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* FY **2000** USAID STATUTORY CHECKLISTS
Introduction.
Country Checklist
Assistance Checklist
Memorandum on Specific Country Limitations in FY 98
Appropriations Act "Taking Into Consideration" Memorandum

Team Development
Tool Kit for Effective Teamwork
Bibliography of Selected Books and Articles on
Effective Teamwork
Analysis
Financial Analysis
Economic Analysis
Social Soundness Analysis
Administrative Analysis
Environmental Analysis - ADS chapter 204 -
"Environmental Procedures" and 22 CFR 216
Technical Analysis

Developing and Monitoring Activities
Congressional Notification (RESERVED)
Characteristics of Results Packages (RESERVED)
Legal and Policy Considerations when Involving Partners and Customers on Strategic Objective Teams and Other Consultations
Management Tools to Ensure Pre-Obligation Planning Requirements Are Met
New Operations Processes That Replace Authorizations

202.7 Mandatory References

* **[removed Country Eligibility Checklist Index]**
Official Files
31 USC 1341(a)(1)
Gender Plan of Action, March 1996
WID Policy Paper, October 1982; HB 1

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202.1 Authority

1. The Foreign Assistance Act (FAA) of 1961, as amended
2. The Government Performance and Results Act of 1993, Public Law 102-62 (GPRA)
3. Chief Financial Officers Act of 1990, Public Law 101-576 (November 15, 1990)
4. Government Management Reform Act of 1994, Public Law 103-356 (October 13, 1994)
5. Agricultural Trade and Development and Assistance Act of 1954, as amended (P.L. 480)
6. SEED Act of 1989
7. Federal Manager's Financial Integrity Act of 1982
8. FREEDOM Support Act of 1992

202.2 Objective

The objective of this chapter is to provide direction for the effective management of Agency development and humanitarian assistance programs and resources, with an emphasis on achieving results through team efforts and customer focus. More specifically, this chapter serves to:

a) Ensure that the efforts of the Agency's operating units are directed toward achieving significant development impact in priority areas through a participatory process involving stakeholders, partners, and customers;

b) Provide a structure which allows operating units to make program choices and effectively respond to evolving circumstances;

c) Emphasize the accomplishment of results;

d) Focus on identifying and meeting the needs of all customers, including those of every age, gender, and level of physical and/or mental ability;

e) Promote a teamwork approach, including U.S. Agency for International Development (USAID) staff, partners and customers;

f) Provide a significant level of empowerment and accountability for those individuals and management units closest to the development and humanitarian problems being addressed; and

g) Promote the regular collection and review of data and information related to performance resulting in the continuous improvement of the implementation of development assistance; the effectiveness of management decisions and processes; the means by which the Agency learns through its experience; and the ability of the Agency to meet accountability and reporting requirements.

202.3 Responsibility

1. Bureau for Policy and Program Coordination (PPC): PPC is responsible for:

a) Establishing Agency policy regarding strategic planning requirements;

b) Developing and articulating the Agency's strategic plan and framework;

c) Issuing annual planning guidance to include resource parameters and program priorities in a timely manner;

d) Providing guidance on any special legislation which affects strategic planning;

e) Reviewing and approving supplemental planning guidance issued by the operating bureaus;

f) Reviewing and concurring with operating unit strategic plans for conformance with Agency goals and program policies;

g) With the M Bureau, conducting the Agency reviews of bureau budget submissions and ensuring that performance and results information is used in budget allocation decisions;

h) Establishing and maintaining a monitoring system for Agency goals and objectives;

i) Coordinating the review of Agency performance, and reporting on that performance;

j) Providing technical leadership in developing Agency and operating unit performance monitoring and evaluation systems;

k) Evaluating the effectiveness of Agency program strategies and other strategies used by operating units to achieve objectives;

l) Conducting evaluations on issues related to the delivery of development assistance of interest to the Agency or its stakeholders;

m) Maintaining the Agency's database of development information and development experience and acting as a repository for Agency lessons learned; and

n) Supporting its operating units in achieving approved objectives, and reviewing annually those units' performance in achieving their objectives.

2. Bureau for Management (M): M is responsible for:

a) Analyzing the resource requirements necessary to meet Agency goals;

b) Establishing indicative budget planning levels for operating bureaus in a timely manner;

c) Reviewing and concurring with operating unit strategic plans for consistency with anticipated resource availability;

d) Conducting the Agency review of bureau budget submissions with PPC;

e) Ensuring that performance and results information are used in Agency resource allocation decision making;

f) Preparing the Agency's annual budget request for OMB and Congress;

g) Monitoring budget implementation;

h) Assisting PPC with establishing and maintaining the monitoring system for Agency goals and objectives, and reviewing and reporting on overall Agency performance; and

i) Ensuring within the Agency the provision of procurement, human resource management, financial management and other support services to facilitate the achievement of operating unit and Agency objectives.

3. Office of General Counsel (GC): GC is responsible for:

a) Assuring that proposed activities are in compliance with all legal requirements;

b) Assuring that such activities and their implementation were not in violation of any prohibitions against assistance; and

c) Assuring that agreements with host countries, and other agreements as appropriate, meet the agency's requirements.

4. Regional Bureau: Each regional bureau is responsible for:

a) Providing oversight and support to operating units in the strategic planning process, ensuring that strategic plans are in place for each operating unit;

b) Providing supplemental policy guidance addressing concerns unique to the region as necessary;

c) Establishing indicative country levels for budget planning prior to the initiation of the strategic planning process and the annual results review and resource request (R4) submission;

d) Managing the Agency review of strategic plans for operating units under its authority;

e) Reviewing strategic plans from its operating units as well as those from Global Bureau (G) and Bureau for Humanitarian Response (BHR) operating units for consistency with regional priorities and geopolitical considerations;

f) Approving country and regional strategic plans under its purview with concurrence from Management (M), Policy and Program Coordination (PPC), General Counsel (GC), BHR (as appropriate), and G;

g) Managing the review of results review and resource request submissions for operating units under its authority, and preparing the bureau budget submission;

h) Providing an analytic overview of results in the region in conjunction with the annual bureau budget submission;

i) Supporting its respective operating units overseas and, in USAID Washington (USAID/W), in achieving approved objectives, pursuant to the management contracts established following the review and approval of strategic plans;

j) Reviewing and assessing the performance of each of its operating units in achieving that unit's objectives;

k) Coordinating the participation in these reviews of PPC, M, G, and BHR; and

l) Participating in the review of overall Agency performance.

5. Global Bureau (G): G is responsible for:

a) Assisting overseas and USAID/W operating units by providing technical leadership and guidance, including ensuring that the differing needs of persons of every age, gender, and level of physical and/or mental ability are addressed in the development and review of strategic plans;

b) Organizing the provision to all operating units of central technical resources which are relevant to implementation of strategic plans;

c) Providing assistance to PPC in establishing and maintaining the monitoring system for Agency goals and objectives;

d) Participating in regional bureau reviews of field mission performance, and in the review of overall Agency performance;

e) Providing oversight and support to its own operating units in developing their strategic plans, ensuring appropriate consultation in this process with operating units in the field, managing the Agency review of those plans, and approving the plans with concurrence from M, PPC, GC, BHR (as appropriate) and regional bureaus;

f) Supporting its operating units in achieving approved objectives, including gender integration, and reviewing (in consultation with PPC, M, BHR and regional bureaus) and reporting annually those units' performance in achieving their objectives; and

g) Managing the review of results review and resource request submissions for operating units under its authority, and preparing the bureau budget submission.

