><td>Service Description/Interface</td></tr>
</table>

PERFORMANCE BASED BUDGETING (PBB)			
Service Access and Delivery			
Access Channels	**Delivery Channels**	**Service Requirements**	**Service Transport**
Web Browser Collaboration/Communication	Internet, Intranet Extranet Virtual Private Network (VPN)	Authentication/Single Sign-On	Transport
Service Platforms and Infrastructure			
Support Platforms	**Delivery Services**	**Hardware/Infrastructure**	
Platform Independent	Web, Media Application Portal	WAN, LAN Network Devices/Standards Video Conferencing	
Database/Storage	**Software Engineering**		
Database			
Component Framework			
Security	**Presentation/Interface**	**Business Logic**	**Data Management**
Certificates/Digital Signatures Supporting Security Services	Dynamic Server-Side Display Content Rendering	Platform Independent	Database Connectivity Reporting and Analysis
Data Interchange			
Data Exchange			
Service Interface and Integration			
Integration	**Interoperability**	**Interface**	
Middleware Transaction Processing	Data Format/Classification Data Types/Validation	Service Description/Interface	

<table>
<tr><th colspan="4">BUSINESS DECISION SUPPORT (BDS)</th></tr>
<tr><th colspan="4">Service Access and Delivery</th></tr>
<tr><th>Access Channels</th><th>Delivery Channels</th><th>Service Requirements</th><th>Service Transport</th></tr>
<tr><td>Web Browser
Collaboration/Communication</td><td>Internet, Intranet
Extranet
Virtual Private Network (VPN)</td><td>Authentication/Single Sign-On</td><td>Transport</td></tr>
<tr><th colspan="4">Service Platforms and Infrastructure</th></tr>
<tr><th colspan="2">Support Platforms</th><th colspan="2">Delivery Services</th></tr>
<tr><td colspan="2">Platform Independent</td><td colspan="2">Web, Media
Portal</td></tr>
<tr><th colspan="2">Database/Storage</th><th colspan="2">Software Engineering</th></tr>
<tr><td colspan="2">Database</td><td colspan="2"></td></tr>
<tr><th colspan="4">Component Framework</th></tr>
<tr><th>Security</th><th>Presentation/Interface</th><th>Business Logic</th><th>Data Management</th></tr>
<tr><td>Certificates/Digital Signatures
Supporting Security Services</td><td rowspan="2">Dynamic Server-Side Display
Content Rendering</td><td rowspan="2">Platform Independent</td><td rowspan="2"></td></tr>
<tr><th>Data Interchange</th></tr>
<tr><td>Data Exchange</td><td></td><td></td><td></td></tr>
<tr><th colspan="4">Service Interface and Integration</th></tr>
<tr><th colspan="2">Integration</th><th colspan="2">Interoperability</th></tr>
<tr><td colspan="2">Middleware</td><td colspan="2">Data Format/Classification
Data Types/Validation</td></tr>
<tr><th colspan="2">Interface</th><td colspan="2"></td></tr>
<tr><td colspan="2">Service Description/Interface</td><td colspan="2"></td></tr>
</table>

TECHNICAL DECISION SUPPORT (TDS)			
Service Access and Delivery			
Access Channels	**Delivery Channels**	**Service Requirements**	**Service Transport**
Web Browser Collaboration/Communication	Internet, Intranet Extranet Virtual Private Network (VPN)	Legislative/Compliance Authentication/Single Sign-On	Transport
Service Platforms and Infrastructure			
Support Platforms	**Delivery Services**	**Hardware/Infrastructure**	
Platform Independent	Web, Media Portal	WAN, LAN Network Devices/Standards Video Conferencing	
Database/Storage	**Software Engineering**		
Database			
Component Framework			
Security	**Presentation/Interface**	**Business Logic**	**Data Management**
Certificates/Digital Signatures Supporting Security Services	Dynamic Server-Side Display Content Rendering	Platform Independent	Database Connectivity Reporting and Analysis
Data Interchange			
Data Exchange			
Service Interface and Integration			
Integration	**Interoperability**	**Interface**	
Middleware	Data Format/Classification Data Types/Validation	Service Description/Interface	

<table>
<tr><th colspan="4">GLOBAL OUTREACH (GLO)</th></tr>
<tr><th colspan="4">Service Access and Delivery</th></tr>
<tr><th>Access Channels</th><th>Delivery Channels</th><th>Service Requirements</th><th>Service Transport</th></tr>
<tr><td>Web Browser
Collaboration/Communication</td><td>Internet, Intranet
Extranet
Virtual Private Network (VPN)</td><td></td><td>Transport</td></tr>
<tr><th colspan="4">Service Platforms and Infrastructure</th></tr>
<tr><th colspan="2">Support Platforms</th><th>Delivery Services</th><th>Hardware/Infrastructure</th></tr>
<tr><td colspan="2">Platform Independent</td><td>Web, Media
Portal</td><td rowspan="3">Servers/Computers
WAN, LAN
Network Devices/Standards
Video Conferencing</td></tr>
<tr><th colspan="2">Database/Storage</th><th>Software Engineering</th></tr>
<tr><td colspan="2"></td><td></td></tr>
<tr><th colspan="4">Component Framework</th></tr>
<tr><th>Security</th><th>Presentation/Interface</th><th>Business Logic</th><th>Data Management</th></tr>
<tr><td>Certificates/Digital Signatures
Supporting Security Services</td><td rowspan="3">Dynamic Server-Side Display
Content Rendering</td><td rowspan="3">Platform Independent</td><td rowspan="3">Reporting and Analysis</td></tr>
<tr><th>Data Interchange</th></tr>
<tr><td>Data Exchange</td></tr>
<tr><th colspan="4">Service Interface and Integration</th></tr>
<tr><th colspan="2">Integration</th><th>Interoperability</th><th>Interface</th></tr>
<tr><td colspan="2">Middleware</td><td>Data Format/Classification
Data Types/Validation</td><td>Service Description/Interface</td></tr>
</table>

COMBINED FUNCTIONAL GROUPS Procurement, Performance Based Budgeting, Business Decision Support, Technical Decision Support and Global Outreach			
Service Access and Delivery			
Access Channels	**Delivery Channels**	**Service Requirements**	**Service Transport**
Web Browser Collaboration/Communication	Internet, Intranet Extranet Virtual Private Network (VPN)	Legislative/Compliance Authentication/Single Sign-On	Transport
Service Platforms and Infrastructure			
Support Platforms	**Delivery Services**	**Hardware/Infrastructure**	
Platform Independent	Web, Media Application Portal	Servers/Computers WAN, LAN Network Devices/Standards Video Conferencing	
Database/Storage	**Software Engineering**		
Database			
Component Framework			
Security	**Presentation/Interface**	**Business Logic**	**Data Management**
Certificates/Digital Signatures Supporting Security Services	Dynamic Server-Side Display Content Rendering	Platform Independent	Database Connectivity Reporting and Analysis
Data Interchange			
Data Exchange			
Service Interface and Integration			
Integration	**Interoperability**	**Interface**	
Middleware Transaction Processing	Data Format/Classification Data Types/Validation	Service Description/Interface Enterprise-wide FEA TRM Alignment Findings	

Below is a list of findings observed when comparing the FEA TRM with the USAID BCM. The scope of this iteration of the EA was at the conceptual level, focusing primarily in the business arena. Therefore the list of conclusions here is not exhaustive. Further analysis in this area will reveal additional conclusions.

- USAID needs to invoke many technical environment elements in order to adequately execute essential Agency services as identified in the Business Capability Map.
- USAID requires many of the same access and delivery standards necessary to execute essential e-government services to both its internal and external stakeholders.
- Enhancements of delivery mechanisms and technical infrastructure should be bolstered to facilitate fluid execution of services, and provide access to the greater USAID infrastructure.
- USAID requires service platforms and infrastructure standards that are platform independent and reliant on hardware standards which are supportive of WAN/LAN and Network Devices and Standards.
- USAID expresses a strong dependence on reporting and analysis data management standards. The data delivery and data storage environments mandate attention and guidance.
- Further USAID Enterprise Architecture development should reflect, adhere, support, and adopt the prevailing industry standards that appropriately guide the effective establishment and cost-effective maintenance of the technical infrastructure. An example may be the deployment of prevailing web-based standards, such as IPv6, which are aligned and supported by the latest applications and networking equipment.

5.5 USAID FEA Data Reference Model (DRM)

An FEA DRM mapping was not conducted during this iteration of the USAID Enterprise Architecture development. The DRM was not published until after the first iteration of the EA had begun; therefore the resources required to develop it were not planned for or scoped. The DRM will be developed and mapped in the next iteration of the Agency's Enterprise Architecture now that a baseline business model has been established. The development of the DRM will provide a useful enhancement to the baseline Agency Enterprise Architecture.

6. Overlay Analysis

Section 3 analyses USAID's operational landscape. Section 4 develops USAID's Business Capability Map (BCM) depicting a formal business structure for the Agency. It provides a standard format to discuss how the Agency operates and what is required to support that operation. As seen in section 5 it is used to map to the FEA reference model. The analysis performed in this section brings together the findings and observations derived throughout the other sections of this document in order to identify gaps and potential areas for improvement.

The analysis in this section is performed through using the BCM as the foundation for examination. Various aspects of the Agency's operations are lined up side by side with and compared to the capabilities within the BCM to highlight gaps, commonalities and redundancies. These are called Combination Overlays.

The Combination Overlays are designed with the complete set of Capabilities arranged in numeric order along the left axis. The elements being analyzed, such as Functional Groups, Investments and Systems are arranged along the top axis. If the intersecting cell contains a dot, the Capability applies to that element. If the cell is empty, there is no relationship between the units of analysis. Figure 13 (page 74) provides two examples of how a Combination Overlay is used to analyze Capabilities in combination, in this case, with Investments and Systems.

In addition to the placement of dots in the cells, the findings derived from the analysis are highlighted by coloring the cells that illustrate that finding. Each finding is color coded so that the box in the finding title to the right of the overlay is the same color as the cells in the overlay that illustrate the finding. It should be noted that similar colors are used on all overlays and that these colors do not represent the same findings on multiple overlays.

Following each overlay is a table that relates each finding to the analysis and to the recommendation(s) supporting the analysis. The recommendation numbers in this table correspond to those used in Chapter 7 to further explore the recommendations and to link them to initiatives and projects.

The true power of this approach lies in the ability to graphically assess the functional groups using the levels of system maturity supporting them and the investments planned to support them as the criteria for assessment. This is the purpose of section *6.2 Gap Analysis – Finding the Heat Zones. In section 6.1 Examining the Assessment Criteria*, we use the same technique to explore the gaps, commonalities and redundancies that occur internal to the set of functional groups, the set of planned investments and the set of systems.

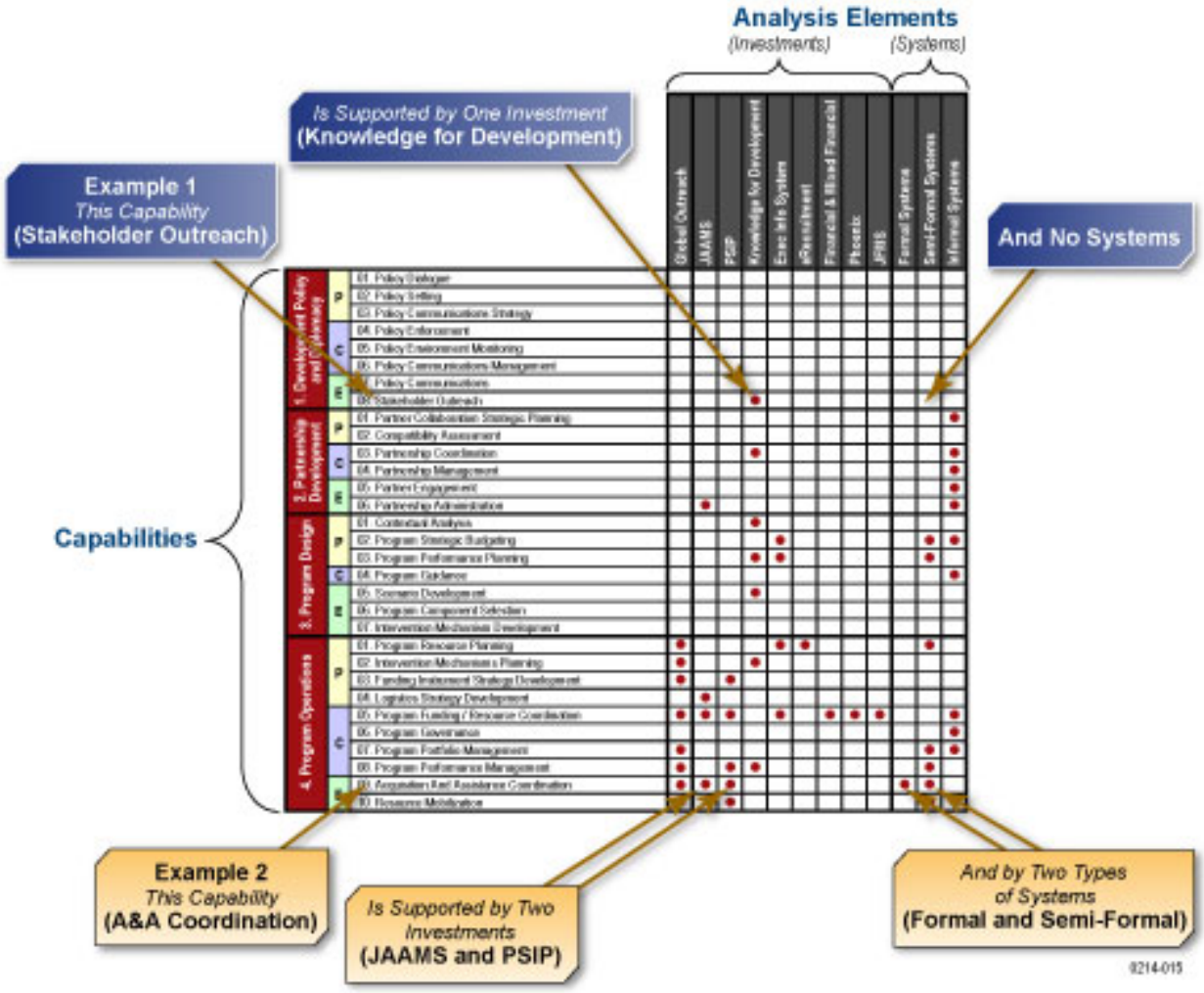


Figure 14: How a Combination Overlay works

6.1 Examining the Assessment Criteria

It is important to understand the relationships of the functional groups to each other; the planned investments to each other; and the systems to each other before exploring their relationships with the individual functional groups. The current EA effort focuses on only five of the multitude of functional groups that make up the business activities of the Agency. The examination of planned investments and systems, however, is relevant to these and all future functional group assessments.

The following three overlays are the basis of recommendations for the interaction of the functional groups, the planned investments and the systems.

6.1.1 Functional Groups

As described above, the functional groups were derived by analyzing the set of business issues in relation to each other. The next step is to examine the relationships between the individual functional groups. The combination overlay on the left aligns the top five functional groups and illustrates commonalities in the capabilities that they employ.

Finding 1

The green cells highlight the fact that a majority of the capabilities supporting the functional groups are performed at the Plan and Control management levels. Few are performed at the Execute level.

Finding(s)	Analysis	Recommendation(s) Supported
Finding 1. A majority of the capabilities supporting the functional groups are performed at the Plan and Control management levels. Few are performed at the Execute level.	The Agencies highest priority business activities revolve around planning and controlling the activities executed by others. Special emphasis, therefore, should be placed on acquiring, maintaining, and supporting the resources devoted to these core planning and oversight activities.	♦ **GEN-02:** Develop an infrastructure that adequately supports USAID's global business model. ♦ **GEN-03:** Develop an infrastructure that supports Agency wide integration of existing and planned systems. ♦ **GEN-09:** Create a task force to identify and implement formal processes and robust systems in support of all critical capabilities, particularly those at the Plan and Control management levels of the Development Policy and Diplomacy, Partnership Development, Program Design and Program Operations Value Added Services.

6.1.2 Planned Investments

The capabilities supported by planned investments were derived by examining the OMB Exhibit 300s for Fiscal Year 2006 and isolating the specific business function that the investments are intended to address. It should be noted that these are referred to throughout this document as "Planned" investments because at the time of publication, the investment requests have been submitted but have yet to be approved, adjusted or denied.

Finding 2

The bright blue cells illustrate that most capabilities supported by existing investments are found in Activity Execution, Program Operations and Agency Business Management.

Finding 3

The yellow cells that the Agency core services are strongly supported by existing investments but Development Policy and Diplomacy and Partnership Development have minimal supporting investment.

Finding 4

The dark blue cells point out that capabilities comprising financial management are supported by investments through OMB Exhibit 300s for Financial & Mixed Financial, PSIP and Phoenix, JFMS, and JAAMS.

