



# EVALUATION REPORT

## Evaluation of the Office of U.S. Foreign Assistance Resources' Implementation of the Managing for Results Framework

**December 2015**

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# **EVALUATION OF THE OFFICE OF U.S. FOREIGN ASSISTANCE RESOURCES' IMPLEMENTATION OF THE MANAGING FOR RESULTS FRAMEWORK**

The Managing for Results framework represents the U.S. Department of State's approach to planning, budgeting, managing, and measuring programs and projects. The Office of U.S. Foreign Assistance Resources is jointly responsible for the management and implementation of framework processes and products.

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## **DISCLAIMER**

The authors' views expressed in this publication do not necessarily reflect the views of the United States Department of State or the United States Government.

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# ACRONYMS

APP	Annual Performance Plan
APR	Annual Performance Report
BEP	Bureau Evaluation Plan
BO	Bureau Objective
BP	Bureau of Budget and Planning
BRR	Bureau Resource Request
CBJ	Congressional Budget Justification
CDCS	Country Development Cooperation Strategy
DE	Diplomatic Engagement
DOS	U.S. Department of State
F	Office of U.S. Foreign Assistance Resources
FA	Foreign Assistance
FACTS	Foreign Assistance Coordination and Tracking System
FAM	Foreign Affairs Manual
FBS	Functional Bureau Strategy
FO	Foreign Operations
FY	Fiscal Year
GPRA	Government Performance and Results Act
GPRAMA	Government Performance and Results Modernization Act
ICS	Integrated Country Strategy
IDIQ	Indefinite Delivery Indefinite Quality
JRS	Joint Regional Strategy
JSP	Joint Strategic Plan
MO	Mission Objective
M/PRI	Office of Management Policy, Rightsizing, and Innovation
MfR	Managing for Results
MPBP	USAID Office of Management Policy, Budget, and Performance
MRR	Mission Resource Request
NSS	National Security Strategy
OMB	Office of Management and Budget
OP	Operational Plan
OU	Operating Unit
PPL	USAID Bureau for Policy, Planning, and Learning
PPM	Planning and Performance Management Division
PPR	Performance Plan and Report
PPS	Office of Planning, Performance, and Systems

PRM	Bureau of Population, Refugees, and Migration
SPSD	Standardized Program Structure and Definition
State	U.S. Department of State
USAID	U.S. Agency for International Development
USG	U.S. Government
QDDR	Quadrennial Diplomacy and Development Review

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# EXECUTIVE SUMMARY

The Managing for Results (MfR) framework represents the U.S. Department of State's (hereafter referred to as the Department or DoS) integrated approach to planning, budgeting, managing, and measuring programs and projects. Currently, the Office of U.S. Foreign Assistance Resources (F) and the Bureau of Budget and Planning (BP), in coordination with the U.S. Agency for International Development (USAID), share responsibility for the framework. F maintains responsibility for MfR processes that relate to the management of the Department's Foreign Assistance (FA) programs and resources. After a four-year implementation, the Planning and Performance Management Division (F/PPS/PPM) initiated an independent evaluation to assess the effectiveness of the framework as it relates to the management of FA programs and resources.

## Methodology

The evaluation team reviewed MfR training, guidance, and communications as well as management documents and prior studies to gain a baseline understanding of the MfR processes and products. The evaluation team used electronic surveys, stakeholder interviews, and focus groups to collect stakeholder feedback from F leaders and staff, Bureau and Mission leaders, Bureau Planners (i.e., regional and functional bureau staff members who are responsible for developing MfR products), and external partners (e.g., USAID, Foreign Service Institute (FSI), BP). Finally the team analyzed MfR products from two regional and two functional bureaus to determine how the output of one process could be used to inform subsequent processes. Data collection limitations for this evaluation included low participation in surveys and initially scheduled Bureau Planner focus groups. To mitigate these limitations, the evaluation team extended the deadline for both surveys and scheduled additional Bureau Planner focus group sessions. Other limitations are discussed in pages 14-17 of the evaluation report.

## Findings & Conclusions

The following sections highlight the evaluation team's findings and conclusions aligned to the primary questions F sought to address when commissioning the MfR evaluation.

### Evaluation Question 1: Complementary Processes

F seeks to understand the extent to which the processes of the MfR framework complement one another in practice. For example, what barriers prevent effective linkages between processes? And are any critical processes or components missing that would improve effectiveness?

**1.1: Leadership Engagement.** Department leadership does not consistently participate during MfR processes or use MfR products (e.g., strategic plans, performance reports).