6. Bureau for Humanitarian Response (BHR): BHR is responsible for:

a) Providing technical leadership and guidance in planning and

implementation to all operating units in the area of humanitarian assistance, food aid, and programs which are in transition from relief to development as appropriate;

b) Reviewing operating unit strategic plans to assure humanitarian, disaster relief, food aid, and transitional concerns are appropriately addressed, and participating in other bureau reviews of their respective operating units' performance;

c) Organizing the provision of resources under its purview relevant to implementing strategic plans;

d) Providing oversight and support to its own operating units in developing their strategic plans;

e) Ensuring appropriate consultation with operating units in the field;

f) Managing the review and approval of strategic plans for operating units under its authority, with concurrence from M, PPC, GC, regional bureaus, and G; and

g) Managing the review of results review and resource request submissions for operating units under its authority, and preparing the bureau budget submission along with an analytic overview of results in its programs.

7. Operating Units: Operating units are responsible for:

a) Developing strategic plans for program funds for which they have responsibility and authority;

b) Ensuring the participation of other interested USAID offices, partners, customers, and relevant stakeholders throughout planning, achieving and performance monitoring and evaluating;

c) Within the scope of its management contract, delegated authorities, and Agency directives, managing the implementation of the strategic plan, including establishing and defining authorities for strategic objective teams, achieving the objective(s) set forth in the plan, and reviewing performance and reporting annually on that performance to their respective bureaus;

d) During the course of implementation, ensuring that their strategic objective teams gather and use performance information to manage for results, and that adequate resources are

programmed for performance monitoring and evaluation.

8. Strategic Objective Team: A strategic objective (SO) team is responsible for managing to achieve a specific strategic objective under the direction of an operating unit. The SO team's specific responsibilities include:

a) Establishing its internal operating rules and procedures (consistent with its delegated authorities);

b) Involving customers and partners in collecting, reviewing and interpreting performance information, and assuring that agreed-to customer needs are addressed through activities being implemented;

c) Grouping, as appropriate, results and associated activities from the SO's results framework into results packages (and regrouping as necessary);

d) Allocating resources associated with achieving the objective;

e) Ensuring that gender considerations are integrated into the development of and plans for any activity leading to implementation through a contract, grant, or other agreement with a non-governmental entity, or documenting (per guidelines in E202.5.5c) that the absence of gender considerations in the activity is justified. **(See E202.5.c)**

f) Developing and implementing (within subteams if appropriate) necessary and effective activities, contracts, grants and other agreements;

g) Monitoring, analyzing and reporting on performance against established performance criteria, and taking corrective action as necessary;

h) Using evaluative activities to determine why assistance is or is not achieving intended results;

i) Recommending to the operating unit any changes to an objective or the strategic plan;

j) Preparing appropriate close-out reports, including resources expended, accomplishments achieved and lessons learned;

k) With respect to the strategic objective team leader,

organizing, coordinating, coaching and inspiring the team to achieve the set of results leading to the strategic objective; and

l) With respect to each strategic objective team member, advancing a common team effort to achieve the strategic objective assigned to the team, and implementing his or her specific responsibilities and authorities on that team.

202.4 Definitions **(See GLOSSARY)**

ACTIVITY
ACTIVITY MANAGER
AGENCY GOAL
AGENCY MISSION
AGENCY OBJECTIVE
AGENCY PROGRAM APPROACH
AGENCY STRATEGIC PLAN
AGENCY STRATEGIC FRAMEWORK
AGENT
AGREEMENT
ASSISTANCE MECHANISM
BASELINE
CAUSAL RELATIONSHIP
CRITICAL ASSUMPTION
CUSTOMER
CUSTOMER REPRESENTATIVE
CUSTOMER SERVICE PLAN
CUSTOMER SURVEYS
DEVELOPMENT EXPERIENCE
DEVELOPMENT INFORMATION
EVALUATION
GLOBAL PROGRAMS OR ACTIVITIES
GENDER INTEGRATION
GOAL
IMPLEMENTATION LETTERS
INDICATOR
INPUT
INTERIM PERFORMANCE TARGET
INTERMEDIATE CUSTOMER **(See also CUSTOMER and ULTIMATE CUSTOMER)**
INTERMEDIATE RESULT
JOINT PLANNING
LESSON LEARNED
LIMITED SCOPE GRANT AGREEMENT
MANAGEABLE INTEREST
MANAGEMENT CONTRACT

MEMORANDUM OR LETTER OF UNDERSTANDING
NEW MANAGEMENT SYSTEMS
OBJECTIVE
OBLIGATION
OPERATING UNIT
OPERATING UNIT GOAL
OUTPUT
PARAMETER
PARTICIPATION
PARTNER
PARTNER REPRESENTATIVE
PARTNERSHIP
PERFORMANCE BASELINE
PERFORMANCE INDICATOR
PERFORMANCE INFORMATION
PERFORMANCE MONITORING
PERFORMANCE MONITORING PLAN
PERFORMANCE MONITORING SYSTEM
PERFORMANCE TARGET
PORTFOLIO
RAPID, LOW-COST EVALUATIONS
RESPONSIBILITY
RESULT
RESULTS FRAMEWORK
RESULTS PACKAGE
RESULTS PACKAGE DATA BASE
RESULTS REVIEW AND RESOURCE REQUEST (R4)
REVIEW WORKSHOPS
SPECIAL OBJECTIVE
STAKEHOLDERS
STRATEGIC OBJECTIVE
STRATEGIC OBJECTIVE AGREEMENT
STRATEGIC PLAN
STRATEGIC SUPPORT OBJECTIVE
SUBGOAL
STRATEGIC OBJECTIVE TEAM **(See also CORE TEAM and EXPANDED TEAM)**
VIRTUAL TEAM
TARGET
U.S. NATIONAL INTEREST
ULTIMATE CUSTOMER **(See also CUSTOMER and INTERMEDIATE CUSTOMER)**
VALUE ENGINEERING

202.5 POLICY

The statements contained within the .5 section of this ADS chapter are the official Agency policies and corresponding essential procedures.

202.5.1 MANAGING FOR RESULTS - APPLICABILITY

These provisions shall apply to all program or guarantee resources administered by USAID. Emergency disaster assistance, emergency food aid authorized under Title II of the Agricultural Trade Development and Assistance Act of 1954, as amended (P.L. 480), and activities undertaken by operating units that have received exemptions from the requirements of strategic planning, may be exempted from some of these provisions; affected operating units shall request clarification from their respective bureau.