Finding(s)	Analysis	Recommendation(s) Supported
Finding 2. Most capabilities supported by existing investments are found in Activity Execution, Program Operations and Agency Business Management.	The core services of the Agency appear to be adequately supported by several current investments. In some cases, multiple investments support the same capability.	♦ **PRO-04:** Evaluate the Joint Acquisition and Assistance Management System and the Procurement System Improvement Management Project to make sure that both efforts complement each other and do not duplicate efforts.
Finding 3. Agency core services are strongly supported by existing investments but Development Policy and Diplomacy and Partnership Development have minimal supporting investment.	These areas, although shown to be of a high importance in the functional group analysis, receive minimal investment at this time.	♦ **BDS-03:** Expand the current Executive Information System (EIS) OMB EXHIBIT 300 to adequately support Agency leadership in making business decisions. This includes expanding the OMB EXHIBIT 300 to more extensively support the following Value Added Services: Development Policy and Diplomacy, Partnership Development, Program Design, Internal Technical Support, and Knowledge for Development. ♦ **BDS-04:** Align the Executive Information System OMB Exhibit 300 with the Knowledge for Development OMB Exhibit 300, or combine the two.
Finding 4. The capabilities comprising financial management are supported by investments through Exhibit 300s for Financial & Mixed Financial, PSIP and Phoenix, JFMS, and JAAMS.	Phoenix and PSIP are the planned replacements for the current Financial & Mixed Financial systems comprised of NMS and MACS. To ensure that these functions remain sufficiently addressed, capabilities supported by F&MFS must be fully supported by Phoenix, PSIP, JFMS, and JAAMS. This objective has been accomplished.	♦ **PRO-03:** Expand current OMB Exhibit 300s or develop a new OMB Exhibit 300 for integrating procurement with other Agency systems to support recommendations PRO-01 and PRO-02 above.

6.1.3 Systems

A systems inventory conducted in late 2004 indicated that there are literally hundreds of systems supporting USAID's business functions. It would have been impractical to attempt to associate each system with the Agency's business capabilities. It was apparent, however, that the systems fell into three distinct categories. Formal systems are those supported by Certification & Accreditation (C&A) and/or an OMB Exhibit 300; Semi-formal systems are those not supported by C&A and/or an Exhibit 300 but in widespread Agency use. Informal systems are those used randomly throughout the Agency but not supported by M/IRM. These levels of system maturity were used as the assessment criteria.

Finding 5

There are a number of capabilities supported by multiple systems at multiple levels of maturity.

Finding 6

Some capabilities are supported by Informal systems only.

Finding 7

Many critical capabilities have no support from existing systems of any level of maturity.

Finding(s)	Analysis	Recommendation(s) Supported
Finding 5 There are a number of capabilities supported by multiple systems at multiple levels of maturity.	In order to reduce redundancy, reduce unnecessary costs and to establish data, information and reporting standards, capabilities should be supported by a single system wherever possible.	♦ **PRO-01:** Engineer an integrated system to support procurement, finance, budgeting, strategic planning, and reporting that supports Agency wide and implementing partner operations. ♦ **PRO-02:** Provide an infrastructure that supports the integration of the Agency's systems across its global organization. ♦ **GEN-05:** Investigate investment overlaps to reduce redundancy, reduce unnecessary costs and to establish data, information and reporting standards. Capabilities should be supported by a single system wherever possible. The management and use of these can be governed through the use of service level agreements in order to promote reliable quality levels and customer service through the Agency and its implementing partners. ♦ **GEN-10:** Develop the organization and supporting resources to plan, direct, manage, and control the patterns of Agency system evolution. Eliminating redundant investments and standardizing as many systems as possible will gain economy of scale and economies of scope by tightly controlling this evolution. A determination must also be made as to whether the appropriate level of system (Formal, Semi-Formal or Informal) is supporting each capability.
Finding 6 Some capabilities are supported by Informal systems only.	Informal systems by their nature are unstable, undocumented and are not designed to support the enterprise goals. Capabilities supported only by Informal systems are at risk of system failure and irretrievable data loss.	♦ **PBB-01:** Develop a performance based budgeting system that integrates and standardizes budget formulation and performance planning by program funding and operating expense accounts across organizational budget decision units (bureaus, sectors, and Agency levels). ♦ **PBB-08:** Automate legacy manual transactions and integrate parallel silo informal systems into a unified performance based budgeting system.
Finding 7 Many critical capabilities have no support from existing systems of any level of maturity.	In some cases, capabilities do not require the support of an IT system. That may be the case with some of the capabilities in this category. It is equally likely that there are informal systems supporting these functions that were not evident at the time of this analysis. This illustrates a major shortcoming with informal systems. They are much less likely to be documented or planned for. As such they are much less likely to be scalable, or to support USAID's need to aggregate technical results and program performance measurements.	♦ **PBB-01:** Develop a performance based budgeting system that integrates and standardizes budget formulation and performance planning by program funding and operating expense accounts across organizational budget decision units (bureaus, sectors, and Agency levels). ♦ **BDS-01:** Develop a system that integrates business planning functions in each organization across USAID that can accommodate business planning inputs from implementing partners. ♦ **BDS-02:** Establish a system which integrates business information (such as financial, project management, procurement, performance management, etc.) from all USAID Operating Units, Bureaus, and implementing partners.

6.2 Gap Analysis – Finding the Heat Zones

The purpose of this section is to examine each Functional Group in context with systems and investments. The resulting findings are the basis for the Functional Group recommendations, which are the foundation of the Initiatives and Projects outlined in the chapters that follow.

The Functional Groups examined include:

- Procurement
- Performance Based Budgeting
- Business Decision Support
- Technical decision Support
- Global Outreach

6.2.1 Procurement (PRO)

The Procurement capabilities are acquisition and assistance capabilities involved with planning, securing, awarding, and obligating necessary funds to procure goods and services for, or on behalf of, USAID. Although procurement is addressed by a number of the FY2006 Planned Investments, the most directly related are JAAMS and PSIP.

Finding 8

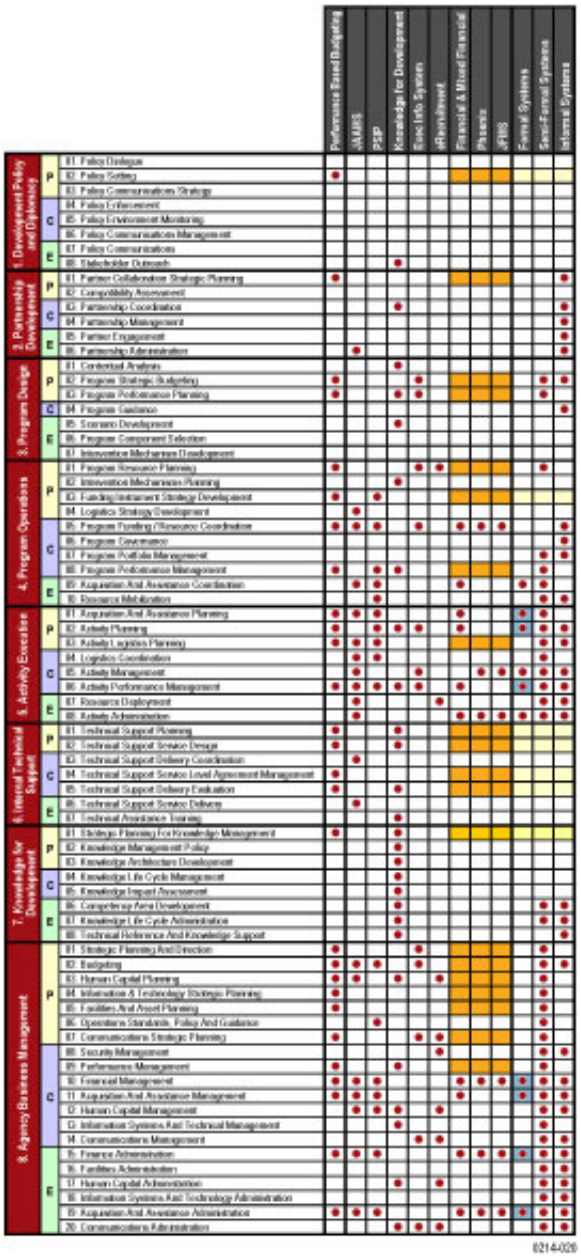
Procurement is primarily supported by Program Operations and Activity Execution capabilities, yet there are few formal systems, a well developed A&A presence in these areas.

Finding 9

Many of the same Procurement capabilities are supported by both the JAAMS and PSIP investments.

Finding(s)	Analysis	Recommendation(s) Supported
Finding 8 Procurement is primarily supported by Program Operations and Activity Execution capabilities, yet there are few formal systems, a well developed A&A presence in these areas.	In the traditional sense, procurement is the purchase and/or acquisition of goods and services. At USAID, these services include the planning and management of development activities by partners. USAID currently does not have adequate A&A personnel throughout Operating Units and USAID\W technical offices to support future or even current operations. USAID also does not have the integrated infrastructure to increase system efficiencies enough to address its personnel shortages.	♦ **PRO-05**: Establish a formal structure to examine the integration of procurement across the Agency, with particular attention across the Program Design, Program Operations, and Knowledge for Development Value Added Services. This may include co-locating Contract and Agreement Officers within Operating Unit technical offices to enhance integration of procurement and program planning. ♦ **PRO-06:** Establish a governance body to benchmark and oversee greater integration of, and planning for, procurement functions across the Agency. ♦ **PRO-09:** Integrate procurement more extensively throughout the program planning and program operations processes.
Finding 9 Many of the same Procurement capabilities are supported by both the JAAMS and PSIP investments.	An assessment of these investments should be done to ensure that the overlap does not represent costly redundancies.	♦ **PRO-04:** Evaluate the Joint Acquisition and Assistance Management System and the Procurement System Improvement Management Project to make sure that both efforts complement each other and do not duplicate efforts.

6.2.2 Performance Based Budgeting (PBB)



The Performance Based Budgeting functions are those involved in the planning for, establishing, and managing predetermined funds to predetermined targets. Fundamentally it is combining budgeting and strategic planning across the Agency in order to establish a standardized, measurable, and manageable infrastructure.

Finding 10

PBB's is not currently supported by any investment initiative.

Finding 11

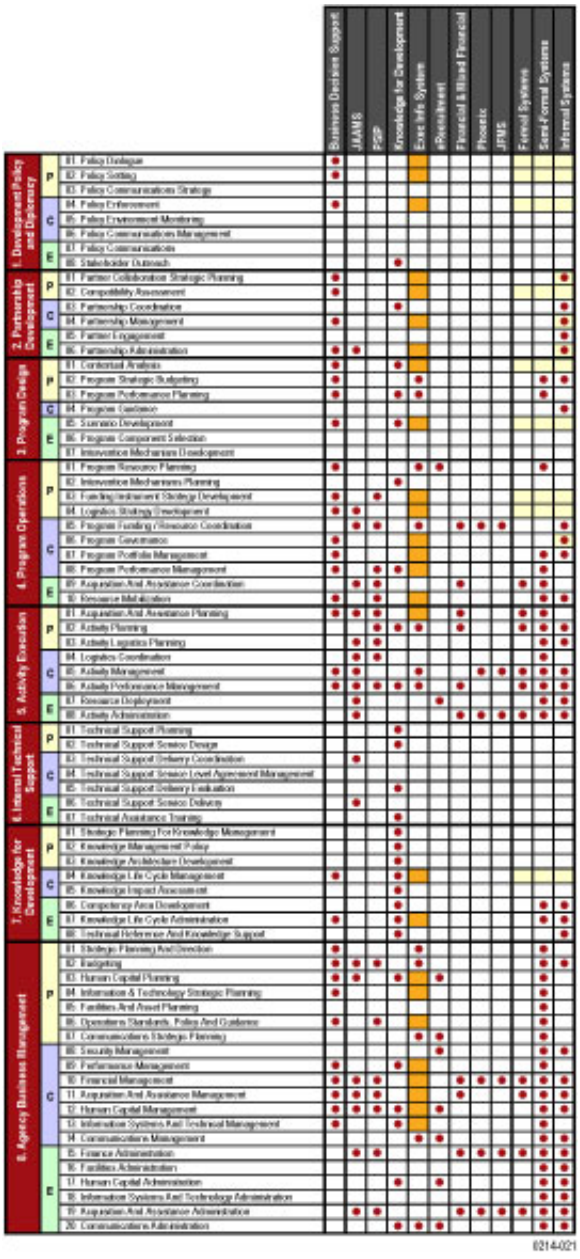
PBB's critical capabilities receive minimal support from existing systems.

Finding 12

Many PBB capabilities have no support from existing systems of any level of maturity.

Finding(s)	Analysis	Recommendation(s) Supported
Finding 10 PBB's is not currently supported by any investment initiative.	Performance Based Budgeting is a critical function, not only for the successful management of the Agency, but it also provides the information necessary to adequately support the Agency's value and standing as a leader in efficient global development. The fact that this imperative function is left to informal and ad hoc systems is an oversight that must be corrected as soon as possible.	♦ **PBB-02:** Integrate budgeting, cost accounting and performance reporting systems.
Finding 11 PBB's critical capabilities receive minimal support from existing systems.	In addition to the fact that there are no evident plans to address the Performance Based Budgeting systems issue through investment, there are currently very few budgeting capabilities supported by exiting systems. Currently budgeting is performed and aggregated on MS Excel spreadsheet throughout the Agency. This is extremely risky, being highly vulnerable to a multitude of technical and human points of failure. Also there is virtually no way to effectively connect budgeting with performance management without the use of an enterprise system.	♦ **PBB-01:** Develop a performance based budgeting system that integrates and standardizes budget formulation and performance planning by program funding and operating expense accounts across organizational budget decision units (bureaus, sectors, and Agency levels). ♦ **PBB-03:** Develop OMB Exhibit 300's to assimilate the strategic budgeting model, cost accounting data, and program performance planning into integrated performance budgeting system.
Finding 12 Many PBB capabilities have no support from existing systems of any level of maturity.	This finding builds on finding 11. There is an obvious gap in technical systems of any kind supporting the budgeting process, much less any\one that supports connecting performance management with budgeting.	♦ **BB-01:** Develop a performance based budgeting system that integrates and standardizes budget formulation and performance planning by program funding and operating expense accounts across organizational budget decision units (bureaus, sectors, and Agency levels).

6.2.3 Business Decision Support (BDS)



The Business Decision Support functions are those involved with capturing, organizing, and reporting business management information. This includes information needed for the business (as opposed to technical, or development sector side) of activity, program, and Agency-wide management. Business management information includes financials, acquisition and assistance information, and performance management information that managers and executives to make operational and strategic decisions.

Finding 13

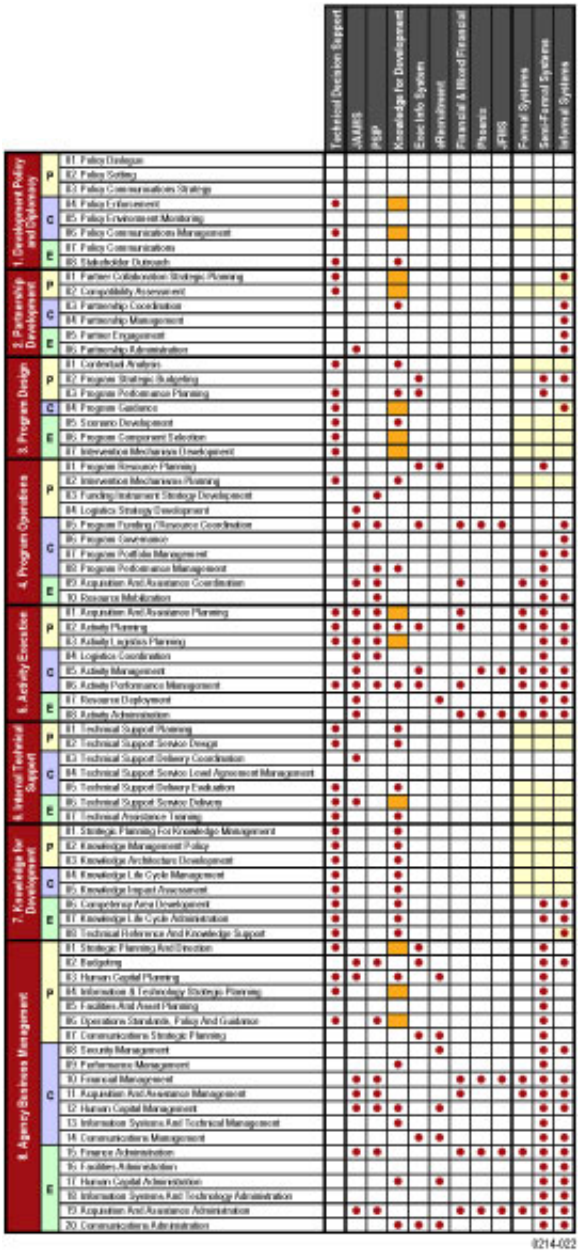
Most BDS capabilities are not supported by the current EIS investment.

Finding 14

Many BDS capabilities are supported by only informal systems or by no systems at all.