Inconsistent leadership engagement at each level within the organization is a barrier that continues to hinder the adoption of the MfR framework. Stakeholders responsible for performing MfR responsibilities are not motivated to integrate processes into their management routines when they perceive leadership as disinterested in the MfR framework. Activities that foster leadership engagement and collaboration

are largely absent from the current MfR framework. Thus the evaluation team concluded, F should consider new ways to promote dialogue between leaders and staff.

**1.2: FA Program/Project Design and Performance Management<sup>1</sup>.** The MfR framework does not include processes or products that promote FA program/project design and performance management.

While the Department's responsibilities for managing FA resources have grown, corresponding policies and guidance have not expanded to promote FA program/project design and performance management. 18 FAM 005.1-7(G) directs F, working with others as appropriate, to "establish standard guidance and oversight mechanisms for incorporating best practices in program design, management, and monitoring and evaluation." The evaluation team concluded that absent comprehensive program/project design and performance management guidance, standards, and tools, F is not well-positioned to be an effective steward of FA programs and resources.

**1.3: Evaluation Outcomes.** Few mechanisms exist to promote the implementation of program evaluation findings and recommendations.

While the Department recently revised its Evaluation Policy, the current policy does not establish guidance to promote the implementation or monitoring of program evaluation outcomes. Thus, the evaluation team concluded that no formal methods exist to encourage evaluation sponsors to take action on evaluation outcomes. Resource constraints also make it difficult for Bureau Evaluation Coordinators to effectively perform their duties. Finally, systems limitations prevent F and other stakeholders from utilizing data to perform meaningful analysis of evaluation activities to inform future decisions and promote learning across the Department.

**1.4 Strategic Planning.** The current strategic planning process is constrained by timing challenges, inconsistent or ambiguous higher-level policy guidance, and competing country-level planning models.

Evaluation participants identified multiple factors that make it difficult to achieve meaningful alignment between Department, Bureau, and Mission strategic plans. Thus, the evaluation team concluded that at

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<sup>1</sup> Program/project design specifies how specific activities within the program/project will be coordinated to achieve the desired result. Design activities include, but are not limited to, preparing a concept paper defining the proposed program/project outline; developing a logical framework; developing a monitoring and evaluation plan; preparing a cost estimate, financial plan, and implementation plan; and preparing formal approval documents. Program/project management is a methodical approach to guiding execution of and adding a measure of control to project processes from start to finish. Program/project management activities include, but are not limited to managing a program or project schedule, scope, cost, communications, human resources, risks, and procurements (e.g., contracts, grants). Performance management is the collection and use of metrics to inform program/project-management-related decisions. Performance management activities include, but are not limited to, selecting and defining indicators, setting targets, collecting or overseeing the collection of baseline and ongoing monitoring data, and using monitoring data to inform decisions related to project execution and management.

a minimum, the Department would benefit from formalizing its internal approach and communications surrounding the development of the JSP and QDDR. Finally, the lack of complete integration between Department and USAID planning processes complicates these processes for leaders and staff who want to embrace the MfR framework.

## Evaluation Question 2: Awareness, Understanding, and Implementation Gaps

F seeks to identify gaps in awareness, understanding, and implementation among all stakeholders of the MfR framework. For example, is F communicating effectively with its stakeholders about the MfR framework? Are current training activities effective? And to what extent does the lack of resources in key areas affect the implementation of the MfR framework?

**2.1: Training Focus.** Current MfR training and guidance predominately focuses on the implementation of individual processes or products rather than the implementation of the entire MfR framework.

F's current training and guidance predominately focuses on helping stakeholders develop MfR products, but does not sufficiently reinforce linkages between MfR processes. Thus the evaluation team concluded that to increase usage, the Department will need to better educate stakeholders on how to implement and use MfR products within their daily environments.

**2.2: Change and Communications Management.** F lacks a comprehensive change and communications plan to guide its responsibilities for facilitating MfR processes as a whole.

The evaluation team was unable to identify a comprehensive, coordinated change and communications management strategy that guides F's responsibilities for facilitating MfR processes. Multiple stakeholders contribute to knowledge management portals such that information is duplicated between some websites and absent others. Thus, the evaluation team concluded the current approach to content and information sharing reinforces the perception that MfR processes are not sufficiently integrated. These factors complicate F's ability to effectively communicate with stakeholders.