E202.5.1 Managing for Results - Applicability - N/A

202.5.2 STRATEGIC OBJECTIVE TEAM

The operating unit shall establish a strategic objective team for each strategic objective, strategic support objective, and special objective defined in the approved strategic plan.

E202.5.2 Strategic Objective Team - N/A

202.5.2a COMPOSITION AND RESPONSIBILITIES OF THE STRATEGIC OBJECTIVE TEAM

The operating unit shall establish a strategic objective team comprised of USAID personnel, agents, development partners, stakeholders, and customers for the purpose of jointly working to achieve the strategic objective.

E202.5.2a Composition of the Strategic Objective Core and Expanded Team

The operating unit shall establish a strategic objective core team, consisting of USAID employees and others who are internal to the operating unit and who are authorized to carry out inherently U.S. governmental functions such as procurement actions or obligations, or who are serving on a part time or full time basis while assigned to other organizational units within the Agency (e.g., Global, regional bureaus, PPC, BHR, GC, or M). This core team shall operate under the direction of the operating unit for the purpose of carrying out USAID's responsibilities for achieving the strategic objective. The core team shall establish, under the direction of the operating unit, the strategic objective expanded team. Together, the core and expanded teams comprise the strategic objective team. The strategic objective expanded team shall consist of groups or

persons who:

a) Comprise applied expertise or knowledge in all technical areas, including on the differing roles and needs of all customers of every age, gender, and level of physical and/or mental ability, needed for achieving the strategic objective;

b) Represent major development partners, especially those receiving funds from USAID, others who bring to the program significant resources of their own, or those who manage significant resources of others which are necessary for achieving the strategic objective;

c) Represent key stakeholders, in particular all local groups and individuals, actively ensuring the representation—if not actual participation—of persons of every age, gender, or level of physical and/or mental ability, who are anticipated to realize significant gains or suffer substantial losses if the strategic objective is achieved; and

d) Represent major USAID customers for the strategic objective.

E202.5.2a(1) Responsibilities of the Strategic Objective Expanded Team

The strategic objective expanded team shall assist in managing to achieve the strategic objective, including the following:

a) Identify and evaluate the assumptions and hypotheses inherent in the program's activities and in the results framework;

b) Analyze and report overall performance against expected results and the strategic objective; and

c) Use monitoring and evaluation information, customer surveys, analysis of performance, individual expertise, and other relevant information, to recommend approaches and to make adjustments in ongoing activities and/or in the results framework.

E202.5.2a(2) Responsibilities of the Strategic Objective Core Team

In addition to the responsibilities listed in E202.5.2a(1) **(See 202.5.2a(1))**, the strategic objective core team shall:

a) Carry out inherently governmental functions (e.g., represent the Agency in negotiations with other organizations; policy

formulation; negotiation of agreements; contracts; grants; and other functions specified in legislation or regulation as inherently governmental), and carry out other Agency responsibilities consistent with the delegations of authority to individual or classes of team members (e.g., U.S. direct hires, foreign service nationals, personnel services contracts, etc.);

b) Carry out Agency responsibilities with respect to the requirements of section 202.5.5 **(See 202.5.5)**;

c) Maintain information on current plans and status of activities (including planned and actual inputs and outputs) and results achievement; agreements signed; implementation letters and other relevant correspondence; any analysis performed preceding, during or after completion of activities; and other documents related to key decisions the core team and the strategic objective team make in carrying out their responsibilities;

d) Create, modify and disband results packages **(See 202.5.4)**; and

e) Prepare activity, results package, and strategic objective close out reports, as necessary, to summarize the results attained, resources expended, lessons learned, and, where relevant, the benefits or processes expected to be sustainable beyond the period of USAID funding; how such sustainability will be monitored; and for what time period.

202.5.2b STRATEGIC OBJECTIVE TEAM AUTHORITIES

The operating unit shall establish the authorities and other parameters governing strategic objective team operations.

E202.5.2b Strategic Objective Team Authorities

The operating unit shall specify the information below in establishing the strategic objective team:

1) The specific strategic objective to be achieved, which shall be consistent with the approved strategic plan and the operating unit's customer service plan;

2) Performance measure and reporting requirements;

3) The responsibilities of, and authorities delegated to core team members;

4) The budget for achieving the strategic objective; and

5) Other requirements or conditions (e.g., gender technical expertise) which the operating unit shall deem necessary to ensure the core team is capable of carrying out its responsibilities in accordance with these directives and any special conditions that may pertain to the strategic objective approval pursuant to the management contract.

202.5.3 INCLUDING THE VIEWS OF CUSTOMERS AND STAKEHOLDERS

Operating units and their core teams, in seeking to include the views of customers or stakeholders in the deliberations of strategic objective teams, shall meet such requirement through one or more of the following means:

- Direct representatives of customers sitting on the team; or

- Representatives from associations, non-governmental organizations, informal groups or collections of individuals, who the strategic objective team deems competent to serve on the team; or

- Members of the strategic objective core team or USAID development partners eliciting input through normally accepted means from customers or their representatives, including persons of every gender, age, and level of physical and/or mental ability as key informants, that provide sufficient information to inform the strategic objective team with respect to the needs, desires, and wants of the customer. Normally accepted means shall include but not be limited to: focus groups, town meetings, formal and informal consultations, systematic formalized customer surveys or research, rapid appraisal methods that involve customers, or other means that the Agency may from time to time include as acceptable means of acquiring customer input.

E202.5.3 Including the Views of Customers and Stakeholders - N/A

202.5.4 RESULTS PACKAGE

With guidance from and representing the strategic objective team, the strategic objective core team shall create, modify and disband results packages as required to meet changing circumstances pursuant to the achievement of the strategic objective. **(See Supplementary Reference, Team Development)**

E202.5.4 RESULTS PACKAGE - N/A

E202.5.4a Establishment of Results Packages

With guidance from and representing the strategic objective team, the core team shall establish one or more results packages from the results framework. Results packages may be managed by the strategic objective team or by a subgroup established by that team (a results package team). Each results package shall include:

1) The set of activities designed to achieve the results in the results package;

2) Information or analysis required for the strategic objective team to approve activities;

3) Explanation of how activities will achieve the intended results, including linkages between USAID, intermediaries and ultimate customers;

4) Identification of personnel, including appropriate USAID staff and representatives of partners and customers, with the knowledge and capacity needed to deliver the specified result(s);

5) Identification of clearly defined responsibilities and authorities sufficient to ensure decisions can be made which are necessary to results achievement, consistent with Agency conflict of interest requirements;

6) Funding from USAID and partner organizations sufficient to carry out the activities required to deliver the specified results; and,

7) A performance monitoring plan indicating how results will be monitored and measured.

E202.5.4b Creating, Disbanding, or Modifying the Results Package

With guidance from and representing the strategic objective team, the core team shall create, disband or modify results packages as necessary to ensure the achievement of the strategic objective. The team shall also monitor, assess, and evaluate, as necessary, the performance of agreements and other actions to ensure that intended results are being achieved.