Finding(s)	Analysis	Recommendation(s) Supported
Finding 13 Most BDS capabilities are not supported by the current EIS investment.	Despite the fact that BDS is supported by a wide range of capabilities, the EIS investment has not been designed to capture information from a number of important capabilities. EIS must be expanded to fully support Business Decision Support.	♦ **BDS-03:** Expand the current Executive Information System (EIS) OMB EXHIBIT 300 to adequately support Agency leadership in making business decisions. This includes expanding the OMB EXHIBIT 300 to more extensively support the following Value Added Services: Development Policy and Diplomacy, Partnership Development, Program Design, Internal Technical Support, and Knowledge for Development. ♦ **BDS-04:** Align the Executive Information System OMB Exhibit 300 with the Knowledge for Development OMB Exhibit 300, or combine the two. ♦ **TDS-03:** Link Technical Decision Support and Business Decision Support to create a total picture of USAID operations, connecting program management and technical support resources. ♦ **GLO-01:** Align knowledge management and executive information system assets to support public relations and marketing functions. ♦ **GLO-02:** Combine the output of technical and business information (Knowledge for Development & Executive Information System) to gain complete picture of USAID operations. ♦ **GLO-05:** Re-engineer both Knowledge for Development OMB Exhibit 300 and Executive Information System OMB Exhibit 300 to support public relations and marketing functions. ♦ **GLO-06:** Combine Knowledge for Development and Executive Information System OMB Exhibit 300s to create a complete picture of USAID operations. ♦ **GEN-01:** Combine all Knowledge Management sources and assets into a single system in order to provide a comprehensive repository of USAID technical and business operations and train USAID and implementing partner staff using this system.
Finding 14 Many BDS capabilities are supported by only Informal systems or by no systems at all.	In some cases, capabilities do not require the support of an IT system. That may be the case with some of the capabilities in this category. It is more likely, however, that there are informal systems supporting these functions that were not evident at the time of this analysis. This illustrates a major shortcoming with informal systems. They are much less likely to be documented or planned for. As such they are much less likely to be scalable, or to support USAID's need to aggregate technical results and program performance measurements.	♦ **BDS-01:** Develop a system that integrates business planning functions in each organization across USAID that can accommodate business planning inputs from implementing partners. ♦ **BDS-02:** Establish a system which integrates business information (such as financial, project management, procurement, performance management, etc.) from all USAID Operating Units, Bureaus, and implementing partners.

6.2.4 Technical Decision Support (TDS)



The Technical Decision Support functions are those involved with getting the right technical knowledge to the right people at the right time in order to support Agency programs and field operations. TDS involves the capture, development, and dissemination of knowledge to support development and humanitarian assistance efforts across the entire USAID infrastructure and it's implementing partners.

Finding 15

Some TDS capabilities are not supported by the current Knowledge for Development investment.

Finding 16

Many TDS capabilities are supported by only informal systems or by no systems at all.

Finding(s)	Analysis	Recommendation(s) Supported
Finding 15 Some Technical Decision Support capabilities are not supported by the current Knowledge for Development investment.	The current KfD effort addresses the vast majority of the capabilities related to Technical Decision Support. A number of important capabilities have not been included and should be reviewed.	♦ **TDS-03:** Link Technical Decision Support and Business Decision Support to create a total picture of USAID operations, connecting program management and technical support resources. ♦ **TDS-04:** Align the Knowledge for Development OMB Exhibit 300 with the Executive Information System OMB Exhibit 300, or combine the two. ♦ **TDS-05:** Expand Knowledge for Development OMB EXHIBIT 300s to include support of Partnership Development, Development Policy and Diplomacy, and Program Design. ♦ **GLO-01:** Align knowledge management and executive information system assets to support public relations and marketing functions. ♦ **GLO-02:** Combine the output of technical and business information (Knowledge for Development & Executive Information System) to gain complete picture of USAID operations. ♦ **GLO-05:** Re-engineer both Knowledge for Development OMB Exhibit 300 and Executive Information System OMB Exhibit 300 to support public relations and marketing functions. ♦ **GLO-06:** Combine Knowledge for Development and Executive Information System OMB Exhibit 300s to create a complete picture of USAID operations. ♦ **GEN-01:** Combine all Knowledge Management sources and assets into a single system in order to provide a comprehensive repository of USAID technical and business operations and train USAID and implementing partner staff using this system.
Finding 16 Many Technical Decision Support capabilities are supported by only Informal systems or by no systems at all.	Industry best practices call for substantial IT support of Technical Decision Support. The current KfD initiative supports the Agency's TDS goals and will undoubtedly employ IT resources to achieve those goals.	♦ **TDS-03:** Link Technical Decision Support and Business Decision Support to create a total picture of USAID operations, connecting program management and technical support resources.

6.2.5 Global Outreach (GLO)

The Global Outreach functions are those that support the understanding of USAID's services, accomplishments, and benefits by its partners, other USG agencies, and the global community. Fundamentally it is these functions that promote USAID's story being effectively communicated, and then better understood by the widest range of individuals and organizations possible.

Finding 17

Global Outreach critical capabilities receive minimal support from existing investments.

Finding 18

Many Global Outreach capabilities are supported by only informal systems or by no systems at all.

Finding(s)	Analysis	Recommendation(s) Supported
Finding 17 Global Outreach critical capabilities receive minimal support from existing investments. Global Outreach is critical to USAID's survival, yet it is supported by minimal resources. Global Outreach should be supported by coordination of KfD with Technical Decision Support and EIS with Business Decision Support.	Performance Based Budgeting also plays a key role in combining budget and performance information to round out the story.	♦ **GLO-01:** Align knowledge management and executive information system assets to support public relations and marketing functions. ♦ **GLO-05:** Re-engineer both Knowledge for Development OMB Exhibit 300 and Executive Information System OMB Exhibit 300 to support public relations and marketing functions. ♦ **GLO-06:** Combine Knowledge for Development and Executive Information System OMB Exhibit 300s to create a complete picture of USAID operations. ♦ **GEN-01:** Combine all Knowledge Management sources and assets into a single system in order to provide a comprehensive repository of USAID technical and business operations and train USAID and implementing partner staff using this system.
Finding 18 Many Global Outreach capabilities are supported by only Informal systems or by no systems at all.	In some cases, capabilities do not require the support of an IT system. That may be the case with some of the capabilities in this category. It is equally likely, however, that there are informal systems supporting these functions that were not evident at the time of this analysis.	♦ **GLO-01**: Align knowledge management and executive information system assets to support public relations and marketing functions.

7. Recommendations, Initiatives and Projects – The Investment Portfolio

This document examines the Agency using a variety of lenses. It initially examines its environment and current operations in section 3. In section 4 operating model and structure is described and analyzed. Section 5 maps the Agency against the Federal Enterprise Architecture reference models. Section 6 analyzes how USAID's current information technology systems and planned investments support functions key to USAID's success. Each of these sections describes, in detail, the findings from these analyses. This section develops those findings into recommendations, and subsequently initiatives complete with projects. The projects are constructed in such a way that they can be easily converted into a contained Statement of Work.

7.1 Recommendations

This section discusses a set of recommendations for each functional group plus a set of general recommendations. There are two types of recommendations. The first are overall policy recommendations oriented to enhancing governance, communications and standardization; the second group of recommendations is specific to increasing the performance of an individual Functional Group or the Agency as a whole.

7.1.1 Policy Recommendations

1. **Establish an Agency-wide IT governance structure**. Enhance, promote and enforce an agile, but strong enterprise-wide IT governance structure with an on-going mission to oversee, monitor, coordinate, and review the integration and alignment of USAID operational concerns and the enabling USAID technology.
2. **Establish the technology vision for the organization in direct support of the USAID Strategic Mission**. Develop initiatives and projects that directly support the execution of the vision; this has been initiated in the development of projects documented in the Agency EA Overview. This vision needs to be formalized within the ADSs and communicated throughout the Agency.
3. **Establish a mechanism to account for, coordinate, and manage the acquisition, distribution, and management of USAID IT assets**. The Agency's infrastructure must operate at maximum efficiency in order to adequately support the Agency's business and technical needs. Technological resources must be located where and when they are needed.
4. **Establish guidelines for the various classes of applications/systems which are congruent with USAID business expectations for the applications/systems use.** For example, informal applications should not be deployed to address extremely important or strategic USAID business needs.

5. **Establish, disperse, and maintain general guidelines for core USAID technologies**. The Agency's technology vision, guidance on IT asset management, and IT policies must be packaged for general reference and use. This information must be accessible to those who need it to make information business and technical decisions.

7.1.2 Functional Group Recommendations

This section is divided into six parts discussing recommendations specific to each of the five functional groups, plus a set of recommendations that are common to all the functional groups.

7.1.2.1 Procurement (PRO)

USAID has evolved into an organization where USAID personnel enable and manage other organizations that implement USAID-funded development services. This means that USAID has become a procurement, coordination, and technical support organization across a global infrastructure. Procurement is no longer simply a function of activity operations; rather, acquisition and assistance is central to business model. As such the systems, investments, processes, and organization surrounding procurement must be enhanced. Indeed the role of procurement within the Agency must be rethought, and realigned to bring it more into the forefront of the Agency's overall decision and strategic development. Table 9 outlines a series of recommendations for enhancing the role of procurement across the Agency.

Table 9: Procurement

System	
PRO-01	Engineer an integrated system to support procurement, finance, budgeting, strategic planning, and reporting that supports Agency wide and implementing partner operations.
PRO-02	Provide an infrastructure that supports the integration of the Agency's systems across its global organization.
Investment	
PRO-03	Expand current OMB Exhibit 300s or develop a new OMB Exhibit 300 for integrating procurement with other Agency systems to support recommendations PRO-01 and PRO-02 above.
PRO-04	Evaluate the Joint Acquisition and Assistance Management System and the Procurement System Improvement Management Project to make sure that both efforts complement each other and do not duplicate efforts.
Organization	
PRO-05	Establish a formal structure to examine the integration of procurement across the Agency, with particular attention across the Program Design, Program Operations, and Knowledge for Development Value Added Services. This may include co-locating Contract and Agreement Officers within Operating Unit technical offices to enhance integration of procurement and program planning.
PRO-06	Establish a governance body to benchmark and oversee greater integration of, and planning for, procurement functions across the Agency.
PRO-07	Recruit a larger number of Contracting and Agreement Officers in order to adequately support the integration of procurement planning and implementation in the complete range of Agency operations.
PRO-08	Establish measurable work objectives, training programs, and incentives for technical staff and program managers to include Procurement in program planning.
Process	
PRO-09	Integrate procurement more extensively throughout the program planning and program operations processes.

7.1.2.2 Performance Based Budgeting (PBB)

Budgeting in USAID is a highly decentralized process that varies greatly in content and quality between Operating Units, Bureaus, and support areas. USAID must be able to formalize and systematize its budgeting process, in order to provide a standard process throughout the Agency and link planned performance goals to budget requests. This will allow USAID to increase its ability to measure performance and planned obligations with ultimate goal of connecting Operating Unit results directly to appropriated funds.

Table 10 outlines recommendations for developing performance based budgeting capabilities across USAID.

Table 10: Performance Based Budgeting

System	
PBB-01	Develop a performance based budgeting system that integrates and standardizes budget formulation and performance planning by program funding and operating expense accounts across organizational budget decision units (bureaus, sectors, and Agency levels).
PBB-02	Integrate budgeting, cost accounting and performance reporting systems.
Investment	
PBB-03	Develop OMB Exhibit 300's to assimilate the strategic budgeting model, cost accounting data, and program performance planning into integrated performance budgeting system.
PBB-04	Develop full cost allocation methodology to identify the total cost of producing a result, including overhead and other indirect costs (underway as part of Phoenix integrated accounting system).
Process	
PBB-05	Identify, standardize and align Agency measures for program component performance, program cost, and program productivity to formulate central program budget.
PBB-06	Integrate Program Assessment Rating Tool (PART) indicators into budget formulation sub-unit trade-offs.
PBB-07	Standardize processes used to plan, control, execute and report on budgeting, cost accounting and performance planning.
PBB-08	Automate legacy manual transactions and integrate parallel silo informal systems into a unified performance based budgeting system.
PBB-09	Establish formal performance budgeting process with scenario based capabilities.

7.1.2.3 Business Decision Support (BDS)

Currently, it is extremely difficult for USAID to aggregate activity results, trace funding streams, or consistently measure program performance. This can only be accomplished if data is collected using standard characteristics such as: common units of measure; a common language for describing objectives, work and results; and a common timeframe. The development of standard codes and their consistent use across Agency systems would greatly facilitate the correlation, analysis and reporting of planning, funding and performance measurement information. USAID must develop a comprehensive infrastructure that accounts for activity, program, and Agency management information.

Table 11 outlines recommendations for developing a unified infrastructure that supports data-informed business decisions across the Agency.

Table 11: Business Decision Support

System	
BDS-01	Develop a system that integrates business planning functions in each organization across USAID that can accommodate business planning inputs from implementing partners.
BDS-02	Establish a system which integrates business information (such as financial, project management, procurement, performance management, etc.) from all USAID Operating Units, Bureaus, and implementing partners.
Investment	
BDS-03	Expand the current Executive Information System (EIS) OMB EXHIBIT 300 to adequately support Agency leadership in making business decisions. This includes expanding the OMB EXHIBIT 300 to more extensively support the following Value Added Services: Development Policy and Diplomacy, Partnership Development, Program Design, Internal Technical Support, and Knowledge for Development.
BDS-04	Align the Executive Information System OMB Exhibit 300 with the Knowledge for Development OMB Exhibit 300, or combine the two.
Organization	
BDS-05	Establish a formal mechanism, managed by the CIO, to guide, review, and realign planning and control functions across the Agency in a standardized and consistent manner.
BDS-06	Establish a mechanism so business managers can consistently get dependable and accurate information about current USAID and implementing partner operations.
Process	
BDS-07	Align Business Decision Support and Technical Decision Support functions throughout the USAID business model.
BDS-08	Align planning and control functions across the Agency.

7.1.2.4 Technical Decision Support (TDS)

In USAID's current business model, USAID funds the delivery of development and relief services through acquisition and assistance awards. To support this process of planning, procuring, coordinating and leading development and humanitarian assistance activities, Agency staff must possess the technical understanding to make well informed decisions. As the development environment becomes more sophisticated, as USAID's relationships with implementing partners and other USG entities operating overseas grow more complex, and as the Federal workforce increasingly approaches retirement, USAID requires new ways of collecting, organizing, and relating its critical technical knowledge.

USAID must aggregate and make available this compendium of technical knowledge throughout its worldwide infrastructure and to its implementing partners. To contextualize this knowledge and make it more useful for decision-making, USAID's technical knowledge must be connected to the Business Decision Support knowledge discussed in the recommendation above. The insightful and perceptive Knowledge for Development initiative has done an excellent job in beginning this process; the Technical Decision Support recommendations presented below seek to build on that success.

Table 12 outlines recommendations for building the Agency's TDS capabilities.

Table 12: Technical Decision Support

System	
TDS-01	Align knowledge management assets with the 38 technical program components (found in the Interim Strategic Management Guidance).
TDS-02	Expand knowledge management system to support the Partnership Development, Development Policy and Diplomacy, and Program Design Value Added Services.
TDS-03	Link Technical Decision Support and Business Decision Support to create a total picture of USAID operations, connecting program management and technical support resources.
Investment	
TDS-04	Align the Knowledge for Development OMB Exhibit 300 with the Executive Information System OMB Exhibit 300, or combine the two.
TDS-05	Expand Knowledge for Development OMB EXHIBIT 300s to include support of Partnership Development, Development Policy and Diplomacy, and Program Design.
Organization	
TDS-06	Encourage and create incentives for USAID staff to participate in and contribute to technical and program management Communities of Practice (COP).
TDS-07	Formalize Sector Council responsibilities for knowledge management.
Process	
TDS-08	Expand and standardize USAID processes to better integrate Technical Decision Support across the Agency and with its implementing partners.
TDS-09	Create formal Knowledge Management policy requiring USAID and implementing partner staff to contribute technical and program management knowledge into shared repositories.

7.1.2.5 Global Outreach (GLO)

USAID leads the USG and other donors in delivering development and humanitarian assistance services in some of the world's neediest places. However, USAID's mission, successes and benefits are not well understood by the US Public, other USG entities, or the global community. USAID's overseers, particularly on Capitol Hill, have historically discouraged broad outreach efforts by USAID. Today, given the importance assigned to foreign assistance by the National Security Strategy, USAID deserves the Administration and Congressional approval to undertake expanded global outreach.

In an environment where the number of USG development "competitors" is increasing, where USAID's implementing partners directly provide the majority of USAID-funded development and relief services, and where funding sources are shrinking, the Agency must do a better job of telling its story to take credit for its impact worldwide. Every USDH, PSC, and implementing partner funded by USAID must be accountable for relaying USAID's story. USAID's information systems must support improved aggregation of and access to results data so that information about USAID's operations and successes can be quickly and effectively relayed.

Table 13 provides specific recommendations for building USAID's Global Outreach capabilities.