**2.3: Bureau and Mission Staffing.** Bureaus and Missions have not consistently staffed their organizations to perform MfR processes.

At this time, the evaluation team concludes that the Department has not developed a comprehensive human resource management strategy to ensure appropriate staff and staff incentives exist to promote MfR implementation and usage. Without changes to the Department's human resource practices, leaders believe they will not be able to hire and development staff who possess the necessary skills and experience to effectively perform MfR responsibilities. Thus, the evaluation team concluded that F should leverage its shared responsibility identified in 18 FAM 005.1-8(A)<sup>2</sup> to strengthen training, recruitment and performance incentives.

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<sup>2</sup> 18 FAM 005.1-8(A) "F and RM, working with regional and functional bureaus, will develop models for the skill sets and structures that will best support integrated policy, analysis, strategic planning, budgeting, and performance evaluation in Washington and in the field...F, RM, and the DG will determine how the Department can best incorporate these development specialists and those with unique development backgrounds into key positions in Washington and in the field, including in our

### Evaluation Question 3: Mission/Bureau Objectives

F seeks to understand whether the Mission Objectives (MOs) and Bureau Objectives (BOs) from Mission and Bureau strategies are effectively incorporated into each process of the MfR framework. For example, where are there gaps that need to be addressed? And how does the duration or shelf life of a MO/BO affect how well it works as a unit of analysis in each process?

**3.1: Mission/Bureau Objective Performance Reporting.** F and BP facilitate different performance reporting processes for Diplomatic Engagement (DE) and FA programs; the MfR framework does not currently enable stakeholders to report overall performance against Mission/Bureau Objectives.

Thus, the evaluation team concluded that the separation of DE and FA performance reporting processes limits visibility into the overall performance of Mission/Bureau Objectives that comprises both funding streams.

**3.2: Mission/Bureau Objective Development.** Stakeholders are advised to develop specific, actionable Mission/Bureau Objectives; however, stakeholders are motivated to develop broad objectives to accommodate the duration of the federal budget cycle and to avoid off-cycle changes to strategic plans.

MOs/BOs will continue to be broad and vague until more flexibility is permitted for updating them mid-cycle, or unless budget requests and performance narratives no longer need to be aligned to MOs/BOs. Stakeholders report not wanting to be “locked in” to specific, concrete MOs/BOs that they must align their budget requests to two and three years into the future (i.e., F requires Missions to align Mission Resource Requests (MRR) to MOs and BP requires Bureaus to align Bureau Resource Requests (BRR) to BOs annually). Thus, the evaluation team concluded that this then contributes to the perception that strategic plans are too broad or inflexible to be meaningful or serve as useful management tools. As a result, some stakeholders are less inclined to use their strategic plan. Emphasizing that the Action Plans can and should be updated will help stakeholders as they conduct strategic reviews and determine when sub-objectives have been accomplished or more carefully hone performance metrics to enhance performance monitoring.

## Recommendations

The evaluation team identified a number of recommendations along with suggested implementation actions within the evaluation report. Recommendations are structured around four main themes.

### Part 1: Framework Integration

Stakeholders often perceive the MfR framework as a series of independent processes and reporting exercises. Thus, opportunities exist to strengthen the integration between MfR processes and products.

**Recommendation 1.1:** Develop guidance for conducting strategic performance reviews.

budgeting and planning structures, and how to improve training, recruitment, and performance incentives...”

Mission and Bureau leaders do not consistently use MfR products or engage in MfR activities. Strategic performance reviews, whereby Bureaus and Missions review progress against their strategic plan, would lead to strengthened performance information as leaders and staff learn what performance information is needed, how best to collect it, and at what frequency it should be collected to appropriately monitor results. F should develop guidance to implement the “senior-level” reviews recommended within the 2015 QDDR. Guidance should include the benefits of conducting strategic performance reviews, participant roles, timing and frequency, inputs, intended outputs, and uses of the information. Completion of this review should coincide with the development of MRRs/BRRs.

**Recommendation 1.2:** Explore opportunities to provide a complete picture of performance against strategy.

While MOs/BOs represent broad organizational objectives identified during the planning process, downstream budgeting and measuring activities separate FA and DE resource and performance discussions. This makes it difficult to communicate a complete picture of organizational progress towards the achievement of individual MOs/BOs. F should work with BP to explore changes or additions to current performance reporting activities in order to provide a more complete picture of performance against MOs/BOs. Opportunities include the strategic performance reviews or adjustments to current MfR products.