202.5.5 PRINCIPLES FOR DEVELOPING AND MANAGING ACTIVITIES

Strategic objective teams shall develop and manage activities to:

- Seek to maximize the impact of scarce development resources;
- Ensure the prudent stewardship of USAID resources;
- Manage for results; and
- Comply with applicable USAID policies.

E202.5.5 Principles for Developing and Managing Activities

Teams shall carry out the following functions in developing and managing activities:

a) Seek commitment of all relevant development partners and stakeholders, in the public and private sectors, to USAID-financed efforts; collaborate closely with customers, partners, stakeholders, and other donors to develop complementary programs and leverage additional resources wherever possible; assure that the policy and institutional framework exists or is developed to support the USAID investment; seek sustainable solutions to development problems, including the active participation of local organizations and communities during and after USAID's involvement; and ensure that gender considerations and issues are integrated in the design and development of all Program-funded activities.

b) Apply lessons learned from prior USAID and other donor experience; select development strategies that seek to maximize the probability of achieving approved objectives and minimize costs, including USAID management costs; examine design feasibility, soundness, and cost-benefit or cost effectiveness, including careful consideration of alternate approaches and alternative delivery mechanisms and reporting on the costs and risks associated with USAID-financed activities.

c) Ensure that all USAID-financed agreements (strategic objective agreements, grants, contracts, cooperative agreements, etc.) have clear performance targets and accountability standards; define procedures for monitoring, evaluating, and reporting on the results of USAID assistance; create plans and program support systems which are sufficiently flexible to enable USAID and its development partners to respond to customer needs and complex and changing circumstances; experiment with new and innovative approaches to development problems to enhance the probability of

success; use performance information on program results to reach informed decisions on future direction of program activities.**(See ADS 203, for policy and essential procedures on performance targets, and Series 300 on specific agreements.)**

202.5.5a CRITERIA TO BE MET BY APPROVED ACTIVITIES

Activities developed pursuant to an approved strategic plan shall meet the following three criteria:

- Show how USAID resources (program and operating expense funds and personnel) will be used to support the achievement of result(s) in the results framework of the operating unit's approved strategic plan;

- Ensure USAID and its partners (through appropriate analyses, agreements and/or other means) can meet their fiduciary responsibilities for USAID funds; and

- Provide a framework for monitoring the activity's contribution to the results in the results framework. **(See also Supplementary Reference 202.6 - Developing and Monitoring Activities.)**

E202.5.5a Criteria To Be Met by Approved Activities

The strategic objective team shall select from a variety of tactics in pursuing a given activity. In some instances, the tactic shall involve the deployment of one or more USAID staff members to achieve a desired outcome, such as a change in host country policy. In other, more complex instances, the tactic shall involve a particular assistance agreement specifying the roles, responsibilities, contributions, performance monitoring and other arrangements necessary to accomplish the desired outcome of a given activity. Such agreements shall include a memorandum of understanding, particularly when more than two parties are involved in a common undertaking; a bilateral agreement with a host government entity; a strategic objective agreement, where the intent is to confirm understandings for an entire strategic objective; a grant agreement or cooperative agreement with a non-governmental organization (NGO); or a limited scope grant agreement for small scale bilateral activities. **(See the Series 300 directives for additional discussion and examples of assistance agreements.)**

202.5.5b DEVELOPING AND MANAGING USAID FINANCED OR SUPPORTED ACTIVITIES

In developing and managing USAID financed or supported activities,

including activities that do not involve program funds, USAID managers and teams shall ensure that the substance and design of such activities meet the policy requirements promulgated by USAID **(See also 202.5.7 and 202.5.8, which contain additional statutory or regulatory requirements that may be applicable to the design and management of specific activities)**.

E202.5.5b Developing and Managing USAID Financed or Supported Activities

There are numerous policy requirements that define how USAID develops activities. For example, there are unique requirements associated with food aid programs, housing guaranty programs, and others that need to be taken into account when relevant to the activity to be undertaken. Below is an index of current policies with cross references to the location of relevant policy requirements and their associated essential procedures:

- Policy Papers and Policy Determinations **(See HB 1)**;
- Agency Strategic Framework **(See ADS 201)**
- Housing Guaranty Programs **(See ADS 250)**;
- International Disaster Assistance **(See ADS 251)**;
- Food Aid **(See HB 1)**;
- Participant Training **(See ADS 253)**;

202.5.5c INTEGRATING GENDER CONSIDERATIONS INTO PROGRAM-FUNDED ACTIVITIES

Managers and teams will ensure the consideration of issues concerning age, gender, and level of physical and/or mental ability in all USAID activities, including customer and stakeholder identification and consultation, planning, implementation, and performance monitoring.

E202.5.5c Integrating Gender Considerations into Program-Funded Activities

The Women in Development Policy Paper and the Gender Plan of Action contain principles to integrate gender considerations into USAID programs for use by managers and teams in developing specific activities, as required in paragraph a) under section E202.5.5. Managers and teams may consult with G/WID for additional guidance if needed. **(See Mandatory References, WID PP, GPA)**

Strategic Objective Teams, therefore, must:

- Integrate gender considerations into the resulting Statement of Work (SOW) for a competitive contract solicitation or, for competitive assistance programs, into the program description for a Request for Applications (RFA) or the Annual Program Statement (APS) **(See ADS 302 and 303.5.5);**

- Draft language for an evaluation criterion to address the gender component in the SOW or program description/APS and determine its relative importance to the overall technical evaluation factors for the activity being competed;

- Include this evaluation factor and its relative weighting as part of the overall technical evaluation criteria included in the A&A request documentation provided to the Contracting Officer or Agreement Officer.

- Provide a short statement of justification in their instructions to the Contracting/Agreement Officer in cases where they determine gender is not an appropriate consideration for the specific activity **(see ADS 302 for contracts or ADS 303 for grants and cooperative agreements)**. The SO Team Leader or Program Manager drafts this statement from the Office Director or equivalent to the Contracting Officer or Agreement Officer.

The Contracting Officer or Agreement Officer must:

- Return to the SOT any request for a competitive A&A award that fails to comply with this section **(see ADS 302 and 303).**

202.5.6 Using Performance Information To Achieve Results

The operating units and SO teams shall remain informed of all aspects of performance relating to USAID-funded assistance in order to effectively manage for results. Performance monitoring information, evaluation findings, and information from additional formal and informal sources shall be used regularly throughout management processes. Specifically, operating units and SO teams shall use such information to:

- Improve the performance, effectiveness, and design of existing development assistance activities;

- Revise operating unit strategies, including objectives and results frameworks, where necessary;

- Plan new activities, intermediate results or objectives;

- Make informed decisions whether to revise or terminate results packages and/or individual activities which are not achieving intended results; and,

- Document findings on the impact of development assistance. **(See ADS 203)**

E202.5.6 Using Performance Information to Achieve Results - N/A

202.5.7 OBLIGATION AND SUB-OBLIGATION OF USAID FUNDS

Prior to the obligation or sub-obligation of USAID funds, the USAID signatory shall ensure that the respective agreement meets applicable statutory, regulatory, and USG policy requirements. **(See Series 300 for information about agreements and other requirements associated with agreements.)** USAID managers and teams shall review the applicable checklists **(See Statutory Checklist**) and ensure that financial management **(See Series 500)** and other requirements are met during the "managing for results" process.