Table 13: Global Outreach

System	
GLO-01	Align knowledge management and executive information system assets to support public relations and marketing functions.
GLO-02	Combine the output of technical and business information (Knowledge for Development & Executive Information System) to gain complete picture of USAID operations.
GLO-03	Design assets to collect, publish, and promote USAID's story and train appropriate staff in their use.
Investment	
GLO-04	Budget for public outreach at the Operating Unit level and establish performance metrics for the use of these budgeted funds.
GLO-05	Re-engineer both Knowledge for Development OMB Exhibit 300 and Executive Information System OMB Exhibit 300 to support public relations and marketing functions.
GLO-06	Combine Knowledge for Development and Executive Information System OMB Exhibit 300s to create a complete picture of USAID operations.
GLO-07	LPA should issue a comprehensive Indefinite Quantity Contract (IQC) to access public outreach services.
GLO-08	USAID should sponsor a Speakers Bureau for staff from across the entire Agency and its implementing partners, where USAID sponsors individuals to tell the USAID story. This includes developing a training program, user friendly resources, and staff support.
GLO-09	USAID Public Outreach investments should reflect the importance of foreign assistance as one of the three instruments of the National Security Strategy.
Organization	
GLO-10	Expand the Public Affairs office to more closely resemble a private marketing and public relations organization.
GLO-11	Designate a Development Outreach and Communications Officer (DOC) in all Operating Units in headquarters and the field. These individuals should report directly to the Operating Unit Director, and their position descriptions, work objectives, Individual Development Plans, and training should reflect their primary public outreach responsibility.
GLO-12	Every USAID manager should have Public Outreach training, measurable work objectives, and visible incentives.
Process	
GLO-13	Align Knowledge for Development processes to support telling USAID's story.
GLO-14	Enhance formal Agency public relations processes throughout USAID and promulgate ADS policies on public outreach.
GLO-15	Institute the concept that all USAID personnel and partners are responsible for understanding and promoting USAID's story.
GLO-16	Enhance USAID's formal role in achieving the National Security Strategy.
GLO-17	Develop Global Development Alliance guidance aligned with Public Outreach objectives to make sure that from the outset of the alliance, process Public Outreach goals are planned for, implemented and measured.
GLO-18	Revise ADS 201 to require that every Operating Unit strategy must include Public Outreach goals, objectives, and performance metrics.
GLO-19	Include standard provisions in all Acquisition & Assistance solicitations and awards to require public acknowledgement of USAID funding in implementing partners' fundraising, public outreach, and media interviews.

7.1.2.6 General (GEN)

The recommendations below pertain to all five functional groups and can be instituted independently or in conjunction with any of the recommendations provided above.

Table 14: General

System	
GEN-01	Combine all Knowledge Management sources and assets into a single system in order to provide a comprehensive repository of USAID technical and business operations and train USAID and implementing partner staff using this system.
GEN-02	Develop an infrastructure that adequately supports USAID's global business model.
GEN-03	Develop an infrastructure that supports Agency wide integration of existing and planned systems.
GEN-04	Develop and integrate Agency and implementing partner-wide systems to support combined budgeting, financial, procurement, reporting, decision support, technical support, and collaboration management functions.
GEN-05	Investigate investment overlaps to reduce redundancy, reduce unnecessary costs and to establish data, information and reporting standards. Capabilities should be supported by a single system wherever possible. The management and use of these can be governed through the use of service level agreements in order to promote reliable quality levels and customer service through the Agency and its implementing partners.
Organization	
GEN-06	Create a formal structure responsible for coordinating major communications between USAID/W and the field, complete with associated roles and responsibility, performance metrics, and lines of accountability.
GEN-07	Establish a body to guide, review, realign, and control functions across the Agency in a standard and consistent manner.
GEN-08	Create a formal structure to oversee and govern collaborative operations between USAID and other USG entities.
GEN-09	Create a task force to identify and implement formal processes and robust systems in support of all critical capabilities, particularly those at the Plan and Control management levels of the Development Policy and Diplomacy, Partnership Development, Program Design and Program Operations Value Added Services.
GEN-10	Develop the organization and supporting resources to plan, direct, manage, and control the patterns of Agency system evolution. Eliminating redundant investments and standardizing as many systems as possible will gain economy of scale and economies of scope by tightly controlling this evolution. A determination must also be made as to whether the appropriate level of system (Formal, Semi-Formal or Informal) is supporting each capability.
Process	
GEN-11	Develop formal communication vehicles between USAID/W and the field, and identify a mechanism to govern and create formal accountability for major Agency messages.
GEN-12	Document and evaluate program and activity management processes to include roles & responsibilities, communications guidance and structure, field and headquarter responsibilities, and procedures.
GEN-13	Create a formal relationship between program and support services where programs pay for services rendered and are guaranteed a defined level of service.

7.1.3 Service Architecture Recommendations

USAID should develop a unified technical service architecture for future USAID operations. This section discusses a general structure for how this architecture should be designed to gain the benefits of USAID's business model discussed in section 4.

The design structure is segmented into three classes to support the Agency's business and technical needs. The three classes of automation services are:

- **Business Application Services** provide direct automated support for the business processes,
- **Core Infrastructure Services** provide core functionality that business application area services use to implement their purpose,
- **Enabling IT Services** provide the capabilities to develop, maintain, and support the IT infrastructure,
- **Data Store Services** provide the capabilities to manage and store the knowledge, information, and data used by the Agency, and
- **External Systems and Data** provide externally available information and functionality used to support the Agency's business model

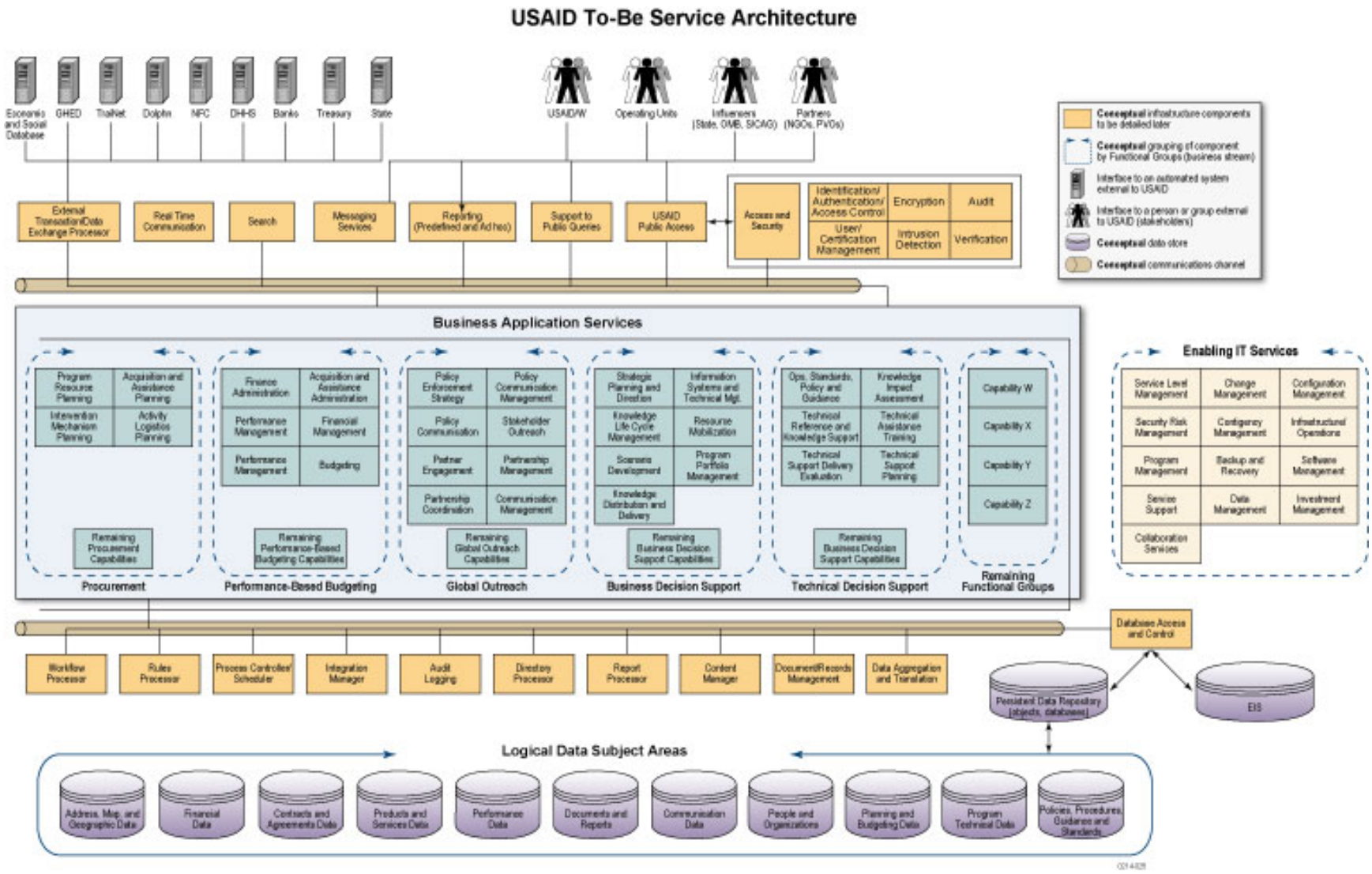


Figure 15: Potential Service Oriented Architecture

This page intentionally left blank.

Business Application Services

These services are specifically designed to support the five Functional Groups selected for future development: (1) Procurement, (2) Performance-Based Budgeting, (3) Business Decision Support, (4) Technical Decision Support, and (5) Global Outreach. The current portfolio of Functional Groups should be augmented at the discretion of and by the agreement of both business and information technology managers. Additional Functional Groups should be derived through a regular systematic review of USAID's business model.

Core infrastructure services

These services provide core functionality that business application area services use to operate. For instance, the strategic planning service can be implemented using the workflow processor service, the rules processor service and the document/records management service. The workflow processor service would step the strategic plan through the various workflow steps for developing the strategic plan. The rules processor service would be used by the strategic planning service to validate that the strategic plan contained the proper types of information, and that the plan meets the criteria for being a strategic plan. The document/records management service would support in editing and tracking changes to the document, and in performing configuration management and version control. By developing a service oriented, component based architecture using core infrastructure services, more flexibility in terms of implementation choices can be achieved.

Enabling IT services

These services provide the capabilities to develop, maintain, and support the IT infrastructure. These automation services are used by IRM to execute its business processes.

Data Store Services

These services provide the set capabilities to manage and store the knowledge, information, and data used by the Agency.

External Systems and Data

These are the systems and data sources that USAID must account for in developing a set of interfaces and data standards. This is particularly important for USAID because of its close operational relationship with its implementing partners, and the need for Agency personnel to operate remotely.

In order to effectively support the Agency's global business model all the services discussed above must be continuously available throughout the Agency's infrastructure. Some of the benefits afforded by his approach include:

- Allowing the Agency to focus more of its resources on mission critical operations,
- Allowing the Agency to improve its scale its operations,
- Allowing the Agency to improve its distribution and monitoring of application inventories,
- Allowing the Agency to adapt service offerings to changing needs, and
- Allowing the Agency to respond more robustly to a threat environment

To make a service oriented architecture viable USAID's existing infrastructure must be standardized and normalized throughout the Agency. Below is a set of recommendations which can accomplish many of these goals in support of developing a service oriented architecture.

1. **Establish a minimum core set of Agency technology and operating standards**. Develop standards which can be instituted Agency-wide irrespective of geographic location. If applicable, align core USAID standards with USG E-Gov initiatives. These standards must be easily and consistently rolled out across geographic boundaries.
2. **Focus IT efforts on web based services**. This must be easily distributed, regularly altered, and centrally managed under the direction of a sound, respected, coordinated, and disciplined IT Governance structure. These services must allow Agency personnel and implementing partners to access appropriate systems and information globally.
3. **Establish a common presentational interface for both internal and external USAID Stakeholders**. Establish common, familiar, and easily identifiable USAID style sheets and format, in order to standardize and create a USAID presentational identity. The implementation of portals for both internal and external USAID Stakeholders may be an effective means by which to realize common interface objectives.
4. **Utilize centralized data repositories (data warehousing) with a robust means to manage and access the data**. This will improve the management/control of data quality, data movement, and data analysis.
5. **Categorize and routinely review the USAID application inventory**. Clearly specify the USAID capabilities being supported by the applications and regularly conduct gap analysis to identify deficiencies in the use of applications or to identify areas where existing applications can be expanded, enhanced or altered to effectively support additional and existing USAID capabilities.
6. **Review alignment/misalignment of existing applications for redundancy and areas of integrations**. Catalog and investigate the potential for application consolidation amongst/between major applications.
7. **Establish a secure means for USAID and its implementing partners to exchange data**. At the core of USAID's business model is its ability to operate globally with its implementing partners. Currently much of the data exchange is manual, and non standard. This creates a high error rate and difficulty in aggregating key data. Establish a standardized, secure means for USAID to interface with its implementing partners for data transactions and appropriate knowledge management support.

7.1.4 FEA BRM Recommendations

The Federal Enterprise Architecture (FEA) Business Reference Model (BRM) should be expanded to better support and depict USAID's business model. Currently, the International Affairs and Commerce Line of Business, which is contained within the Services for Citizens Business Area of the BRM, is divided into three sub-functions. These three Sub-Functions are:

- Foreign Affairs
- International Development and Humanitarian Assistance
- Global Trade

The FEA BRM presented in Appendix 9 extends the alignment of the Agency's current FEA BRM alignment and defines current Agency operations in greater detail. The broader and more specific definition of what USAID does as a USG agency necessitates a review and realign against the current FEA BRM.

The USAID Value Added Services (VAS), presented in Section 4, are aligned against the current FEA BRM/Business Areas/Line of Business/Sub-Functions. At this time, USAID business operations are not mapped adequately to the FEA BRM/Services to Citizens/International Affairs & Commerce/International Development & Humanitarian Aid. To address this misalignment, the Agency has two options:

1. The proposed USAID Value Added Services can replace the existing Sub-Function "International Development & Humanitarian Aid" and the proposed USAID Capabilities can be installed as the Sub-Categories to the proposed Sub-Functions.

-or-

2. The proposed USAID Value Added Services can be aligned against the Sub-Function "International Development & Humanitarian Aid" and installed as the Sub-Categories.
   The proposed USAID Capabilities would then serve as supportive description of the Sub-Categories

The evolution of the FEA BRM Sub-Function "International Development & Humanitarian Aid" must be promoted, regardless of which approach is selected. The development and definition of "what" USAID does via the USAID VAS and Business capabilities provides a real opportunity to advance the current version of the FEA BRM "Foreign Affairs & Commerce" Line of Business. The proposed USAID To-Be FEA BRM is presented in Appendix 9. The proposed alignment follows the direction offered in Option 2.

7.2 Initiatives and Projects

This section discusses a recommended set of initiatives that USAID can institute to address the recommendations described above. There is one initiative for each recommendation area. Each initiative has one or more projects with a series of individual tasks. These are designed to be able to be converted into Statements of Work (SOW) for each project. Please note that this iteration of the EA is at the conceptual level, so further development is required to add the level of detail needed to guide the implementation of some of the recommendations. For example, a great deal of standardization of the Agency's information criteria across it systems and processes is called for in the recommendations. The

projects call for this standardization but do not dictate the parameters of those standards. Further study is needed to obtain an estimation of Level of Effort (LOE) of resources needed to implement each project.

The following table outlines the six initiative and 12 related projects. A fuller explanation of the initiatives and projects follows.

Table 15: Initiatives and Projects

Initiative Name	Related Projects
1. Procurement (PRO)	1A. Procurement System Integration 1B. Procurement Standardization
2. Performance Based Budgeting (PBB)	2A. Develop Performance Based Budgeting System 2B. Standardize Performance Based Budgeting across Agency
3. Business Decision Support (BDS)	3A. Develop BDS Architecture 3B. Align Planning and Control (BCM management level) functions across the Agency
4. Technical Decision Support (TDS)	4A. Expand KfD architecture to include EIS
5. Global Outreach (GLO)	5A. Align existing and planned systems to support Global Outreach functions 5B. Establish Global Outreach as a formal function across USAID
6. General (Gen)	6A. Develop unified Agency integration strategy 6B. Develop a common operating platform for the Agency 6C. Enhance Agency communications infrastructure How to read the Initiative Descriptions

How to read the Initiatives Descriptions

Initiative	**Initiative Name**	**The name of the initiative**
	Description	A brief description of the initiative
Initiative Number	**Related Projects**	**The list of projects to accomplish the initiative**

PRM Critical Success Factor	BCM Capabilities Supported	Business Issues Addressed
♦ A list of critical success factors necessary to effectively accomplish this task.	♦ A list of the BCM capabilities supported by the initiative.	♦ A list of business issues addressed by the projects described in the initiative.

How to read the Project Profiles

Project	**Project Name**	**The name of the project**
	Description	A brief description of the project
Project Number	**Objective**	The objective or objectives of the project

Recommendation(s) Supported	Potential Project Tasks
♦ A list of the recommendation(s) supported by this project	♦ A list of project tasks necessary to successfully complete the project.

