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Non Presence Programming Procedures

On January 14, 2000, the USAID Administrator approved policy changes in the subject procedures in an Action Memorandum, "Non-Presence Programming -- Reporting on country-level activities in non-presence countries and in countries with missions, when those activities are not managed by mission staff." The Administrator's approval of the recommendations in this memorandum permits USAID to implement simpler, clearer procedures to ensure that information on all USAID-funded activities in a country is readily tracked and available to USAID managers as well as to ensure that activities sponsored are legally permissible.

Effective immediately USAID will cease use of any and all guidance (in whole or in part) contained in the documents listed in Attachment 1 to this General Notice. Also, the following new section below was added to 201.5.5 as section e. Furthermore, responsibilities for implementing approval and tracking of activities in countries without a USAID presence will pass from the central Bureaus (AA/PPC and AA/M) to various other offices, as described below in the new procedures.

The following sections (201.5.5e and E201.5.5e) are hereby added to the current ADS and remain in effect until such time as the ADS 201-203 series is completely revised (planned 180 days from issuance of this interim policy guidance).

Begin new language for ADS 201:

201.5.5e APPROVAL OF ACTIVITIES NOT COVERED BY A COUNTRY STRATEGY

A country program is a collection of one or more activities in a given country. Approval and operating procedures are well established in cases where field missions plan and implement country programs. In cases of programs not managed by field missions there may be various approaches used to plan activities. Decisions about where activities will be conducted can be made at various levels including sometimes by grantees.

For the purpose of this guidance, an Activity exists when inputs are mobilized to produce specific outputs in a given country. Outputs are tangible, immediate, and intended products or consequences of USAID's efforts. Examples include a strengthened institution, trained personnel, people fed, vaccinations given, policies recommended, technical assistance delivered, better technologies adopted, and new construction.

Deliverables included in contracts will generally be considered outputs as well as tangible products and consequences of USAID grantees. Nominal costs (not related to a country-specific activity) that may be incurred in a country need not be reported. Examples include traveling through a country, hosting a conference there or making procurements of goods and services. In some rare instances when costs cannot be meaningfully attributed to a specific country they will be categorized as "worldwide support." Activities include centrally managed global programs, regional programs, food aid, housing guarantees, and research.

The steps below are structured to easily collect information needed to make decisions appropriate to particular country and programming circumstances. They are also expected to facilitate review of whether proposed activities are legally permissible. USAID/W will periodically review the scope of activities in each country and may require additional steps to assure that activities are effectively and economically managed.

First: Prior to initiating an activity that is not covered by a country strategy/R4, whether in a presence or non-presence country, a standard one-page Activity Information Sheet must be prepared by the activity manager that documents the following:

- o The approved regional or global strategic plan which the activity supports (SO, Strategic Objective; SSO, Strategic Support Objective; SpO, Special Objective; or IR, Intermediate Result);
- o The responsible operating unit for planning, implementing and monitoring the activity;
- o A brief rationale for why the activity should take place in that country; and
- o A brief description of the activity (including expected coordination with the U.S. Embassy, estimated funding level by fiscal year, source of funding, planned duration, implementing institution(s), and host country counterpart institution(s) -- when known).

A blank template for the Activity Information Sheet is available on intranet at <http://cdie.usaid.gov/npc/> or via e-mail sent to npctemplate@dec.cdie.org, (for those without intranet access) The Activity Information Sheet will be cleared by the appropriate regional Bureau and GC, and submitted by the activity manager to PPC (submit electronic copies directly to npctemplate@dec.cdie.org) before initiating a new activity.

When an activity is to be implemented in a USAID presence country, the regional Bureau will provide the documentation to the Mission Director. Regional Bureaus will determine when to seek inputs or clearance from field missions. The activity information sheets must be updated annually. Countries not under the purview of a regional Bureau will not require regional Bureau clearance. If doubt exists as to whether a country is of interest to a specific regional Bureau, sponsors of the activity must check with the appropriate Bureau to see if clearance is required. All clearances and documentation requested for new activities are to receive prompt attention and action as described in ADS 503, Correspondence Management.

Submission of an Activity Information Sheet does not substitute for activity planning and design requirements. Operating Units are reminded to consult the Supplementary Reference, "Management Tools to Ensure Pre-Obligation Planning Requirements Are Met," in ADS 202.6. (See Supplementary Reference, Management Tools to Ensure Pre-Obligation Planning Requirements)

Second: General Counsel (GC) review and clearance of activity sheets is intended to help ensure that activities planned for all countries are permissible within statutory restrictions. In addition, GC will continue to work with the regional Bureaus and M/FM (for debt related sanctions) to ensure that information on country sanctions is updated and disseminated, and to help ensure compliance with restrictions.