E202.5.7 Obligation and Sub-Obligation of USAID Funds

The Country Checklist **(See Supplementary Reference, Statutory Checklist)**, composed of items affecting the eligibility for foreign assistance of a country as a whole, shall be reviewed at the beginning of each fiscal year. In most cases, responsibility for review of the Country Checklist rests with the cognizant USAID/W bureau working in conjunction with the Assistant General Counsel for that bureau.

The Assistance Checklist lists the statutory and regulatory items that directly concern assistance resources. The Assistance Checklist shall be reviewed in the field, but information shall be requested from Washington whenever necessary. USAID managers are advised to consult these checklists early in the development of activities as there are several requirements that shall be taken into account in the planning of activities. For activities funded by accounts other than Development Assistance and Economic Support Funds, consult the Regional Legal Adviser or the Assistant General Counsel for the region. **(See Supplementary Reference, Statutory Checklist Criteria)**

Because the statutory checklist does not include country-specific statutory requirements, consult with the Regional Legal Advisor or the Assistant General Counsel for country-specific statutory requirements.

Information about agreements and related requirements is provided in

Series 300.

Information about financial management requirements is provided in Series 500.

202.5.7a AUTHORIZATION TO SIGN OR NEGOTIATE AGREEMENTS

Only USAID personnel so designated in appropriate delegations of authority shall be authorized to negotiate or sign obligation or sub-obligation agreements on behalf of USAID.

202.5.7b ACTIONS PRIOR TO APPROVING OBLIGATING AND SUB-OBLIGATING AGREEMENTS

Prior to approving obligating and sub-obligating agreements, the USAID signatory shall ensure the following:

- That all obligation or sub-obligation of USAID funds shall be in conformance with an approved strategic plan; in support of the development of a strategic plan or strategic objective; or related to monitoring and evaluating the strategic plan, its objectives, or other activities that support the approved program;

- That the appropriate obligating or sub-obligating agreement, including attachments, is used to obligate or sub-obligate USAID funds [See Series 300 for information on specific agreements];

- That organizations, who under the terms of the agreement shall have the authority to further sub-obligate USAID funds, have met or have provision to meet USAID approved procurement and financial management standards as USAID may establish to govern such sub-obligations **(See Series 300)**;

- That such agreement has been reviewed and approved for signature by the appropriate officials and parties as may be required pursuant to USAID's and the operating unit's standard operating procedures, as may be applicable;

- That the agreement obligating USAID funds is not in violation of the Anti-Deficiency Act **(See Mandatory Reference, 31 USC 1341(a)(1)**); and

- That obligating agreements contain appropriate clauses to commit the recipient or grantee at a minimum to do the following: manage the activities funded by the agreement in such manner as to further the achievement of the strategic objective; achieve specific results;

and engage in broad consultation with USAID, other partners, customers, and other stakeholders involved in achieving the strategic objective.

202.5.8 OTHER AGREEMENTS

Prior to entering into an agreement that does not obligate or sub-obligate USAID funds (e.g., memoranda of understanding), the USAID signatory shall ensure that the respective agreement meets all applicable statutory, regulatory, and USG policy requirements. (Model agreements and guidance are found in Series 300.)

E202.5.8 Other Agreements - N/A

202.5.8a AUTHORIZATION TO NEGOTIATE OR SIGN AGREEMENTS

Only USAID personnel so designated in appropriate delegations of authority shall be authorized to negotiate or sign agreements on behalf of USAID.

E202.5.8a Authorization to Negotiate or Sign Agreements - N/A

202.5.8b RESPONSIBILITIES OF THE SIGNATORY

The USAID signatory shall ensure that all agreements are in conformance with an approved strategic plan; in support of the development of a strategic plan or strategic objective; or related to monitoring and evaluating the strategic plan, its objectives, or other activities that support the approved program.

The USAID signatory shall ensure that prior to signing an agreement on behalf of USAID that such agreement or instrument has been reviewed and approved for signature by the appropriate officials and parties as may be required pursuant to USAID's and the operating unit's standard operating procedures, as may be applicable.

The USAID signatory shall ensure that agreements contain appropriate clauses to commit the parties to the strategic objective and specific results and to broad consultation with USAID, other partners, customers, and other stakeholders involved in achieving the strategic objective.

E202.5.8b Responsibilities of the Signatory - N/A

202.5.9 INFORMATION MANAGEMENT

Operating units shall ensure information relevant to the management of

program resources is developed, used, and recorded.

E202.5.9 Information Management

Operating units shall ensure that implementation letters are used to record major developments in carrying out USAID financed programs with public sector entities, where the communication is between USAID and other parties pursuant to a duly signed agreement entered into by USAID. Areas covered by implementation letters shall include, but are not limited to: formal interpretations of agreements, satisfaction of conditions precedent, funding commitments, and mutually agreed upon modifications to program descriptions. **(See also Supplementary Reference, Implementation Letters.)**

E202.5.9a Operating Units' Information Management Responsibilities

Operating units shall ensure that all relevant decisions, analyses, and other material and information necessary to document compliance with these directives are available to authorized persons, and are maintained through the respective unit's official filing system. **(See Mandatory Reference, Official Files.)**

E202.5.9b USAID Managers Information Management Responsibilities

USAID managers shall ensure that correspondence, reports, memoranda, and other information and documentation required for managing the achievement of strategic plans, objectives, results packages, activities, and agreements are prepared, issued, retained and kept current in accordance with the appropriate USAID policy governing such correspondence and records **(See ADS 502, for information on Electronic Records Management)**.

202.6 Supplementary References

* **FY 2000** USAID STATUTORY CHECKLISTS
- Introduction.
- Country Checklist
- Assistance Checklist
- Memorandum on Specific Country Limitations in FY 98 Appropriations Act "Taking Into Consideration" Memorandum

Team Development
- Tool Kit for Effective Teamwork
- Bibliography of Selected Books and Articles on Effective Teamwork Analysis

Financial Analysis
Economic Analysis
Social Soundness Analysis
Administrative Analysis
Environmental Analysis - ADS chapter 204 - "Environmental Procedures" and 22 CFR 216
Technical Analysis

Developing and Monitoring Activities
Congressional Notification (RESERVED)
Characteristics of Results Packages (RESERVED)
Legal and Policy Considerations when Involving Partners and Customers on Strategic Objective Teams and Other Consultations
Management Tools to Ensure Pre-Obligation Planning Requirements Are Met
New Operations Processes That Replace Authorizations

202.7 Mandatory References

* **[removed Country Eligibility Checklist Index]**
Official Files
31 USC 1341(a)(1)
Gender Plan of Action, March 1996
WID Policy Paper, October 1982; HB 1