7.2.1 Procurement

Initiative		
	Initiative Name	**Procurement (PRO)**
	Description	This initiative seeks to realign the role of procurement within the Agency, expanding functionality to more completely support USAID's entire program and activity management lifecycle. This initiative expands through expanding and integrating procurement related systems, standardizing procurement policies and procedures across the capabilities it supports, and expanding the number of procurement personnel within program and technical support areas.
1. PRO	**Related Projects**	1A. Procurement System Integration 1B. Procurement Standardization

PRM Critical Success Factor	BCM Capabilities Supported	Business Issues Addressed	
♦ Adequate staffing in the Office of Acquisition and Assistance at headquarters and sufficient contracting/agreement officer presence at field missions and regional hubs ♦ Performance-based contract management ♦ Integrated A&A and Financial systems ♦ Agency-wide use of the Phoenix Financial System ♦ Use of internal Technical Support SLAs ♦ Training and certification in A&A and CTO skills	**Program Operations** ♦ Program Resource Planning ♦ Intervention Mechanisms Planning ♦ Funding instrument strategy development ♦ Program Funding/Resource Coordination ♦ Program Portfolio Management ♦ Program Performance Management ♦ Acquisition And Assistance Coordination ♦ Resource Mobilization **Activity Execution** ♦ Acquisition And Assistance Planning ♦ Activity Logistics Planning ♦ Logistics Coordination ♦ Activity Management ♦ Resource Deployment ♦ Activity Administration **Internal Technical Support** ♦ Technical Support Delivery Coordination ♦ Technical Support Service Level Agreement Management ♦ Technical Support Service Delivery	♦ Adherence to legislative and political drivers requires flexible and agile response. ♦ Agency funding shortfalls demand managerial flexibility. ♦ Different development challenges require discrete responses/ ♦ Alignment with DoS creates opportunities to streamline operations. ♦ New technology can position the Agency to deliver services and achieve its mission more efficiently. ♦ Co-location with DoS creates administrative/process barriers which require mediation in numerous areas (security, procurement, etc), in order for USAID to achieve its mission. ♦ Co-location with DoS creates technology integration challenges which require mediation in numerous areas (e.g., IT policy, security, etc.), in order for USAID to achieve its mission. ♦ Committed workforce affords management an opportunity to adopt, create or change operations, policies, or practices without a great amount of organizational resistance.	♦ USAID must operate globally but technology maturity/standards range by country and by region. These varying maturity levels challenges implementation, delivery and governance of technology. ♦ Inconsistent performance measures and reporting handicap performance management. ♦ Guidance is not well coordinated across Bureaus and is often misinterpreted in the field. ♦ Need for improved technology infrastructure to communicate and report development results ♦ Organization alignment with Department of State creates challenges with management decision making, operational processes, and alignment of technology. ♦ Lines of accountability within the organization are unclear; contributing to confusion about roles and responsibilities and reporting ♦ USAID is a trusted adviser to USG and others on development issues; Agency knowledge must be managed as a key USAID asset. ♦ USAID procurement requires process improvement and standardization. ♦ USAID has adopted larger acquisition and assistance awards, with longer period of performance.

Initiative	Initiative Name	Procurement (PRO)
	Description	This initiative seeks to realign the role of procurement within the Agency, expanding functionality to more completely support USAID's entire program and activity management lifecycle. This initiative expands through expanding and integrating procurement related systems, standardizing procurement policies and procedures across the capabilities it supports, and expanding the number of procurement personnel within program and technical support areas.
1. PRO	Related Projects	1A. Procurement System Integration 1B. Procurement Standardization

PRM Critical Success Factor	BCM Capabilities Supported	Business Issues Addressed	
	Agency Business Management ♦ Budgeting ♦ Operations Standards, Policy And Guidance ♦ Financial Management ♦ Acquisition And Assistance Management ♦ Finance Administration ♦ Acquisition And Assistance Administration	♦ Consistent and accurate reporting across and outside USAID is problematic. ♦ Agency process improvement can drive cost effective/efficient Operations. ♦ Time-consuming evaluation processes reduce efficiency and remove personnel from delivering core development or humanitarian services. ♦ Establishing effective partnerships with development community and governments greatly assist USAID with meeting many of its operating objectives.	

Project	Project Name	Procurement System Integration
	Description	The Procurement System Integration project will identify the appropriate approach for integrating the Agency's procurement system with other Agency systems and appropriate external systems, making the information available across USAID's global infrastructure and with its implementing partners. Tasks include assessing the Agency's ability to support large scale systems, evaluating JAAMS and PSIP to reduce duplicative efforts, establishing standards for interfaces with external entities such as implementing partners, and investing in appropriate system changes or tools.
PRO-1A	Objective	♦ To expand Agency procurement system to support program planning, and operational design ♦ To find the appropriate strategy for integrating the Agency's procurement system with current and planned financial, budgetary, decision support, and knowledge management systems

Recommendation(s) Supported	Potential Project Tasks
PRO-01 Engineer an integrated system to support procurement, finance, budgeting, strategic planning, and reporting that supports Agency wide and implementing partner operations. **PRO-02** Provide an infrastructure that supports the integration of the Agency's systems across its global organization. **PRO-03** Expand current OMB Exhibit 300s or develop a new OMB Exhibit 300 for integrating procurement with other Agency systems to support recommendations PRO-01 and PRO-02 above. **PRO-04** Evaluate the Joint Acquisition and Assistance Management System and the Procurement System Improvement Management Project to make sure that both efforts complement each other and do not duplicate efforts. **PRO-05** Establish a formal structure to examine the integration of procurement across the Agency, with particular attention across the Program Design, Program Operations, and Knowledge for Development Value Added Services. This may include co-locating Contract and Agreement Officers within Operating Unit technical offices to enhance integration of procurement and program planning. **PRO-06** Establishing a governance body to benchmark and oversee greater integration of, and planning for, procurement functions across the Agency. **PRO-09** Integrate procurement across the functions defined in the Program Design, Program Operations and Knowledge for Development value-added services.	1) Assess integrating procurement system with other current and planned systems and initiatives. a) Current – Phoenix, AR b) Planned – EIS, KfD 2) Evaluate JAAMS and PSIP to make sure that both efforts are complimentary, not duplicative a) Examine both efforts against the capabilities they support b) Examine JAAMS functionality and system requirements against PSIP functionality and systems requirements for alignment and agreement 3) Assess USAID's infrastructure ability to support large scale system integration. a) Determine requirements to support system integration – business, technical and external interface b) Determine suitable governance structure 4) Perform cost benefit analysis of integrating procurement systems with other USAID and external systems. a) Risk analysis of changes to existing systems b) Funding needs and sources c) Operational benefit d) OMB 300 implications (USAID and joint) 5) Establish standard interfaces with external entities (other USG, and implementing partners). a) Interface criteria b) Interface mechanisms (i.e. portals, etc.) 6) Integrate procurement system with other current and planned systems and initiatives according to requirements a) Current – Phoenix, AR b) Planned – EIS, KfD

Project	Project Name	Procurement Standardization
	Description	The Procurement Standardization project seeks to standardize procurement procedures and policies across the Agency, as well as expand the number and placement of A&A personnel to more directly support Operating Unit activities.
PRO-1B	Objective	♦ To develop and implement Agency wide procurement standards ♦ To integrate procurement planning into program planning ♦ To provide more Acquisition and Assistance support throughout the Agency

Recommendation(s) Supported	Potential Project Tasks
PRO-07 Recruit a larger number of Contracting and Agreement Officers in order to adequately support the integration of procurement planning and implementation in the complete range of Agency operations. **PRO-08** Establish measurable work objectives, training programs, and incentives for technical staff and program managers to include Procurement in program planning. **PRO-9** Integrate procurement more extensively throughout the program planning and program operations processes	1) Promulgate additional procurement planning policies across the Agency by updating the ADS 200 and 300 series to: a) ADS 300 - Emphasize greater overall acquisition and assistance planning b) ADS 200 - Emphasize the role of acquisition and assistance planning in Program Design, Program Operations, and Knowledge for Development 2) Expand number of Acquisition and Assistance personnel a) Place Contracting and Agreement Officers within Operating Unit Technical Offices b) Increase number of Contracting and Agreement Officers within Agency and Operating Units 3) Increase accountability for Technical and Program managers to include Procurement in program planning. a) Add procurement planning work objectives for personnel supporting Program Design, and Program Operations functions c) Provide incentives for greater levels of procurement planning in supporting Program Design, and Program Operations functions

7.2.2 Performance Based Budgeting

Initiative		
	Initiative Name	**Performance Based Budgeting (PBB)**
	Description	This initiative seeks to build a standard budgeting process infrastructure across the Agency that includes associated performance goals in order to increase the connectivity between appropriated funds and operational results. This initiative includes building a performance budgeting system that is useable by all Agency organizations world wide, and establishing the policies and procedures for establishing and governing a standard approach for linking budgeting with performance management across the Agency.
2. PBB	**Related Projects**	2A. Develop Performance Based Budgeting System 2B. Standardize Performance Based Budgeting across Agency

PRM Critical Success Factor	BCM Capabilities Supported	Business Issues Addressed	
♦ PBB acceptance and use as a decision-making tool by all Bureaus ♦ Based on a repeatable and standardized model that is supported by empirical data ♦ Informs budget allocations between and within regions and sectors	**Development Policy and Diplomacy** ♦ Policy Setting **Partnership Development** ♦ Partner Collaboration Strategic Planning **Program Design** ♦ Program Strategic Budgeting ♦ Program Performance Planning **Program Operations** ♦ Program Resource Planning ♦ Funding instrument strategy development ♦ Program Funding/Resource Coordination ♦ Program Performance Management **Activity Execution** ♦ Acquisition And Assistance Planning ♦ Activity Planning ♦ Activity Logistics Planning ♦ Activity Performance Management **Internal Technical Support** ♦ Technical Support Planning ♦ Technical Support Service Design ♦ Technical Support Service Level Agreement Management	♦ Adherence to legislative and political drivers requires flexible and agile response. ♦ Agency funding shortfalls demand managerial flexibility. ♦ Different development challenges require discrete responses. ♦ New technology can position the Agency to deliver services and achieve its mission more efficiently. ♦ Consistent and accurate reporting across and outside USAID is problematic. ♦ Agency process improvement can drive cost effective/efficient Operations. ♦ Time-consuming evaluation processes reduce efficiency and remove personnel from delivering core development or humanitarian services. ♦ Enhanced role of foreign assistance in National Security Strategy (NSS) requires USAID to review how it best serves NSS objectives. ♦ Due to Financial and political demands, USAID is under constant pressure to improve impact. ♦ Heavy bureaucracy (regulations, rules and organizational layers) requires a vigilant and detail-oriented management approach.	♦ Organization alignment with Department of State creates challenges with management decision making, operational processes, and alignment of technology. ♦ Performance accountability is becoming a major component in operations. ♦ USAID procurement requires process improvement and standardization. ♦ Internal controls to prevent and detect unauthorized acquisition, use, or disposition of assets need to be established or enhanced. ♦ USAID resources are not well aligned with Agency's operational goals.

Initiative	Initiative Name	Performance Based Budgeting (PBB)
	Description	This initiative seeks to build a standard budgeting process infrastructure across the Agency that includes associated performance goals in order to increase the connectivity between appropriated funds and operational results. This initiative includes building a performance budgeting system that is useable by all Agency organizations world wide, and establishing the policies and procedures for establishing and governing a standard approach for linking budgeting with performance management across the Agency.
2. PBB	Related Projects	2A. Develop Performance Based Budgeting System 2B. Standardize Performance Based Budgeting across Agency

PRM Critical Success Factor	BCM Capabilities Supported	Business Issues Addressed	
	♦ Technical Support Delivery Evaluation **Knowledge for Development** ♦ Strategic Planning For Knowledge Management ♦ Knowledge Management Policy ♦ Knowledge Architecture Development ♦ Knowledge Life Cycle Management ♦ Knowledge Impact Assessment ♦ Competency Area Development ♦ Knowledge Life Cycle Administration ♦ Technical Reference And Knowledge Support **Agency Business Management** ♦ Strategic Planning And Direction ♦ Budgeting ♦ Human Capital Planning ♦ Information & Technology Strategic Planning ♦ Facilities And Asset Planning ♦ Communications Strategic Planning ♦ Performance Management ♦ Financial Management ♦ Acquisition And Assistance Management ♦ Finance Administration	♦ Inconsistent performance measures and reporting handicap performance management. ♦ Movement of data should be expedited to assist decision-making and job execution. ♦ Need for improved technology infrastructure to communicate and report development results. ♦ Non-integrated systems generate excess and often conflicting information.	

Project	Project Name	Develop Performance Based Budgeting System
	Description	This project seeks to identify the Agency's business and technical budgeting requirements, develop an integration and implementation strategy, and implement a performance based budgeting solution. Tasks include assessing the Agency's ability to support a world wide performance budgeting system, assessing the cost of integrating the budgeting system with other Agency and external systems (current and planned systems), and establishing standards for interfaces with external entities such as implementing partners.
PBB-2A	Objective	♦ To develop and implement an Agency wide performance based budgeting system ♦ To identify the appropriate strategy for integrating the Agency's performance based budgeting system with current and planned financial, procurement, decision support, and knowledge management systems ♦ To connect appropriated funds to Agency results

Recommendation(s) Supported	Potential Project Tasks
PBB-01 Develop a performance based budgeting system that integrates and standardizes budget formulation and performance planning by program funding and operating expense accounts across organizational budget decision units (bureaus, sectors, and Agency levels). **PBB-02** Integrate budgeting, cost accounting and performance reporting systems. **PBB-03** Develop OMB Exhibit 300's to assimilate the strategic budgeting model, cost accounting data, and program performance planning into integrated performance budgeting system. **PBB-08** Automate legacy manual transactions and integrate parallel silo informal systems into a unified performance based budgeting system.	1) Establish Performance Budgeting system requirements. a) Business b) Technical c) External Interface 2) Assess USAID's ability to support a world wide performance budgeting system. a) Agency wide system b) Joint (DoS & USAID) integration c) Implementing partners integration d) Technical infrastructure assessment 3) Perform cost benefit analysis of integrating performance based budgeting system with other USAID and external systems. a) Risk analysis of changes to existing systems b) Funding needs and sources c) Operational benefit d) OMB 300 implications (USAID and joint) e) Assessment of manual vs. automated budgeting systems 4) Integrate performance based budgeting system with other current and planned systems and initiatives according to requirements a) Current – Procurement (NMS), Phoenix, AR b) Planned – Procurement (PSIP, JAAMS), EIS, KfD

Project	Project Name	Standardize Performance Based Budgeting across Agency
	Description	This project seeks to standardize the budgeting lifecycle across the Agency. Tasks include evaluating and modifying budgeting policy, processes, performance criteria, and systems to support the Agency's performance based strategy.
PBB-2B	Objective	♦ To develop and implement Agency wide performance budgeting standards ♦ To develop strategies and methodologies that support performance based budgeting requirements ♦ To enhance association of appropriated funds to Agency results

Recommendation(s) Supported	Potential Project Tasks
PBB-04 Develop full cost allocation methodology to identify the total cost of producing a result, including overhead and other indirect costs (underway as part of Phoenix integrated accounting system). **PBB-05** Identify, standardize and align Agency measures for program component performance, program cost, and program productivity to formulate central program budget. **PBB-06** Integrate Program Assessment Rating Tool (PART) indicators into budget formulation sub-unit trade-offs. **PBB-07** Standardize processes used to plan, control, execute and report on budgeting, cost accounting and performance planning. **PBB-09** Establish formal performance budgeting process with scenario based capabilities.	1) Perform Organizational Review of Budgeting Process and Criteria and Systems a) Review Performance Management Criteria b) Review Financial Performance Criteria c) Align Budgeting, Performance Management, and Financial Performance Processes 2) Develop Performance Budgeting ADS a) Identify, standardize and align Agency measures for program component performance, program cost, and program productivity to formulate central program budget b) Integrate Program Assessment Rating Tool (PART) indicators into budget formulation sub-unit trade-offs c) Establish the parameters for cost allocation methodology d) Standardize processes used to plan, control, execute and report on budgeting, cost accounting and performance planning e) Automate legacy manual transactions and integrate parallel silo semi-formal processes into unified Agency wide performance-based budgeting process

7.2.3 Business Decision Support

Initiative		
Initiative	**Initiative Name**	**Business Decision Support (BDS)**
	Description	This initiative seeks to develop a standardized Agency wide approach to capturing, organizing, and reporting Agency business management information, including financials, acquisition and assistance and performance management information. The development and implementation of the BDS architecture will enable managers at the activity, program, and Agency levels to make operational and strategic decisions based on information that is current, readily available, and representative of the Agency as a whole. This initiative will also enable effective and efficient Agency reporting to stakeholders.
3. BDS	**Related Projects**	3A. Develop BDS Architecture 3B. Align Planning and Control (BCM management level) functions across the Agency