**Recommendation 1.3:** Strengthen evaluation outcomes by revising evaluation guidance and exploring opportunities to strengthen FACTS Info evaluation reporting and analysis.

Few mechanisms exist to promote and monitor the implementation of program evaluation findings and recommendations. Current guidance only directs the documentation and dissemination of evaluation findings. Several Bureau leaders reported not knowing offhand the outcome of evaluations or whether recommendations were implemented. F could update evaluation guidance to encourage evaluation sponsors to develop and submit action plans to monitor evaluation outcomes. Guidance could be updated to encourage Bureaus to strengthen the Bureau Evaluation Coordinator role by designating at least one individual whose primary duty is to select, plan, and monitor evaluations and subsequent action plans. F should explore whether FACTS Info, the FA budget formulation and performance reporting system, can be used to track action plan progress, or flag evaluations by sector to alert OUs who are starting programs in the same sector that they could benefit from an active or complete program evaluation.

**Recommendation 1.4:** Explore opportunities to achieve greater alignment between Department, Bureau, and Mission strategic planning activities.

While current strategic plan sequencing helps align JRS and ICSs, there is no systematic method for aligning the JRS, FBS, or ICS to the JSP or the QDDR. F should consider altering or allowing more flexibility in the timing, duration, and sequencing for Bureaus and Missions strategic planning activities to make sure they are contributing to Department-level goals.

**Recommendation 1.5:** Assess implementation of the entire MfR framework within individual Missions and Bureaus.

Current After Action Reviews of F products and processes focus on reviewing individual MfR processes once they have concluded. Currently, no process exists that assesses the full, end-to-end implementation of the MfR framework, which limits visibility into the effectiveness of MO/BO integration, as well as implementation activities within Missions and Bureaus. To provide greater

visibility into implementation successes and challenges, F should periodically review the complete implementation of all MfR processes for a sample of Missions and Bureaus.

## **Part 2: FA Program/Project Design and Performance Management**

No processes in the MfR framework currently focus on the design and performance management of FA programs or projects. The absence of strong program/project design and performance management guidance increases the risk of ineffectively run programs, the inability to show positive results or value achieved for expended budgets, and jeopardizes the quality of downstream performance monitoring and evaluation activities.

**Recommendation 2.1:** Develop FA program/project design and performance management policy with associated guidance and tools.

MfR processes do not currently encompass program level planning that looks at how programs/projects collectively can or should contribute to broader strategic objectives, nor does F provide program/project design and performance management guidance. A policy is warranted based on the funding magnitude of FA programs/projects. The gap in this area adversely affects the quality of MfR activities, including increasing the risk of poorly managed programs/project and ineffective performance reporting and program evaluation activities that are dependent on sound program/project design and performance management. Providing this guidance upfront can help Bureaus and Missions better organize and plan for monitoring and evaluation at program/project start-up, thus reducing the challenges currently faced by FA programs having limited baseline data and/or insufficient metrics to demonstrate program success. F should create a policy to govern FA program/project design and performance management with accompanying guidance, training, tools, and templates. While there should be one standard policy, the tools (i.e., guidance, training, and templates) associated with implementing it should be scalable and tailorable for programs of differing sizes.

## **Part 3: Change and Communications Management**

Stakeholders do not share a common understanding of the MfR primary purpose, customer, benefits, and intended use of each product.

**Recommendation 3.1:** Design and launch a customer-focused communications campaign plan.

Multiple entities (e.g., F, BP, and USAID) communicate about MfR products based on their specific equities. As a result, communications are generally designed around specific processes or products rather than customer needs and at times contradict one another. Messaging emphasizes MfR products' ability to influence budget decisions, without discussion of the benefits that are more likely to resonate with customers. F should design and launch a customer-focused communications campaign plan to communicate the framework's purpose, concrete benefits, and success stories from the field. The Department should formalize its internal approach and communications surrounding the development of the JSP and QDDR and the relationship between the two strategic documents.

**Recommendation 3.2:** Create a one-stop website for MfR communications, guidance, tools, templates, and training.

Many knowledge management systems and portals (e.g., SharePoint, Communities@State) are used to share information and content with stakeholders. This scenario makes it difficult for F to effectively manage change and confusing to customers who are trying to better understand MfR products and processes. MfR communications, guidance, tools, templates, and training should be accessible via a one-

stop website that allows stakeholder interaction and engagement, such as Communities@State. Such a website should allow for two-way engagement between F and end users of MfR products and processes.