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Glossary Terms for 202

activity
An action undertaken either to help achieve a program result or set of results, or to support the functioning of the Agency or one of its operating units. a) In a program context, i.e., in the context of results frameworks and strategic objectives, an activity may include any action used to advance the achievement of a given result or objective, whether financial resources are used or not. E.g., an activity could be defined around the work of a USAID staff member directly negotiating policy change with a host country government, or it could involve the use of one or more grants or contracts to provide technical assistance and commodities in a particular area. Loans and Loan Guarantees can also be considered activities. (Also within this context, for the purposes of the New Management Systems, "activity" includes the strategic objective itself as an initial budgeting and accounting element to be used before any specific actions requiring obligations are defined.) b) In an operating expense context, an activity may include any action undertaken to meet the operating requirements of any organizational unit of the Agency. (Chapters 201, 202, 203, 204, 250)

activity manager
The member of the SO/RP team designated by that team to manage a given activity or set of activities contributing to the results to be achieved under the results package. (Chapters 201, 202, 203, 303, 591, 592)

Agency Goal
A long-term development result in a specific area to which USAID programs contribute and which has been identified as a specific goal by the Agency. (See also OPERATING UNIT GOAL.) (Chapters 201, 202, 203)

Agency Mission
The ultimate purpose of the Agency's programs; it is the unique contribution of USAID to our national interests. There is one Agency mission. (Chapters 201, 202, 203)

Agency Objective
A significant development result that USAID contributes to, and which contributes to the achievement of an Agency goal. Several Agency objectives contribute to each Agency goal. Changes in Agency objectives are typically observable only every few years. (Chapters 201, 202, 203)

Agency Program Approach
A program or tactic identified by the Agency as commonly used to achieve a particular objective. Several program approaches are associated with each Agency objective. (Chapters 201, 202, 203)

Agency Strategic Framework
A graphical or narrative representation of the Agency's strategic plan; the framework is a tool for communicating USAID's development strategy. The framework also

establishes an organizing basis for measuring, analyzing, and reporting results of Agency programs. (Chapters 201, 202, 203)

Agency Strategic Plan
The Agency's plan for providing development assistance; the strategic plan articulates the Agency's mission, goals, objectives, and program approaches. (Chapters 201, 202, 203)

Agent
An individual or organization under contract with USAID. (Chapters 201, 202, 203)

assistance mechanism
A specific mode of assistance chosen to address an intended development result; a particular intervention chosen to solve a particular development problem or set of development problems. Examples of mechanisms include: food aid, housing guaranties or other loan guarantees or direct loans, debt-for-nature swaps, endowments, cash transfers, etc. (Chapters 201, 202, 203, 250)

Baseline
See PERFORMANCE BASELINE. (Chapters 201, 202, 203)

Causal Relationship
A plausible cause and effect linkage; i.e. the logical connection between the achievement of related, interdependent results. (Chapters 201, 202, 203)

Core Team
U.S. government employees and others who may be authorized to carry out inherently U.S. governmental functions such as procurement actions or obligations. For example, only members of the core team would manage procurement sensitive materials or negotiate formal agreements. (Chapters 201, 202, 203)

Critical Assumption
In the context of developing a results framework, critical assumptions refer to general conditions under which a development hypothesis will hold true or conditions which are outside of the control or influence of USAID, and which are likely to affect the achievement of results in the results framework. Examples might be: the ability to avert a crisis caused by drought, the outcome of a national election, or birth rates continuing to decline as it relates to an education program. A critical assumption differs from an intermediate result in the results framework in the sense that the intermediate result represents a focused and discrete outcome which specifically contributes to the achievement of the SO. (Chapters 201, 202, 203)

customer
Individuals of every age, gender, and level of physical and/or mental ability or organizations that receive USAID services or products, benefit from USAID programs or that are affected by USAID actions. (Chapters 201, 202, 203, 250)

Customer Representative
Any individual or organization that represents the interests of those individuals, communities, groups or organizations targeted for USAID assistance. (Chapters 201, 202, 203)

Customer Service Plan
A document which presents the operating unit's vision for including customers and partners to achieve its objectives. This document also articulates the actions necessary to engage participation of its customers and partners in planning, implementation and evaluation of USAID programs and objectives. It will act as a management tool for the individual operation unit and must be developed in the context of existing Agency parameters. (Chapters 201, 202, 203, 250)

Customer Surveys
Surveys (or other strategies) designed to elicit information about the needs, preferences, or reactions of customers regarding an existing or planned activity, result or strategic objective. (Chapters 201, 202, 203)

Development Experience
The cumulative knowledge derived from implementing and evaluating development assistance programs. Development experience is broader in scope than "lessons learned", and includes research findings, applications of technologies and development methods, program strategies and assistance mechanisms, etc. (Chapters 201, 202, 203, 540)

Development Information
The body of literature and statistical data which documents and describes the methods, technologies, status and results of development practices and activities and measures levels of development on a variety of dimensions. (Chapters 201, 202, 203)

Evaluation
A relatively structured, analytic effort undertaken selectively to answer specific management questions regarding USAID-funded assistance programs or activities. In contrast to performance monitoring, which provides ongoing structured information, evaluation is occasional. Evaluation focuses on why results are or are not being achieved, on unintended consequences, or on issues of interpretation, relevance, effectiveness, efficiency, impact, or sustainability. It addresses the validity of the causal hypotheses underlying strategic objectives and embedded in results frameworks. Evaluative activities may use different methodologies or take many different forms, e.g., ranging from highly participatory review workshops to highly focused assessments relying on technical experts. (Chapters 201, 202, 203)

Expanded Team
U.S. government employees and partner and customer representatives committed to achieving the strategic objective. (Chapters 201, 202, 203)

Gender Integration
Gender integration is a focus on the participation of and benefits to each gender in development programs, while promoting women's leadership of and equality in program and organizational structures. (Chapter 202)

Global Programs or Activities
Global programs or activities refer to USAID programs or activities which take place across various regions, (i.e. they are trans-regional in nature). These types of programs are most often managed by central operating bureaus such as BHR or the G Bureau. (Chapters 201, 202, 203)

implementation letters
Formal correspondence, numbered sequentially, between USAID and other parties pursuant to a duly signed agreement which addresses, inter alias, interpretations of agreements, satisfaction of conditions precedent to disbursement, funding commitments, and mutually agreed upon modifications to program descriptions. (Chapters 201, 202, 203, 250)

Indicator
See Performance Indicator. (Chapters 201, 202, 203)

Input
The provision of technical assistance, commodities, capital or training in addressing development or humanitarian needs. (Chapters 201, 202, 203)

Interim Performance Target
A target value which applies to a time period less than the overall time period related to the respective performance indicator and performance target. (Chapters 201, 202, 203)

Intermediate Customer
Persons of every age, gender, and level of physical and/or mental ability or organizations, internal or external to USAID, that use USAID services, products, or resources to serve indirectly or directly the needs of the ultimate customers. (Chapters 201, 202, 203)

Intermediate Result
A key result which must occur in order to achieve a strategic objective. (Chapters 201, 202, 203)

Joint Planning
A process by which an operating unit actively engages and consults with other relevant and interested USAID offices in an open and transparent manner. This may occur through participation on teams or through other forms of consultation. (Chapters 201, 202, 203)