PRM Critical Success Factor	BCM Capabilities Supported	Business Issues Addressed	
♦ Accuracy, timeliness, and appropriateness of information available to decision makers ♦ Appropriate level of analysis; actionable findings ♦ High level of analysis impact (answers multiple questions) ♦ Acceleration of report development time ♦ High degree of executive satisfaction with service and information quality level	**Development Policy and Diplomacy** ♦ Policy Dialogue ♦ Policy Setting ♦ Policy Enforcement **Partnership Development** ♦ Partner Collaboration Strategic Planning ♦ Compatibility Assessment ♦ Partnership Management ♦ Partnership Administration **Program Design** ♦ Contextual Analysis ♦ Program Strategic Budgeting ♦ Program Performance Planning ♦ Scenario Development **Program Operations** ♦ Program Resource Planning ♦ Funding instrument strategy development ♦ Logistics Strategy Development ♦ Program Governance ♦ Program Portfolio Management ♦ Program Performance Management ♦ Resource Mobilization **Activity Execution** ♦ Acquisition And Assistance	♦ Adherence to legislative and political drivers requires flexible and agile response. ♦ Agency funding shortfalls demand managerial flexibility. ♦ Different development challenges require discrete responses. ♦ New technology can position the Agency to deliver services and achieve its mission more efficiently. ♦ Co-location with DoS creates administrative/process barriers which require mediation in numerous areas (security, procurement, etc), in order for USAID to achieve its mission. ♦ Co-location with DoS creates technology integration challenges which require mediation in numerous areas (e.g., IT policy, security, etc.), in order for USAID to achieve its mission. ♦ Consistent and accurate reporting across and outside USAID is problematic. ♦ Time-consuming evaluation processes reduce efficiency and remove personnel from delivering core development or humanitarian services. ♦ Database/web capabilities are insufficient to deliver information in an	♦ Inconsistent performance measures and reporting handicap performance management. ♦ Knowledge and information must be systematically organized to improve knowledge capture and knowledge dissemination throughout USAID. ♦ USAID's evolving role is poorly understood by Agency staff and many stakeholders, contributing to organizational process confusion. ♦ Movement of data should be expedited to assist decision-making and job execution. ♦ Need for improved technology infrastructure to communicate and report development results. ♦ Non-integrated systems generate excess and often conflicting information. ♦ Organization alignment with Department of State creates challenges with management decision making, operational processes, and alignment of technology. ♦ Performance accountability is becoming a major component in operations. ♦ Need for a core USAID Standard Technology Infrastructure to reduce hardware, software or network duplication and redundancy. ♦ ♦ Available technology should be leveraged

Initiative	Initiative Name	Business Decision Support (BDS)
	Description	This initiative seeks to develop a standardized Agency wide approach to capturing, organizing, and reporting Agency business management information, including financials, acquisition and assistance and performance management information. The development and implementation of the BDS architecture will enable managers at the activity, program, and Agency levels to make operational and strategic decisions based on information that is current, readily available, and representative of the Agency as a whole. This initiative will also enable effective and efficient Agency reporting to stakeholders.
3. BDS	Related Projects	3A. Develop BDS Architecture 3B. Align Planning and Control (BCM management level) functions across the Agency

PRM Critical Success Factor	BCM Capabilities Supported	Business Issues Addressed	
	Planning ♦ Activity Management ♦ Activity Performance Management **Knowledge for Development** ♦ Knowledge Life Cycle Management ♦ Knowledge Life Cycle Administration **Agency Business Management** ♦ Strategic Planning And Direction ♦ Budgeting ♦ Human Capital Planning ♦ Information & Technology Strategic Planning ♦ Operations Standards, Policy And Guidance ♦ Performance Management ♦ Financial Management ♦ Acquisition And Assistance Management ♦ Human Capital Management ♦ Information Systems And Technical Management	organized and easily searchable manner. ♦ Effective, easier and timelier communication with USAID partners is desired. ♦ Establishing effective partnerships with development community and governments greatly assist USAID with meeting many of its operating objectives. ♦ Heavy bureaucracy (regulations, rules and organizational layers) requires a vigilant and detail-oriented management approach. ♦ USAID must operate globally but technology maturity/standards range by country and by region. These varying maturity levels challenges implementation, delivery and governance of technology.	more efficiently. ♦ Internal controls to prevent and detect unauthorized acquisition, use, or disposition of assets need to be established or enhanced.

Project	**Project Name**	**Develop BDS Architecture**
	Description	This project seeks to develop and implement a strategy that will improve the Agency's ability to collect, aggregate, and organize information across all business functions and supporting systems in order to present an accurate picture of the Agency's operations at every organizational level. This project supports the development of a comprehensive infrastructure that accounts for activity, program, and Agency management information. Tasks include identifying business and technical requirements, assessing the Agency's ability to support BDS requirements world-wide, evaluating the benefits and costs of integrating the BDS with existing and planned Agency and external systems, and aligning investments that support technical and business operations.
BDS-3A	**Objective**	♦ To develop and implement a Agency wide strategy for collecting, organizing and reporting management information ♦ To implement an infrastructure that supports the Agency's business information needs ♦ To effectively align investments that support multiple Agency operations

Recommendation(s) Supported	**Potential Project Tasks**
BDS-01 Develop a system that integrates business planning functions in each organization across USAID that can accommodate business planning inputs from implementing partners. **BDS-02** Establish a system which integrates business information (such as financial, project management, procurement, performance management, etc.) from all USAID Operating Units, Bureaus, and implementing partners. **BDS-03** Expand the current Executive Information System (EIS) OMB EXHIBIT 300 to adequately support Agency leadership in making business decisions. This includes expanding the OMB EXHIBIT 300 to more extensively support the following Value Added Services: Development Policy and Diplomacy, Partnership Development, Program Design, Internal Technical Support, and Knowledge for Development. **BDS-04** Align the Executive Information System OMB Exhibit 300 with the Knowledge for Development OMB Exhibit 300, or combine the two.	1) Establish formal Business Decision Support requirements that integrate a) Business needs i) Expand current EIS business requirements to support Partnership Development, Development Policy and Diplomacy, Program Design, Internal Technical Support, and Knowledge for Development VAS capabilities ii) Integrate KfD business requirements b) Technical and infrastructure needs i) Desktop standardization ii) Communications/network iii) Repository/warehousing iv) Presentation layer v) Security (1) USAID internal (2) External entity interface c) External interface needs i) Other USG ii) DoS iii) Implementing partners 2) Assess USAID's ability to support a world wide BDS requirements a) Agency wide system b) Joint (DoS & USAID) integration c) Implementing partners integration d) Technical infrastructure assessment 3) Perform cost benefit analysis of integrating a business decision support system with other USAID and external systems a) Risk analysis of changes to existing systems b) Integration points with KfD c) Funding needs and sources d) Operational benefit e) OMB 300 implications (USAID and joint)

Project	**Project Name**	**Develop BDS Architecture**
	Description	This project seeks to develop and implement a strategy that will improve the Agency's ability to collect, aggregate, and organize information across all business functions and supporting systems in order to present an accurate picture of the Agency's operations at every organizational level. This project supports the development of a comprehensive infrastructure that accounts for activity, program, and Agency management information. Tasks include identifying business and technical requirements, assessing the Agency's ability to support BDS requirements world-wide, evaluating the benefits and costs of integrating the BDS with existing and planned Agency and external systems, and aligning investments that support technical and business operations.
BDS-3A	**Objective**	♦ To develop and implement a Agency wide strategy for collecting, organizing and reporting management information ♦ To implement an infrastructure that supports the Agency's business information needs ♦ To effectively align investments that support multiple Agency operations
Recommendation(s) Supported		**Potential Project Tasks**
		f) Assessment of manual vs. automated systems and processes 4) Establish standard interfaces with external entities (other USG, and implementing partners). 5) Align EIS OMB 300 with KfD OMB 300 to create a complete picture of USAID's technical and business operations

Project	Project Name	Align Planning and Control (BCM management level) functions across the Agency
	Description	This project seeks to develop standards and criteria for gathering Agency information and aligning business and program management processes and systems to improve the Agency's decision making process. This includes developing common units of measure; a common language for describing objectives, work and results; and a common timeframe. Tasks for this project include establish a formal mechanism to guide, review, and align planning and control functions, and developing and implementing business and program management standards across the Agency.
BDS-3B	Objective	♦ To develop a mechanism to standardize planning and control functions ♦ To standardize business and program management information, processes and tools across the Agency and its implementing partners

Recommendation(s) Supported	Potential Project Tasks
BDS-05 Establish a formal mechanism, managed by the CIO, to guide, review, and realign planning and control functions across the Agency in a standardized and consistent manner. **BDS-06** Establish a mechanism so business managers can consistently get dependable and accurate information about current USAID and implementing partner operations. **BDS-07** Align Business Decision Support and Technical Decision Support functions throughout the USAID business model. **BDS-08** Align planning and control functions across the Agency.	1) Establish mechanisms to guide Agency planning and control functions a) Establish governance structure b) Standardize business and program management information criteria across the global USAID infrastructure and its implementing partners c) Standardize business and program management procedures across bureaus and between USAID\W and the field d) Standardize systems, tools and applications supporting business and program management 2) Review/Manage the established Agency planning and control functions a) Governance structure b) Review management information criteria across the global USAID infrastructure and its implementing partners c) Review business and program management procedures across bureaus and between USAID\W and the field d) Review systems, tools and applications supporting business and program management 3) Align the business and technical decision support functions across the Agency a) Validate business and technical decision support requirements b) Align business and technical decision requirements with the Agency's business model.

This page intentionally left blank.

7.2.4 Technical Decision Support

Initiative		
	Initiative Name	**Technical Decision Support (TDS)**
	Description	This initiative seeks to build on the accomplishments of the KfD initiative and institute a centralized Agency approach for collecting and aggregating the Agency's knowledge assets. This initiative is designed to improve the Agency's ability to capture, develop, and disseminate knowledge to support Agency development and humanitarian assistance; getting the right technical knowledge to the right people at the right time.
4. TDS	**Related Projects**	4A. Expand KfD architecture to include EIS

PRM Critical Success Factor	BCM Capabilities Supported	Business Issues Addressed	
♦ Leverage existing skills and information in program planning and implementation across the Agency ♦ Codify and implement knowledge harvest policies and procedures ♦ Construct a knowledge capture and delivery system available to all operating units ♦ Promote awareness and Agency-wide use of existing knowledge capture and delivery systems ♦ Develop and publicize personnel incentives for knowledge sharing and knowledge management ♦ Develop Communities of Practice to create and disseminate knowledge and facilitate/reward staff participation in these CoPs.	**Development Policy and Diplomacy** ♦ Policy Enforcement ♦ Policy Communications Management ♦ Stakeholder Outreach **Partnership Development** ♦ Partner Collaboration Strategic Planning ♦ Compatibility Assessment **Program Design** ♦ Contextual Analysis ♦ Program Performance Planning ♦ Program Guidance ♦ Scenario Development ♦ Program Component Selection ♦ Intervention Mechanism Development ♦ Program Operations ♦ Intervention Mechanisms Planning **Activity Execution** ♦ Acquisition And Assistance Planning ♦ Activity Planning ♦ Activity Logistics Planning ♦ Activity Performance Management **Internal Technical Support** ♦ Technical Support Planning ♦ Technical Support Service Design	♦ Adherence to legislative and political drivers requires flexible and agile response. ♦ Different development challenges require discrete responses. ♦ Agency attrition is creating a knowledge drain. ♦ New technology can position the Agency to deliver services and achieve its mission more efficiently. ♦ Co-location with DoS creates administrative/process barriers which require mediation in numerous areas (security, procurement, etc), in order for USAID to achieve its mission. ♦ Co-location with DoS creates technology integration challenges which require mediation in numerous areas (e.g., IT policy, security, etc.), in order for USAID to achieve its mission. ♦ Committed workforce affords management an opportunity to adopt, create or change operations, policies, or practices without a great amount of organizational resistance. ♦ Consistent and accurate reporting across and outside USAID is problematic.	♦ Knowledge and information must be systematically organized to improve knowledge capture and knowledge dissemination throughout USAID. ♦ USAID's evolving role is poorly understood by Agency staff and many stakeholders, contributing to organizational process confusion. ♦ Movement of data should be expedited to assist decision-making and job execution. ♦ Guidance is not well coordinated across Bureaus and is often misinterpreted in the field. ♦ Need for improved technology infrastructure to communicate and report development results. ♦ Non-integrated systems generate excess and often conflicting information. ♦ Organization alignment with Department of State creates challenges with management decision making, operational processes, and alignment of technology. ♦ Need for a core USAID Standard Technology Infrastructure to reduce hardware, software or network duplication and redundancy. ♦ Redundancy of business processes reduces operational efficiency. Linkages across departments are largely absent, resulting in duplicative process and capabilities.

Initiative		
Initiative	**Initiative Name**	**Technical Decision Support (TDS)**
	Description	This initiative seeks to build on the accomplishments of the KfD initiative and institute a centralized Agency approach for collecting and aggregating the Agency's knowledge assets. This initiative is designed to improve the Agency's ability to capture, develop, and disseminate knowledge to support Agency development and humanitarian assistance; getting the right technical knowledge to the right people at the right time.
4. TDS	**Related Projects**	4A. Expand KfD architecture to include EIS

PRM Critical Success Factor	BCM Capabilities Supported	Business Issues Addressed	
	♦ Technical Support Delivery Evaluation ♦ Technical Support Service Delivery ♦ Technical Assistance Training **Knowledge for Development** ♦ Strategic Planning For Knowledge Management ♦ Knowledge Management Policy ♦ Knowledge Architecture Development ♦ Knowledge Life Cycle Management ♦ Knowledge Impact Assessment ♦ Competency Area Development ♦ Knowledge Life Cycle Administration ♦ Technical Reference And Knowledge Support **Agency Business Management** ♦ Strategic Planning And Direction ♦ Human Capital Planning ♦ Information & Technology Strategic Planning ♦ Operations Standards, Policy And Guidance	♦ Database/web capabilities are insufficient to deliver information in an organized and easily searchable manner. ♦ Effective, easier and timelier communication with USAID partners is desired. ♦ Effective human capital management practices will permit USAID to better assign, train, and evaluate personnel aligned with on Agency strategic objectives. ♦ Establishing effective partnerships with development community and governments greatly assist USAID with meeting many of its operating objectives. ♦ Globalization has unleashed a flow of ideas and knowledge which should be systematically captured and reused. ♦ USAID must operate globally but technology maturity/standards range by country and by region. These varying maturity levels challenges implementation, delivery and governance of technology. ♦ Intelligent and well-educated workforce generates development/humanitarian knowledge and expertise.	♦ Available technology should be leveraged more efficiently. ♦ USAID is a trusted adviser to USG and others on development issues; Agency knowledge must be managed as a key USAID asset. ♦ Internal controls to prevent and detect unauthorized acquisition, use, or disposition of assets need to be established or enhanced.

Project	Project Name	Expand KfD architecture to include EIS
	Description	This project seeks to incorporate EIS into a unified Agency wide knowledge management (KM) structure. This includes aligning investment decisions to support both Agency technical and business needs. Task include identifying requirements, evaluating the Agency's ability to support TDS world-wide and the cost and benefits of integrating these requirements across planned and existing Agency and external implementer systems.
TDS-4A	Objective	♦ To provide the infrastructure to support detailed performance management throughout the Agency ♦ To provide a single source for all relevant USAID information ♦ To link technical and business information across the Agency

Recommendation(s) Supported	Potential Project Tasks
TDS-01 Align knowledge management assets with the 38 technical program components (found in the Interim Strategic Management Guidance). **TDS-02** Expand knowledge management system to support the Partnership Development, Development Policy and Diplomacy, and Program Design Value Added Services. **TDS-03** Link Technical Decision Support and Business Decision Support to create a total picture of USAID operations, connecting program management and technical support resources. **TDS-04** Align the Knowledge for Development OMB Exhibit 300 with the Executive Information System OMB Exhibit 300, or combine the two.	1) Establish formal Technical Decision Support requirements that integrate a) Business needs i) Expand current KfD business requirements to support Partnership Development, Development Policy and Diplomacy, and Program Design VAS capabilities ii) Integrate EIS business requirements b) Technical and infrastructure needs i) Desktop standardization ii) Communications/network iii) Repository/warehousing iv) Presentation layer v) Security (1) USAID internal (2) External entity interface c) External interface needs i) Other USG ii) DoS iii) Implementing partners 2) Assess USAID's ability to support a world wide TDS requirements a) Agency wide system b) Joint (DoS & USAID) integration c) Implementing partners integration d) Technical infrastructure assessment 3) Perform cost benefit analysis of integrating a business decision support system with other USAID and external systems a) Risk analysis of changes to existing systems b) Integration points with KfD c) Funding needs and sources d) Operational benefit e) OMB 300 implications (USAID and joint) f) Assessment of manual vs. automated systems and processes 4) Establish standard interfaces with external entities (other USG, and implementing partners). 5) Align EIS OMB 300 with KfD OMB 300 to create a complete picture of USAID's technical and business operations 6) Expand current KfD OMB 300 to include KfD support of TDS Value Added Services

Project	Project Name	KfD Standardization
	Description	This project seeks to expand the Agency's KM strategy, to develop an Agency KM policy, and to establish a framework for the Agency's KM imitative.
TDS-4B	Objective	♦ To expand the scope of the Agency's KM strategy ♦ To develop and implement Agency knowledge management policy