**Recommendation 3.3:** Enlist a network of change champions within the Department to promote MfR framework, processes, products, and practices.

F has promoted MfR success stories but has not fully tapped into the potential of the leaders who share these stories. F can maximize the impact of key messaging around customer benefits through testimonials. Leaders who have found success with the MfR framework should be tapped to promote the benefits, share their successes and lessons learned, and educate other staff on MfR benefits and best practices. This would build MfR capability organically using spokespeople who believe in the framework.

**Recommendation 3.4:** Revise planning guidance and training materials for clarity.

Stakeholders shared that they receive conflicting guidance regarding the appropriateness of making mid-cycle changes to strategic plans. For example, Missions receive differing guidance from F, BP, or the Bureau Planners working in their respective Regional Bureaus. Staff and leaders may also have confused the guidance between the two guidance documents when discussing them in interviews and focus groups. F should work with BP to promote consistency between guidance for the FBS/JRS and the ICS, while recognizing differences between these organizations. Emphasize that the sub-objectives, indicators, and milestones that comprise action plans could and should be updated following strategic performance reviews.

**Recommendation 3.5:** Increase collaboration between F/PPS/PPM and F/RG.

Bureau staff reported that F/PPS/PPM and F-POCs are not always consistent or in agreement with one another, which could impact F's credibility with customers. F leadership should consider creating more unity and collaboration between these two offices as a top organizational priority. Synching these organizations will optimize F's ability to benefit MfR customer implementation. F leadership should support and reinforce the importance of unified messaging to customers. To support this change, F leadership should consider the following options for increasing collaboration between F/PPS/PPM and F-POCs: a leadership offsite, periodic synch meetings, staff rotation program, and a leader buddy program.

## Part 4: Training and Capacity Building

Missions and Bureaus have been implementing MfR processes and products, but without sufficient capacity, training, or a reward structure, implementation remains inconsistent.

**Recommendation 4.1:** Create and execute an MfR learning strategy and training plan.

Current MfR communications, training, and guidance are process-specific, and few focus on how to holistically implement the MfR processes, products, and practices within a Mission or Bureau. In addition, the Department's broader training and professional development strategy has not kept pace with growing responsibilities for implementing FA as an instrument of Foreign Policy. FSI has not fully incorporated MfR or FA program/project performance management training into its core curriculum. F should develop an MfR framework training plan to guide curriculum design, development, and management for the Managing Foreign Assistance Overseas FSI course F may be assuming responsibility for. Training could be designed to influence attitudes and behaviors of adult learners by focusing on performance management concepts and how to apply these concepts within a Foreign Policy context.

**Recommendation 4.2:** Continue to transition F/PPS/PPM to a more consultative role while pursuing longer-term changes to the Department's employee training and development practices.

Missions and Bureaus continue to face increasing strategic planning, budgeting, managing, and measuring requirements as FA increases, without a corresponding increase in State Department FTEs. While tools and templates are useful, technical assistance is reported to have a greater impact. F/PPS/PPM could collaborate with D-MR annually to identify high-priority Missions and Bureaus that would benefit from technical assistance in strategic planning, program design, performance monitoring and/or evaluation for FA. This could be done on a small scale with the staff within F (i.e., no new resources).

**Recommendation 4.3:** Promote knowledge transfer in evaluation to build capacity.

Bureau leaders report difficulty recruiting and hiring skilled evaluation experts into the USG. F could include standard language within Department evaluation Statements of Work (SOW) to provide training and mentoring of Bureaus' evaluation staff to maximize knowledge transfer.

**Recommendation 4.4:** Advocate for incorporating MfR concepts into FSI training, Foreign Service precepts, and the FS Management Cone structure.

Incorporating MfR concepts into FSI training, Foreign Service precepts, and the FS Management Cone structure would help the Department fulfill responsibilities outlined within 18 FAM 005 pertaining to improving recruitment, professional incentives, and training for MfR concepts. F should consider establishing a working group consisting of participants from BP, FSI, and HR in order to identify longer-term opportunities for expanding training and professional development opportunities for FA program/project performance management and evaluation staff.

# EVALUATION PURPOSE AND QUESTIONS

This section identifies the purpose for the evaluation of the Managing for Results (MfR) framework. This section also identifies the three primary evaluation questions identified by the evaluation sponsor, the Office of U.S. Foreign Assistance Resources (F). Annex 1 identifies the complete list of evaluation questions and sub-questions.