Lesson Learned
The conclusions extracted from reviewing a development program or activity by participants, managers, customers or evaluators with implications for effectively addressing similar issues/problems in another setting. (Chapters 201, 202, 203, 540)

Limited Scope Grant Agreement
The Limited Scope Grant Agreement(LSGA) is similar to the Strategic Objective Agreement but is shorter in length. It is used for obligating funds for a small activity or intervention; e.g., participant training or PD&S. Model agreements, including the LSGA, can be found in the Series 300 directives. (Chapters 201, 202, 203)

Manageable Interest
See Responsibility (Chapters 201, 202, 203)

Management Contract
The management contract consists of the strategic plan (including a strategic objectives and supporting results frameworks) together with official record of the guidance emerging from the review of the plan. The management contract provides: a summary of agreements on a set of strategic and other objectives; confirmation of estimated resources over the strategy period; delegations of authority; and an overview of any special management concerns. (Chapters 201, 202, 203)

Memorandum or Letter of Understanding
A memorandum of understanding or letter of understanding (not used for obligating funds) sets forth the understandings of the parties regarding the objective, results to be achieved and the respective roles and responsibilities of each party in contributing toward the achievement of a given result or objective. It is particularly useful when USAID wishes to obligate through individual grants and contracts, without host government participation in those actions, but still wishes to make the host government a partner in writing to the program or activity and each party's obligations. It specifically provides for USAID implementation in the manner noted above. (Chapters 201, 202, 203)

Minimize
Is a telegram control procedure imposed during emergency conditions (i.e., local civil disorders; communications circuit failures; natural disasters) to reduce the volume of traffic not related to the emergency and to avoid overloading the communications facilities and personnel capabilities of the Department and the affected post(s). A current list of posts that are on Minimize is maintained at the Communications Center. To find out what is on Minimize call (202)712-5981. (Chapter 549)

New Management Systems
The set of management software developed to support Agency functions in the areas of accounting, budgeting, planning, achieving, performance monitoring and evaluation, assistance and acquisition, human resource management and property management. (Chapters 201, 202, 203)

Obligation
In the event of a strategic objective agreement with a host country government, that agreement is normally the obligating agreement (unless a non-obligating MOU is used) and all grants to and contracts with private entities thereunder are sub-obligating agreements. If there is no strategic objective agreement, whether or not a non-obligating MOU is used, all grants to and contracts with private entities become obligating agreements. (Chapters 201, 202, 203)

Operating Unit
USAID field mission or USAID/W office or higher level organizational unit which expends program funds to achieve a strategic objective, strategic support objective, or special objective, and which has a clearly defined set of responsibilities focused on the development and execution of a strategic plan. (Chapters 201, 202, 203, 204)

Operating Unit Goal
A higher level development result to which an operating unit contributes, but which lies beyond the unit's level of responsibility. An operating unit goal is a longer term development result that represents the reason for achieving one or more objectives in an operating unit strategic plan. An operating unit goal may be identical to an Agency goal, but is normally distinguished from it in several key ways. An Agency goal is a long-term general development objective, in a specific strategic sector, that USAID works toward, and represents the contribution of Agency programs working in that sector. An operating unit goal is optional and represents a long-term result in a specific country or program to which an operating unit's programs contribute, and may cross sector boundaries. (Chapters 201, 202, 203)

Output
The product of a specific action, e.g., number of people trained, number of vaccinations administered. (Chapters 201, 202, 203)

Parameter
A given framework or condition within which decision making takes place (i.e. Agency goals, earmarks, legislation, etc). (Chapters 201, 202, 203)

participation
The active engagement of partners and customers in sharing ideas, committing time and resources, making decisions, and taking action to bring about a desired development objective. (Chapters 101, 201, 202, 203)

partner
An organization, individual, or customer representative with which/whom the Agency collaborates to achieve mutually agreed upon objectives and intermediate results, and to secure customer participation. Partners include: host country governments, private voluntary organizations, indigenous and international non-governmental organizations, universities, other U.S. government agencies, United Nation and other multilateral

organizations, professional and business associations, and private businesses/individuals. (Chapter 101, 102, 201, 202, 203)

Partner Representative
An individual that represents an organization with which USAID works cooperatively to achieve mutually agreed upon objectives. (Chapters 201, 202, 203)

partnership
An association between USAID, its partners and customers based on mutual respect, complementary strengths, and shared commitment to achieve mutually agreed upon objectives. (Chapters 101, 102, 201, 202, 203)

Performance Baseline
The value of a performance indicator at the beginning of a planning and/or performance period. A performance baseline is the point used for comparison when measuring progress toward a specific result or objective. Ideally, a performance baseline will be the value of a performance indicator just prior to the implementation of the activity or activities identified as supporting the objective which the indicator is meant to measure. (Chapters 201, 202, 203)

performance indicator
A particular characteristic or dimension used to measure intended changes defined by an organizational unit's results framework. Performance indicators are used to observe progress and to measure actual results compared to expected results. Performance indicators serve to answer "how" or "whether" a unit is progressing towards its objective, rather than why/why not such progress is being made. Performance indicators are usually expressed in quantifiable terms, and should be objective and measurable (numeric values, percentages, scores and indices). Quantitative indicators are preferred in most cases, although in certain circumstances qualitative indicators are appropriate. (Chapters 201, 202, 203, 250)

Performance Information
The body of information and statistical data that directly relates to performance towards overall USAID goals and objectives, as well as operating unit strategic objectives, strategic support objectives and special objectives. Performance information is a product of formal performance monitoring systems, evaluative activities, customer assessments and surveys, Agency research and informal feedback from partners and customers. (Chapters 201, 202, 203)

Performance Monitoring
A process of collecting and analyzing data to measure the performance of a program, process, or activity against expected results. A defined set of indicators is constructed to regularly track the key aspects of performance. Performance reflects effectiveness in converting inputs to outputs, outcomes and impacts (i.e., results). (Chapters 201, 202, 203)

performance monitoring plan
A detailed plan for managing the collection of data in order to monitor performance. It identifies the indicators to be tracked; specifies the source, method of collection, and schedule of collection for each piece of datum required; and assigns responsibility for collection to a specific office, team, or individual. a) At the Agency level, it is the plan for gathering data on Agency goals and objectives. b) At the Operating Unit level, the performance monitoring plan contains information for gathering data on the strategic objectives, intermediate results and critical assumptions included in an operating unit's results frameworks. (Chapters 201, 202, 203, 250)

Performance Monitoring System
An organized approach or process for systematically monitoring the performance of a program, process or activity towards its objectives over time. Performance monitoring systems at USAID consist of, inter alia: performance indicators, performance baselines and performance targets for all strategic objectives, strategic support objectives, special objectives and intermediate results presented in a results framework; means for tracking critical assumptions; performance monitoring plans to assist in managing the data collection process; and the regular collection of actual results data. (Chapters 201, 202, 203)

performance target
The specific and intended result to be achieved within an explicit timeframe and against which actual results are compared and assessed. A performance target is to be defined for each performance indicator. In addition to final targets, interim targets also may be defined. (Chapters 201, 202, 203, 250)