Recommendation(s) Supported	Potential Project Tasks
TDS-05 Expand Knowledge for Development OMB EXHIBIT 300s to include support of Partnership Development, Development Policy and Diplomacy, and Program Design. **TDS-06** Encourage and create incentives for USAID staff to participate in and contribute to technical and program management Communities of Practice (COP). **TDS-07** Formalize Sector Council responsibilities for knowledge management. **TDS-08** Expand and standardize USAID processes to better integrate Technical Decision Support across the Agency and with its implementing partners. **TDS-09** Create formal Knowledge Management policy requiring USAID and implementing partner staff to contribute technical and program management knowledge into shared repositories.	1) Develop KM ADS 2) Expand KfD Strategy a) Include Partnership Development, Development Policy and Diplomacy, and Program Design Value Added Services: 3) Increase accountability for Technical and Program managers to support KfD initiatives. a) Align personnel work objectives to KfD objectives. b) Provide incentives for supporting KfD objectives. 2) Expand KfD OMB Exhibit 300 to include support of Partnership Development, Development Policy and Diplomacy, and Program Design

7.2.5 Global Outreach

Initiative		
Initiative	**Initiative Name**	**Global Outreach**
	Description	This initiative seeks to enhance the Agency's ability to "tell its story", augment its image as a world class deliver of development and humanitarian assistance, and clearly communicate its mission, successes and benefits to the US Public, other USG entities, and the global community in general. USAID is a key pillar in the President's National Security Strategy and as such must design information systems and process that will support its need to aggregate and organized information about Agency operations and successes in a quickly and effective manner.
5. GLO	**Related Projects**	5A. Align existing and planned systems to support Global Outreach functions 5B. Establish Global Outreach as a formal function across USAID

PRM Critical Success Factor	BCM Capabilities Supported	Business Issues Addressed	
♦ Adherence to global Agency branding guidance ♦ Audience segmentation and appropriate message development and delivery for these audiences ♦ Trained Public Information Officers ♦ Operating Unit stakeholder meetings ♦ Effective donor consultation coordinated across headquarters and the field ♦ Increased USAID brand awareness among stakeholders	**Development Policy and Diplomacy** ♦ Policy Dialogue ♦ Policy Communications Strategy ♦ Policy Enforcement ♦ Policy Communications Management ♦ Policy Communications ♦ Stakeholder Outreach **Partnership Development** ♦ Partner Collaboration Strategic Planning ♦ Compatibility Assessment ♦ Partnership Coordination ♦ Partnership Management ♦ Partner Engagement **Program Design** ♦ Contextual Analysis **Internal Technical Support** ♦ Technical Support Planning **Agency Business Management** ♦ Strategic Planning And Direction ♦ Communications Strategic Planning ♦ Communications Management ♦ Communications Administration	♦ Adherence to legislative and political drivers requires flexible and agile response. ♦ Agency funding shortfalls demand managerial flexibility. ♦ Alignment with DoS creates opportunities to streamline operations. ♦ Agency attrition is creating a knowledge drain. ♦ Co-location with DoS creates administrative/process barriers which require mediation in numerous areas (security, procurement, etc), in order for USAID to achieve its mission. ♦ Co-location with DoS creates technology integration challenges which require mediation in numerous areas (e.g., IT policy, security, etc.), in order for USAID to achieve its mission. ♦ Consistent and accurate reporting across and outside USAID is problematic. ♦ Effective, easier and timelier communication with USAID partners is desired.	♦ Knowledge and information must be systematically organized to improve knowledge capture and knowledge dissemination throughout USAID. ♦ Lack of public awareness of USAID's accomplishments and value restricts funding flows and reuse of established goodwill in promoting the Agency's objectives. ♦ Need for improved technology infrastructure to communicate and report development results. ♦ Organization alignment with Department of State creates challenges with management decision making, operational processes, and alignment of technology. ♦ Performance accountability is becoming a major component in operations. ♦ Current recruitment practices are insufficient to USAID's needs. ♦ USAID is a trusted adviser to USG and others on development issues; Agency knowledge must be managed as a key USAID asset. ♦ Agency reporting is late, poorly, executed, and frequently inaccurate. ♦ USAID resources are not well aligned with Agency's operational goals.

Initiative	Initiative Name	Global Outreach
	Description	This initiative seeks to enhance the Agency's ability to "tell its story", augment its image as a world class deliver of development and humanitarian assistance, and clearly communicate its mission, successes and benefits to the US Public, other USG entities, and the global community in general. USAID is a key pillar in the President's National Security Strategy and as such must design information systems and process that will support its need to aggregate and organized information about Agency operations and successes in a quickly and effective manner.
5. GLO	Related Projects	5A. Align existing and planned systems to support Global Outreach functions 5B. Establish Global Outreach as a formal function across USAID

PRM Critical Success Factor	BCM Capabilities Supported	Business Issues Addressed	
		♦ Effective human capital management practices will permit USAID to better assign, train, and evaluate personnel aligned with on Agency strategic objectives. ♦ Enhanced role of foreign assistance in National Security Strategy (NSS) requires USAID to review how it best serves NSS objectives. ♦ Establishing effective partnerships with development community and governments greatly assist USAID with meeting many of its operating objectives. ♦ Globalization has unleashed a flow of ideas and knowledge which should be systematically captured and reused. ♦ USAID must operate globally but technology maturity/standards range by country and by region. These varying maturity levels challenges implementation, delivery and governance of technology.	

Project	Project Name	Align existing and planned systems to support Global Outreach functions
	Description	This project seeks to develop and implement the infrastructure needed to support expanded Global Outreach functionality throughout the Agency. Tasks include defining formal global outreach requirements and assessing the costs and benefits of realigning resources and investments on an Agency-wide level.
GLO-5A	Objective	♦ To align knowledge management and executive information systems to support public relations and marketing functions ♦ To evaluate and align investments to support public relations and marketing functions ♦ To develop a solution that provides a complete picture of Agency operations and results

Recommendation(s) Supported	Potential Project Tasks
GLO-01 Align knowledge management and executive information system assets to support public relations and marketing functions. **GLO-02** Combine the output of technical and business information (Knowledge for Development & Executive Information System) to gain complete picture of USAID operations. **GLO-05** Re-engineer both Knowledge for Development OMB Exhibit 300 and Executive Information System OMB Exhibit 300 to support public relations and marketing functions. **GLO-06** Combine Knowledge for Development and Executive Information System OMB Exhibit 300s to create a complete picture of USAID operations.	1) Establish formal Global Outreach requirements that integrate a) Business needs i) Establish business requirements that support Development Policy and Diplomacy, Partnership Development, and Program Design VAS capabilities ii) Establish supporting KfD and EIS business requirements b) Technical and infrastructure needs i) Desktop standardization ii) Communications/network iii) Repository/warehousing iv) Presentation layer v) Security (a) USAID internal (b) External entity interface c) External interface needs i) Other USG ii) DoS iii) Implementing partners 2) Assess USAID's ability to support a world wide Global Outreach requirements a) Agency wide system b) Joint (DoS & USAID) integration c) Implementing partners integration d) Technical infrastructure assessment 3) Perform cost benefit analysis of developing formal Global Outreach functionality in USAID and external systems a) Risk analysis of changes to existing systems b) Integration points between KfD, EIS, and other systems c) Funding needs and sources d) Operational benefit e) OMB 300 implications (USAID and joint) f) Assessment of manual vs. automated systems and processes 4) Establish standard interfaces with external entities (other USG, and implementing partners). 5) Align EIS OMB 300 with KfD OMB 300 to create a complete picture of USAID's technical and business operations a) Incorporate public relations and marketing function into the OMB 300s.

Project		
	Project Name	**Establish Global Outreach as a Formal Function Across USAID**
	Description	This project seeks to infuse Outreach functionality at every level throughout the Agency. Tasks include developing global outreach policy, defining a governance structure the cross Agency organization levels, expanding public affairs responsibilities, and instituting formal outreach training.
GLO-5B	**Objective**	♦ To establish Global Outreach as a formal Agency function ♦ To clearly define a GLO governance structure ♦ To develop standard GLO standards, goals, and objectives ♦ To increase the awareness of all Agency and implementing partner personnel of USAID's story and the need to communicate it ♦ Provide USAID implementing partner personnel the information and training needed to effectively relay information about and the value of USAID ♦ Provide the resources needed to implement GLO objectives and goals

Recommendation(s) Supported	Potential Project Tasks
GLO-03 Design assets to collect, publish, and promote USAID's story and train appropriate staff in their use. **GLO-04** Budget for public outreach at the Operating Unit level and establish performance metrics for the use of these budgeted funds. **GLO-07** LPA should issue a comprehensive Indefinite Quantity Contract (IQC) to access public outreach services. **GLO-08** USAID should sponsor a Speakers Bureau for staff from across the entire Agency and its implementing partners, where USAID sponsors individuals to tell the USAID story. This includes developing a training program, user friendly resources, and staff support. **GLO-09** USAID Public Outreach investments should reflect the importance of foreign assistance as one of the three instruments of the National Security Strategy. **GLO-10** Expand the Public Affairs office to more closely resemble a private marketing and public relations organization. **GLO-11** Designate a Public Affairs Officer in all Operating Units in headquarters and the field. These individuals should report directly to the Operating Unit Director, and their position descriptions, work objectives, Individual Development Plans, and training should reflect their primary public outreach responsibility. **GLO-12** Every USAID manager should have Public Outreach training, measurable work objectives, and visible incentives. **GLO-13** Align Knowledge for Development processes to support telling USAID's story. **GLO-14** Enhance formal Agency public relations processes throughout USAID and promulgate ADS policies on public outreach. **GLO-15** Institute the concept that all USAID personnel and partners are responsible for understanding and promoting USAID's story.	1) Establish formal Global Outreach governance structure a) Develop a formal Global Outreach ADS i) Incorporate Public Affairs and Marketing best practices ii) Formalize Global Outreach USAID goals and objectives iii) Formalize individual USAID and implementing partner responsibilities and performance measures b) Develop formal Global Alliance guidance aligned with Global Outreach objectives to make sure that from the outset of the alliance process Global Outreach goals are planned for, implemented, and measured c) Incorporate Global Outreach requirements and performance measures in all solicitations and awards d) Incorporate Global Outreach requirements and performance measures in Operating Unit strategies e) Establish a full time Global Affairs officer at each Pillar Bureau, Geographic Bureau, and Mission, to include: i) Position description ii) Work objectives iii) Individual Development Plan iv) Training f) Sponsor a Speaker's Bureau for staff from across the Agency and its implementing partners where USAID sponsors individuals to tell the USAID story, and the value that the Agency provides, to include: i) Training ii) Staff Support iii) User friendly resources 2) Expand USAID Public Affairs Office responsibilities to include: a) Maintaining Global Outreach ADS b) Coordinating Global Outreach campaigns i) With national and international media ii) Across USG

Project		
	Project Name	**Establish Global Outreach as a Formal Function Across USAID**
	Description	This project seeks to infuse Outreach functionality at every level throughout the Agency. Tasks include developing global outreach policy, defining a governance structure the cross Agency organization levels, expanding public affairs responsibilities, and instituting formal outreach training.
GLO-5B	**Objective**	♦ To establish Global Outreach as a formal Agency function ♦ To clearly define a GLO governance structure ♦ To develop standard GLO standards, goals, and objectives ♦ To increase the awareness of all Agency and implementing partner personnel of USAID's story and the need to communicate it ♦ Provide USAID implementing partner personnel the information and training needed to effectively relay information about and the value of USAID ♦ Provide the resources needed to implement GLO objectives and goals

Recommendation(s) Supported	Potential Project Tasks
GLO-16 Enhance USAID's formal role in achieving the National Security Strategy. **GLO-17** Develop Global Development Alliance guidance aligned with Public Outreach objectives to make sure that from the outset of the alliance, process Public Outreach goals are planned for, implemented and measured. **GLO-18** Revise ADS 201 to require that every Operating Unit strategy must include Public Outreach goals, objectives, and performance metrics. **GLO-19** Include standard provisions in all Acquisition & Assistance solicitations and awards to require public acknowledgement of USAID funding in implementing partners' fundraising, public outreach, and media interviews.	iii) With US public iv) With foreign governments v) With Operating Units vi) Around global community vii) In response to international disasters c) Establishing formal Global Outreach goals, objectives and measures for: i) USAID leadership ii) USAID personnel iii) Operating Units iv) Implementing Partners d) Establishing an independent budget and issuing a formal contracting vehicle to access public outreach services e) Developing and overseeing Global Outreach training i) USAID 101 for all Agency personnel (1) USAID functions (2) USAID Programs (3) Countries operating in (4) USAID accomplishments, and successes (5) USAID role with implementing partners as sponsor of world-wide development activities (6) Relationship with: DoS, Other USG, US Public, foreign governments ii) Strategic communications needs for Agency leadership (1) USAID goals and objectives (2) USAID role as leader of USG international development (3) Supporting USAID communications infrastructure (4) Development community networking

Project	Project Name	Establish Global Outreach as a Formal Function Across USAID
	Description	This project seeks to infuse Outreach functionality at every level throughout the Agency. Tasks include developing global outreach policy, defining a governance structure the cross Agency organization levels, expanding public affairs responsibilities, and instituting formal outreach training.
GLO-5B	Objective	♦ To establish Global Outreach as a formal Agency function ♦ To clearly define a GLO governance structure ♦ To develop standard GLO standards, goals, and objectives ♦ To increase the awareness of all Agency and implementing partner personnel of USAID's story and the need to communicate it ♦ Provide USAID implementing partner personnel the information and training needed to effectively relay information about and the value of USAID ♦ Provide the resources needed to implement GLO objectives and goals
Recommendation(s) Supported		**Potential Project Tasks**
		iii) Speaker Bureau training (1) Public speaking (2) USAID highlights (3) Structuring how to discuss individual Program, Bureau, and Operating Unit successes and benefits (4) Speaker Bureau series support (5) Development community networking

7.2.6 General

Initiative	Initiative Name	General Initiatives (GEN)
	Description	This initiative seeks to enhance USAID's infrastructure across the board. It is not necessarily focused on building the capabilities of any single functional group. Rather the projects within this initiative are intended to enhance capabilities across the Agency.
6. GEN	Related Projects	6A. Develop unified Agency integration strategy 6B. Develop a common operating platform for the Agency 6C. Enhance Agency communications infrastructure

PRM Critical Success Factor	BCM Capabilities Supported	Business Issues Addressed	
♦ All	♦ All	♦ All	♦

Project	Project Name	Develop unified Agency integration strategy
	Description	This project seeks to develop a single integration strategy for all USAID's current and planned systems. This strategy must encompass all current systems. It must also designate integration standards for planned investments, and interfaces with other organizations.
GEN-6A	Objective	♦ To establish a formal method for integrating the Agency's information technology assets. ♦ To establish a standard that can be used to guide future Agency information technology investments. ♦ To establish standards and means that the Agency can use to interface with external organization.

Recommendation(s) Supported	Potential Project Tasks
GEN-01 Combine all Knowledge Management sources and assets into a single system in order to provide a comprehensive repository of USAID technical and business operations and train USAID and implementing partner staff using this system. **GEN-02** Develop an infrastructure that adequately supports USAID's global business model. **GEN-03** Develop an infrastructure that supports Agency wide integration of existing and planned systems. **GEN-04** Develop and integrate Agency and implementing partner-wide systems to support combined budgeting, financial, procurement, reporting, decision support, technical support, and collaboration management functions. **GEN-09** Create a task force to identify and implement formal processes and robust systems in support of all critical capabilities, particularly those at the Plan and Control management levels of the Development Policy and Diplomacy, Partnership Development, Program Design and Program Operations Value Added Services. **GEN-10** Develop the organization and supporting resources to plan, direct, manage, and control the patterns of Agency system evolution. Eliminating redundant investments and standardizing as many systems as possible will gain economy of scale and economies of scope by tightly controlling this evolution. A determination must also be made as to whether the appropriate level of system (Formal, Semi-Formal or Informal) is supporting each capability.	1) Develop business and technical requirements that support USAID business Model a) Business needs i) Agency Operating Model (1) Procurement centric organization (2) Mobility of personnel (3) Global business system support (4) Regionalization (5) Shared infrastructure with implementing partners (6) Increased Agency wide coordination of functions (7) Program level support needs (8) Agency level needs ii) Integration of dispirit technical, program and business support b) Technical and infrastructure needs i) Desktop standardization ii) Communications/network iii) Remote support iv) Repository/warehousing v) Presentation layer vi) Remote Administration vii) Security (a) USAID internal (b) External entity interface c) External interface needs i) Other USG ii) DoS d) Implementing partners 2) Assess current infrastructure capabilities 3) Perform cost benefit analysis 4) Develop unified business and technical architectures 5) Develop migration plan for legacy system integration 6) Develop integrated architecture for planned systems 7) Conduct an overall assessment of current USAID systems and OMB 300 for: a) Alignment to the Agency's business model b) Complementariness to each other in support of the business model 8) Develop the governance structure to support system alignment

Project	Project Name	**Develop a common operating platform for the Agency**
	Description	This project seeks to develop a single operating platform for the entire Agency, containing a desk top that is standard across all Agency organizations. This platform must be available across USAID's global infrastructure, must support the use of all enterprise systems and tools, and must allow implementing partners to access appropriate Agency systems.
GLO-6B	Objective	♦ To provide a unified means to connect and access Agency systems and information sources ♦ To provide a standard desktop throughout the entire USAID infrastructure ♦ To eliminate the redundancy of multiple systems and tools performing the same function ♦ To increase the maintainability of the Agency's infrastructure