Third: The implementing Bureau activity manager must provide electronic copies of cleared activity information sheets to the relevant regional Bureau and to PPC (at <npctemplate@dec.cdie.org>). PPC will post this documentation on the widely accessible R-4 web site at <http://cdie.usaid.gov/r4_2002>. This more inclusive web site will allow anyone to retrieve information on all USAID activities in a given country for reporting or briefing purposes.

Fourth: All Bureaus will use data from the information sheets to prepare the annual BPBS, Budget Planning & Budget Submission. PPC and M will work with regional and other central Bureaus to ensure that centrally-managed activities in non-presence countries are reviewed as part of the annual BPBS review for the purpose of determining whether USAID's management of the activities is adequate or whether additional management tools or plans may be warranted.

The only exceptions to the procedures described above are for OFDA and Emergency Food aid activities. These can be initiated without prior clearances on an activity sheet, but an activity information sheet must be

submitted to the PPC-managed database after programming decisions are made.

E201.5.5e Approval of Activities Not Covered by a Country Strategy - N/A

End new language for ADS.

USAID management recognizes that a transition period will be needed to collect complete information. It is hoped that by July's BPBS reviews substantial progress tracking activities in non-presence countries will be made with the newly available activity information sheets.

USAID is seeking a waiver of OMB paperwork reduction regulations to enable all operating units of USAID to request country-specific information from grantees working in countries without a USAID direct-hire presence. Until the OMB waiver is provided, operating units are encouraged to provide the necessary data for the activity information sheets based on available data. The E&E Bureau, which already has OMB authority to seek country level reporting from grantees, may continue their present procedures under their current OMB waiver for reporting.

PPC/PC (Program Coordination) will act as arbitrator of any conflicts or disputes arising between Bureaus when implementing these new procedures.

Point of Contact: Specific questions regarding this notice must be directed to Parrie Henderson-O'Keefe, PPC/PC, 202-712-5672, Rm. 6.07-52 or Larry K. Laird, PPC/PC, 202-712-4655, Rm. 6.07-12. Guidance on obtaining or filling out templates for Activity Information Sheets should be directed to e-mail address <npctemplate@dec.cdie.org>.

ATTACHMENT 1: List of USAID Policy Statements or Informal Guidance Documents used in whole, or in part, to Manage specific Aspects of Activities in Non Presence Countries (oldest to newest)

1. March 3, 1994, State 053617 to Mission Directors and Training Officers from AA/M Byrne (as USAID Mission Closeout Coordinator).
2. May 31, 1994, memo from AA/PPC to all offices and bureaus. "Agency Directive on Setting and Monitoring Program Strategies."
3. June 15, 1994, the Administrator approved a May 13, 1994, Action Memo from AA/PPC, Terry Brown requesting approval for criteria for USAID-financed activities in non-presence countries.
4. October 6, 1994, Action Memo from AA/G and AA/PPC requesting approval of the Deputy Administrator for implementation guidance for approving research in non-presence countries.
5. November 1994, Larry Byrne memo to all Assistant Administrators.
6. January 18, 1995, Implementation Guidance governing the conditions under which the Agency should initiate, or continue, research in non-presence countries, ADS Interim Update #9
7. April 6, 1995, Larry Byrne memo to all AAs.
8. April 5, 1996, Action Memo from Larry Byrne to the Administrator.
9. January 31, 1997, Action Memo for Administrator from AA/PPC, AA/M, AA/G, Discussion options for approval of G Center for Democracy, ESF-funded, democracy activities in non-presence countries.
10. December 19, 1997, Memorandum from LPA, PPC, and M to Geographic and Central Program Bureaus, providing guidance on preparing material for FY 1999 Congressional Presentation.
11. January 20, 1998, Worldwide Cable, FY 2000 Results Review and Resource Request Guidance.
12. March 12, 1998, 98 STATE 045051, from SEC State, Mission Performance Plan.
13. March 17, 1998, Action Memo from AA/M, Terry Brown, to Administrator.
14. April 28, 1998 Memorandum from AA/M and AA/PPC, FY 2000 Bureau Budget Guidance, to all bureaus.

15. July 30, 1998, General Notice, Reassignment of Responsibilities of M and PPC Bureaus in Close-out and Post Presence Activities.

16. Undated Draft Guidelines-to replace ADS 205 (DRAFT 8) on Graduation and presence and Non presence Programs (Distributed by Larry Laird, PPC, on 8/20/98).

17. October 5, 1998, Information Memorandum from AA/PPC, Thomas Fox, Regarding Draft Policy Framework and Issues - Graduation, Non-presence Programming, and Limited-Presence Programming.