Portfolio
The sum of USAID-funded programs being managed by a single operating unit. (Chapters 201, 202, 203)

Rapid, Low-cost Evaluations
Analytic or problem-solving efforts which emphasize the gathering of empirical data in ways that are low-cost, timely, and practical for management decision making. Methodological approaches include mini-surveys, rapid appraisals, focus groups, key informant interviews, observation, and purposive sampling, among others. (Chapters 201, 202, 203)

Responsibility
In the context of setting strategic objectives, responsibility refers to a guiding concept which assists an operating unit in determining the highest level result that it believes it can materially affect (using its resources in concert with its development partners) and that it is willing to use as the standard for the judgement of progress. This has also been referred to as manageable interest. (Chapters 201, 202, 203)

Result
A change in the condition of a customer or a change in the host country condition which has a relationship to the customer. A result is brought about by the intervention of USAID in concert with its development partners. Results are linked by causal relationships; i.e., a result is achieved because related, interdependent result(s) were achieved. Strategic objectives are the highest level result for which an operating unit is held accountable; intermediate results are those results which contribute to the achievement of a strategic objective. (Chapters 201, 202, 203)

results framework
The results framework represents the development hypothesis including those results necessary to achieve a strategic objective and their causal relationships and underlying assumptions. The framework also establishes an organizing basis for measuring, analyzing, and reporting results of the operating unit. It typically is presented both in narrative form and as a graphical representation. (Chapters 201, 202, 203)

results package (RP)
A results package (RP) consists of people, funding, authorities, activities and associated documentation required to achieve a specified result(s) within an established time frame. A RP is managed by a strategic objective team (or a results package team if established) which coordinates the development, negotiation, management, monitoring and evaluation of activities designed consistent with:(1) the principles for developing and managing activities; and (2) achievement of one or more results identified in the approved results framework. The purpose of a results package is to deliver a given result or set of results contributing to the achievement of the strategic objective. The strategic objective team will define one or more RPs to support specific results from the results framework. The SO team may elect to manage the package or packages itself, or may create one or more sub-teams to manage RPs. In addition, strategic objective teams create, modify and terminate results packages as required to meet changing circumstances pursuant to the achievement of the strategic objective. Thus, typically a results package will be of shorter duration than its associated strategic objective. (Chapters 201, 202, 203, 204, 250, 305)

Results Package Data Base
A results package data base consists of the data and information related to the actions, decisions, events, and performance of activities under a results package. (Chapters 201, 202, 203)

Results Review and Resource Request (R4)
The document which is reviewed internally and submitted to USAID/W by the operating unit on an annual basis. The R4 contains two components: the results review and the resource request. Judgement of progress will be based on a combination of data and analysis and will be used to inform budget decision making. (Chapters 103, 201, 202, 203, 204, 250)

Review Workshops
Workshops which involve key participants in an SO/RP or even a particular element of an RP in collectively evaluating performance during the previous implementation period and planning for the forthcoming period. Participants are normally representatives of partners, customers, counterparts, other donors, stakeholders, and USAID. Successful workshops are often facilitated to assure that all perspectives are heard and that key findings and conclusions and consensus on modifications and plans is documented and distributed. (Chapters 201, 202, 203)

Special Objective
The result of an activity or activities which do not qualify as a strategic objective, but support other US government assistance objectives. A special objective is expected to be small in scope relative to the portfolio as a whole. (Chapters 201, 202, 203, 204)

Strategic Objective
The most ambitious result (intended measurable change) that a USAID operational unit, along with its partners, can materially affect and for which it is willing to be held responsible. The strategic objective forms the standard by which the operational unit is willing to be judged in terms of its performance. The time-frame of a strategic objective is typically 5-8 years for sustainable development programs, but may be shorter for programs operating under short term transitional circumstances or under conditions of uncertainty. (Chapters 201, 202, 203, 204, 534)

Strategic Objective Agreement
A formal agreement that obligates funds between USAID and the host government or other parties, setting forth a mutually agreed upon understanding of the time frame, results expected to be achieved, means of measuring those results, resources, responsibilities, and contributions of participating entities for achieving a clearly defined strategic objective. Such an agreement between USAID and the host government may allow for third parties (e.g., NGOs) to enter into sub-agreements with either USAID or the host government or both to carry out some or all of the activities required to achieve the objective. (Details in Series 300.) (Chapters 201, 202, 203)

Strategic Objective Team
In general, a team is a group of people committed to a common performance goal for which they hold themselves individually and collectively accountable. Teams can include USAID employees exclusively or USAID, partner, stakeholder and customer representatives. An SO team is a group of people who are committed to achieving a specific strategic objective and are willing to be held accountable for the results necessary to achieve that objective. The SO team can establish subsidiary teams for a subset of results or to manage a results package. (Chapters 201, 202, 203, 204)

Strategic Plan
The framework which an operating unit uses to articulate the organization's priorities, to manage for results, and to tie the organization's results to the customer/beneficiary. The strategic plan is a comprehensive plan which includes the delimitation of strategic

objectives and a description of how it plans to deploy resources to accomplish them. A strategic plan is prepared for each portfolio whether it is managed at a country level, regionally, or centrally. (Chapters 201, 202, 203, 204)

Strategic Support Objective
Strategic support objectives are intended to capture and measure a regional or global development objective which is dependent on the results of other USAID operating units to achieve the objective but to which a global or regional program makes an important contribution. Therefore, the key differentiation from a strategic objective, as defined above, is that there is a recognition that the achievement of the objective is accomplished and measured, in part, through the activities and results at the field mission level. (Chapters 201, 202, 203, 204)

Sub-Goal
A higher level objective which is beyond the operating unit's responsibility but which provides a link between the strategic objective and the operating unit goal. Inclusion in operating unit plans is optional. (Chapters 201, 202, 203)

Target
See Performance Target. (Chapters 201, 202, 203)

team leader
Team Leaders are "player coaches" who work with a group of team members to achieve specific tasks, produce analytical work products and services, meet long/short term program goals, and are also responsible for individual team tasks. (Chapters 201, 202, 203, 204, 251, 305, 462)

Ultimate Customer
Host country people of every age, gender, and level of physical and/or mental ability who are end users or beneficiaries of USAID assistance and whose participation is essential to achieving sustainable development results. (Chapters 201, 202, 203)

U.S. National Interest
A political/strategic interest of the United States that guides the identification of recipients of foreign assistance and the fundamental characteristics of development assistance. (Chapters 201, 202, 203)

Value Engineering
A management technique using a systematized approach to seek out the best functional balance between the cost, reliability, and performance of an activity or process, with a particular focus on the identification and elimination of unnecessary costs. VE/VA can be used both in the design stage and as an evaluation tool. (Chapters 201, 202, 203)

Virtual Team
Members of a team who are not collocated and therefore participate primarily through telecommunication systems. (Chapters 201, 202, 203)

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