Recommendation(s) Supported	Potential Project Tasks
GEN-05 Investigate investment overlaps to reduce redundancy, reduce unnecessary costs and to establish data, information and reporting standards. Capabilities should be supported by a single system wherever possible. The management and use of these can be governed through the use of service level agreements in order to promote reliable quality levels and customer service through the Agency and its implementing partners. **GEN-07** Establish a body to guide, review, realign, and control functions across the Agency in a standard and consistent manner. **GEN-08** Create a formal structure to oversee and govern collaborative operations between USAID and other USG entities. **GEN-12** Document and evaluate program and activity management processes to include roles & responsibilities, communications guidance and structure, field and headquarter responsibilities, and procedures. **GEN-13** Create a formal relationship between program and support services where programs pay for services rendered and are guaranteed a defined level of service.	1) Investigate the following technical solutions for applicability for the USAID environment a) Unified desktop b) Single access point for Agency information c) Global infrastructure d) Implementing partner integration e) Remote access\Telecommuting f) Remote Administrative Services 2) Perform cost benefit analysis of acquiring and integrating these solutions with other USAID and external systems a) Risk analysis of changes to existing systems b) Integration points c) Funding needs and sources d) Operational benefit e) OMB 300 implications (USAID and joint) f) Assessment of manual vs. automated systems and processes

Project	Project Name	Enhance Agency communications infrastructure
	Description	This project seeks to enhance the policies, procedures, and supporting organizational characteristics in order to improve communications throughout the global Agency infrastructure.
GLO-6C	Objective	♦ To establish a means to ensure that major Agency communications get to needed organizations throughout the Agency ♦ To establish a means to ensure that major Agency communications get to needed external entities

Recommendation(s) Supported	Potential Project Tasks
GEN-06 Create a formal structure responsible for coordinating major communications between USAID/W and the field, complete with associated roles and responsibility, performance metrics, and lines of accountability. **GEN-11** Develop formal communication vehicles between USAID/W and the field, and identify a mechanism to govern and create formal accountability for major Agency messages.	1) Establish communications: a) Standards b) Roles and responsibilities c) Standard organizational requirements d) Lines of communication and accountability 2) Establish formal Agency communications oversight body to establish and control major Agency communications a) Coordinate major communications i) Between USAID/W and the field ii) Between field Operating Units iii) Between USAID and external entities b) Establish communications goals and objectives c) Formalize individual and organizational responsibilities and performance measures d) Monitor and measure major Agency communications i) Processes ii) Technical infrastructure e) Monitor and measure major Agency communications with external entities i) DoS ii) Other USG iii) Foreign Governments iv) Implementing partners

7.3 Conclusions

7.3.1 The Final Analysis

During the course of this Enterprise Architecture assessment, a number of detailed findings related to each of the Functional Groups led the team to develop highly specific recommendations coupled with in depth initiatives and projects. The purpose of this section is to recast those findings at a higher level to provide general context and to illustrate broad Agency wide findings.

The graph below embodies the essence of the EA analysis. The three lines represent the most important analytical elements (Value Added Services, Planned Investments and Current Systems) and their relationships to each other.

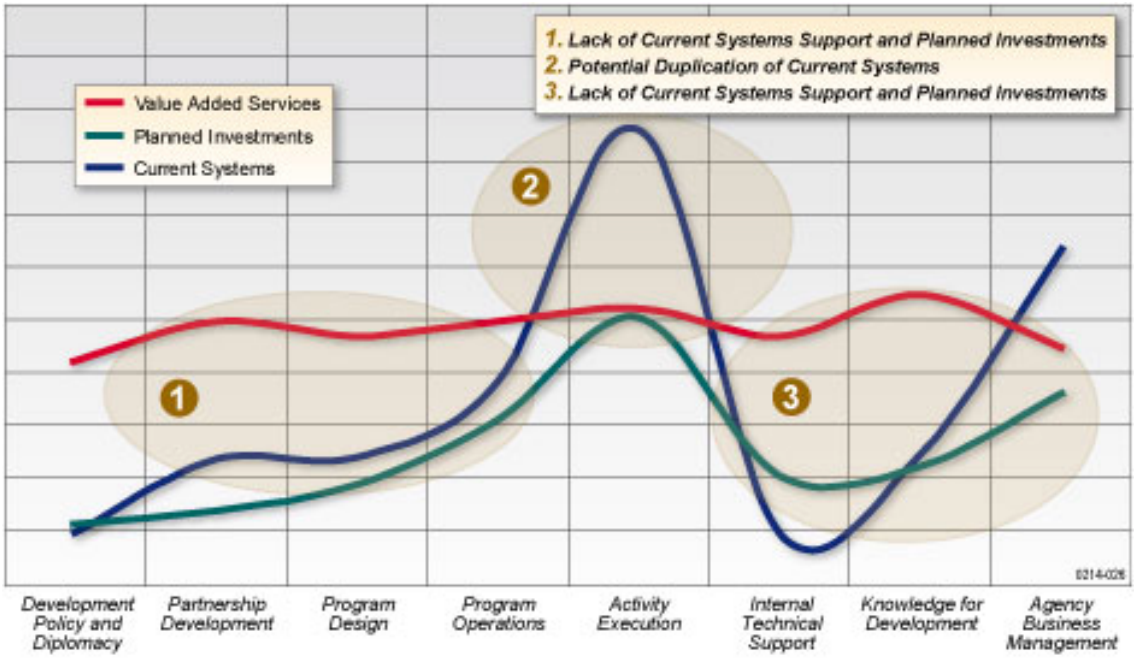


Figure 16: Trend Analysis

Value Added Services

The red line represents the relative impact of the Business Capability Map Value Added Services to the Agency successfully carrying out the full extent of its mission. Although there are slight variations, all of the services hover near the same value. The implication is that all of the services are roughly equally important to the Agency's mission. The slight dip in the Development Policy and Diplomacy service is an indication of the effort necessary to strengthen these capabilities to support a more robust Global Outreach. The peak in Knowledge for Development is a result of the fact that most of the information generated by the other services should be captured by KfD so that it can be reused. This tends to relate KfD with every activity in the Agency, giving it more emphasis. The slight dip in the Agency Business Management service indicates an understanding that, although these capabilities are essential to the day-to-day operation, they do not represent the fundamental mission of the Agency. This is a key fact that will be explored further in the Planned Investments and Current Systems sections below.

Planned Investments

The green line represents the Agency's planned investments in relation to each other. This information is based on a review of the Agency's FY2006 Exhibit 300s. Unlike the Value Added Services, there is a considerable variance in this data.

The major peak in support of Activity Execution indicates an awareness that Acquisition & Assistance and Activity Management are core functions of the Agency. These should be, and are, supported by significant investments. Other areas, however, equally important to the effective operation of the Agency, are supported by only moderate investment, and in some cases, no investment at all. Of particular note are the areas involving Policy and Diplomacy, Partnership Development, and Program Design. These functions, recognized as being among the most important to fulfill the Agency's strategic and tactical goals, are supported by less planned investments that any other business area. Future investment plans should consider these functions. Integration of the Agency's enterprise-wide business support systems and infrastructure would serve this purpose well.

The Activity Business Management services, which include financial management, procurement, human resources management and so on, are supported by significant investment. Even though they do not represent the core mission of the Agency, this is necessary to provide the underlying administrative support and the business intelligence to aid in the effective management of the Agency's activities and resources. Some critical systems, such as Performance Based Budgeting, have not yet been deployed. The next step is to assess the remaining business management requirements and to implement systems and supporting infrastructure to bridge the gaps. Once this has been accomplished, the full integration of these systems with program-based and knowledge management systems would provide a robust organizational foundation and solidify USAID's position as leader of the USG development effort.

Current Systems

The blue line indicates currently deployed systems. These include three levels of system maturity. Formal systems are the most mature and are managed at the enterprise level, Semi-Formal systems are managed by IRM and Informal systems are the least mature and are managed by the individual business units or users.

The broad swings, in many cases, result from numerous systems, at various levels of maturity, supporting the same business function. This provides a number of challenges, not the least of which is the management of resources necessary to support the systems and the probability that some of the functionality is redundant and does not support Agency goals. The existence of multiple systems at multiple levels also makes it impossible to effectively integrate the information derived from these systems, severely hampering the ability to perform comprehensive business and technical analysis on an Agency-wide basis. This appears to be particularly prominent in the Agency Business Management services. A huge number of disparate systems are brought to bear to solve day-to-day business problems but the resulting information cannot be easily combined, aggregated or in any way analyzed in total.

This supports the assertion that it is imperative that the Agency conduct a formal assessment of the systems supporting every business function to ensure that all functions are adequately supported by integrated, formal systems and infrastructure.

Combining the Elements

There is a distinct correlation between the Current Systems plot and the Planned Investments plot. This indicates that investments are aimed at replacing existing immature or aging systems and infrastructure. To a certain extent this indicates that the current path is a valid as inefficient systems must be retired as the new systems come online. On the other hand there is significant risk in repeatedly making redundant investments, while not investing to support areas which are equally important to the Agency's business model.

The importance of assessing the need for systems and supporting infrastructure to sustain, the Agency's core development planning functions cannot be underestimated. The fact that these activities currently have sparse support does not necessarily indicate that there is not a need for support. It simply indicates that, to date, there has been minimal emphasis placed on these areas.

The most important single recommendation resulting from this study is the consolidation and integration of primary business systems with program-based and knowledge systems. This is key to achieving the long term goals of the Agency. Fully integrated Enterprise Resource Planning (ERP) systems typically provide for planning, purchasing, interacting with suppliers, providing customer service, financial management and human resources management. USAID has over the past several years invested heavily in systems to support some of these business functions. As a result, the implementation of a fully integrated, single-source system is not economically practical. A recognized industry alternative to the implementing ERP is to deploy a suite of mature systems with an integrated operating and data environments created through the use of an intermediate system, commonly referred to as middleware. This approach allows for the integration of best of breed systems into, what appears to the user community as, a single integrated system. Data is manipulated and managed by the middleware to support the needs of the various systems. Access is often provided through a web-based portal. This eliminates the need to install and maintain numerous applications on each desktop and gives the network management team full control over application versioning, data access and enhances general network security. In an integrated environment as complex as this, it is also necessary to organize and regulate the progression of tasks between individuals or organizations. Automated workflow management is a key component to the success of any complex integrated system.

The adoption of the fully integrated approach would have an acute impact on the emphasis placed on the systems designated to support various business functions. The interrelationships and dependencies between seemingly unrelated functions would become much more apparent when considering the needs of the entire enterprise as opposed to assessing the needs of individual business units or business functions. This will uncover a vast number of opportunities for enhancement of business operations and accomplishment of the Agency's mission.

7.3.2 Summary

USAID is the U.S. Government's foreign assistance leader, a position the Agency has earned through decades of technical excellence, remarkable programming agility, and broad field presence. From long-term development programs that have increased literacy, life expectancy, rule of law, and economic opportunity for millions of people to emergency relief and reconstruction activities that have saved lives and helped communities rebuild after war or natural disaster, USAID has represented the best of American values while advancing our nation's interests in peace, prosperity, and stability. In elevating

foreign assistance to the same level of importance as diplomacy and defense as instruments of U.S. foreign policy, moreover, the National Security Strategy has underscored the criticality of USAID's mission.

To maintain this leadership role, coordinate and collaborate with its many partners, and fulfill vital U.S. foreign policy mandates, USAID must better align its technical architecture and investments with the Agency's current business model. As USAID continues to explore a greater degree of joint operations with the Department of State and other USG entities, the Agency must focus on maturing and systematizing USAID's core services across its global organization. Given the competition for resources and the need to link results with appropriated funds, USAID cannot simply excel in field programs; it must be able to quickly disseminate, aggregate, and apply relevant financial and program information across its entire infrastructure, and with its overseers and partners in the field and in Washington.

Over the last couple decades USAID has transformed into a procurement organization. Although USAID staff are still the foreign affairs personnel with the most dirt under their fingernails, they no longer build the schools or dig the irrigation systems. Rather, through acquisitions and assistance instruments, USAID coordinates others to provide those direct development services. USAID must continue to embrace and build upon this procurement- centric model, by increasing the integration of – and investments in – procurement throughout its entire business model. The Agency also needs to increase its ability to provide technical support across its infrastructure to help coordinate and manage worldwide operations. To do this USAID must expand its ability to provide aligned Business Decision Support and Technical Decision Support capabilities. At every level USAID personnel and their implementing partners must be able to get to the critical information they need to manage activities in the field, solve complex technical problems, and coordinate programs around the world.

These worldwide programs are worthy of support and pride, yet the U.S. and foreign publics and other USG entities do not have a clear understanding of the valuable services that USAID provides around the world, nor their impact on the President's National Security Strategy. As recent experience with South Asian Tsunami relief demonstrates, because USAID now provides many of those services through its implementing partners – who may not always acknowledge USAID support when interviewed by the press – the world has little understanding of the critical role USAID plays in funding and coordinating America's disaster response. To ensure its long term viability, USAID must increase its investments in effective outreach.

Today, USAID's mission is perhaps more critical than at the Agency's inception in 1961. With increased globalization and because of the threat of terrorism, USAID's services are more directly important to the American Public than they have been in decades. Yet The Agency's technical infrastructure is quickly becoming outdated, it is difficult to aggregate critical funding and results data, it is nearly impossible to effectively coordinate operations across USAID's global organization, and the Agency's workforce is aging rapidly. To overcome these challenges, USAID must invest wisely to improve and expand its operations as a procurement organization, establish budgets tied to performance goals, quickly generate program and activity management information, provide technical support throughout its global infrastructure and to implementing partners, and to tell the Agency's story to key stakeholders in a relevant and understandable way. If USAID succeeds in these tasks, the Agency will continue to build on its tremendous tradition of providing critical services to some of the world's neediest people.

UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT

Business Capability Map

Version 1.1

	Development Policy and Diplomacy	Partnership Development	Program Design	Program Operations	Activity Execution	Internal Technical Support	Knowledge for Development	Agency Business Management	
	Actively identifies foreign assistance policy opportunities / issues; sets policy with and for the development community; advocates policy to stakeholders; and contributes to USG foreign policy formulation	Provides formal and informal mechanisms for entering into, building and maintaining strategic relationships (bi-lateral and multi-lateral donors, host governments, implementing partners, GDA partners)	Provides the system of overall resource requirements and optimal approaches (intervention mechanisms) to meet a foreign assistance need, strategic objective or goal	Provides the underlying resource system for setting up specific programs for implementation	Carries out specific activities under a program	Provides specialized, enabling support services to USAID operating units for program implementation	Provides a network wide development & humanitarian assistance knowledge base that can be systematically and dynamically developed and used by relevant communities inside and outside USAID	Establishes the Agency's overall shared service business infrastructure, i.e. putting in place the operational governance, business model, management policies and decision-making that enable the day-to-day operations of administering development and humanitarian assistance (primarily OE-funded)	
Plan Capabilities about strategy, overall direction and policy and includes "ideation coming up with ideas / concepts before planning can occur.	Policy Dialogue	Partner Collaboration Strategic Planning	Contextual Analysis	Program Resource Planning	Acquisition & Assistance Planning	Technical Support Planning	Strategic Planning for Knowledge Management	Strategic Planning and Direction	Facilities and Asset Planning
	Policy Setting	Compatibility Assessment	Program Strategic Budgeting	Intervention Mechanisms Planning	Activity Planning	Technical Support Service Design	Knowledge Management Policy	Budgeting	Ops, Standards, Policy and Guidance
	Policy Communications Strategy		Program Performance Planning	Funding Instrument Strategy Development	Activity Logistics Planning		Knowledge Architecture Development	Human Capital Planning	Communications Strategic Planning
				Logistics Strategy Development				Info & Tech Strategic Planning	
Control Capabilities about continuous monitoring and evaluation; direction and oversight; issue resolution and feedback to assure optimal performance.	Policy Environment Monitoring	Partnership Coordination	Program Guidance	Program Funding / Resource Coordination	Logistics Coordination	Technical Support Delivery Coordination	Knowledge Life Cycle Management	Security Management	Human Capital Management
	Policy Enforcement	Partnership Management		Program Governance	Activity Management	Technical Support Service-Level Agreement (SLA) Management	Knowledge Impact Assessment	Performance Management	Information Systems and Technical Management
	Policy Communications Management			Program Portfolio Management	Activity Performance Management	Technical Support Delivery Evaluation		Financial Management	Communications Management
				Program Performance Management				Acquisition and Assistance Management	
Execute Capabilities about Performing the work.	Policy Communications	Partner Engagement	Scenario Development	Acquisition and Assistance Coordination	Resource Deployment	Technical Support Service Delivery	Competency Area Development	Finance Administration	Information Systems and Technology Administration
	Stakeholder Outreach	Partnership Administration	Program Component Selection	Resource Mobilization	Activity Administration	Technical Assistance Training	Knowledge Life Cycle Administration	Facilities Administration	Acquisition and Assistance Administration
			Intervention Mechanism Development				Technical Reference and Knowledge Support	Human Capital Administration	Communications Administration

Created by IBM

This page intentionally left blank.