## Evaluation Purpose

The primary purpose for the evaluation is to help F understand how the MfR framework is currently working in practice. Specifically, F would like to understand if the framework's individual components complement each other, if current guidance is effective, and what actions can be taken to improve awareness and adoption. The evaluation is designed to help F answer these questions and identify potential adjustments to its policies, guidance, training, tools, and communications. Additionally, it outlines recommendations that the Department should consider as it seeks to mature and strengthen overall utility of the framework.

## Evaluation Questions

This evaluation aims to understand how the MfR framework works in practice and is designed to answer the following questions:

- 1. Complementary Processes:** Do the processes of the MfR framework complement one another in practice?
- 2. Awareness, Understanding, and Implementation Gaps:** Where are the gaps in awareness, understanding, and implementation among all stakeholders of the MfR framework?
- 3. Mission/Bureau Objectives:** How are the Mission/Bureau Objectives incorporated into each process of the MfR framework?

Annex 1 identifies the complete list of evaluation questions and sub-questions.

# PROGRAM BACKGROUND

The section provides a brief history of the MfR framework and supporting activities. Annex 2 provides additional information regarding individual MfR processes and products.

## Program History

The 2010 Quadrennial Diplomacy and Development Review (QDDR) recommended overhauling the Department’s existing performance management processes to “...create a seamless, coherent process from planning to budgeting to operations that establishes priorities, translates those priorities into budgets, and provides accountability.” The Department deployed the Managing for Results (MfR) framework in response to State needs as well as to implement the 2010 QDDR and the State and USAID Streamlining recommendations.

MfR is the current iteration of the Department’s approach to linking strategic planning, budgeting, managing, and measuring programs and projects. The MfR framework is a step-by-step integrated process, managed by DoS in coordination with USAID. These integrated and inter-related processes should inform and facilitate one another.

F and BP, in collaboration with USAID, facilitate and oversee MfR reporting activities. F and BP are also responsible for formulating the Department’s Foreign Operations (FO) (with USAID) – also commonly referred to as Foreign Assistance – and Diplomatic Engagement (DE) budgets, respectively.



Figure 1 – The MfR Framework Processes and Products

# EVALUATION DESIGN, METHODS, AND LIMITATIONS

This section describes the evaluation team’s approach to conducting the evaluation. Where appropriate, the evaluation team identifies limitations that affected its efforts and explains how they affect the findings, conclusions, and recommendations.

## Evaluation Design

The evaluation team designed its data collection activities to obtain evidence related to each evaluation question from the following sources:



Figure 2 – Evaluation Data Collection Activities

Summary of Evaluation Methods		
Method	Summary of Evaluation Activities	Evaluation Questions
<b>Documentation Review</b>	<ul style="list-style-type: none"> <li>Reviewed MfR training, guidance, and communications</li> <li>Review management documents, including prior studies</li> <li>Reviewed existing knowledge management platforms</li> </ul>	1, 3
<b>Surveys</b>	<ul style="list-style-type: none"> <li>Conducted a survey of all F staff</li> <li>Conducted a survey of all Bureau Planner</li> </ul>	1, 2
<b>Interviews</b>	<ul style="list-style-type: none"> <li>Interviewed F/PPS/PPM leaders</li> <li>Interviewed F leadership</li> <li>Interviewed USAID leadership</li> <li>Interviewed Ambassadors and other Mission leaders</li> <li>Interviewed Department and Bureau leadership</li> <li>Interviewed key partners (e.g., FSI, BP, M/PRI, QDDR)</li> </ul>	1, 2
<b>Focus Groups</b>	<ul style="list-style-type: none"> <li>Conducted focus group with F/PPM staff</li> <li>Conducted focus group with other F staff</li> <li>Conducted focus group with Bureau Planners</li> <li>Conducted focus group with USAID/PPL</li> </ul>	1, 2
<b>Case Studies</b>	<ul style="list-style-type: none"> <li>Reviewed Regional Bureau MfR products (e.g., EUR, EAP)</li> <li>Reviewed Functional Bureau MfR products (e.g., PRM, OES)</li> </ul>	1, 2, 3

Table 1 – Summary of Evaluation Methods

## Evaluation Methods and Limitations

The following sections provide a detailed account of the team’s evaluation methods.

### Method 1: Documentation Review

**Purpose:** Documentation review provided the evaluation team with the opportunity to review MfR training, guidance, and communications materials from the customer’s perspective. This method also allows the evaluation team to understand the specific steps required to successfully submit MfR products.



**Scope:** Documentation review included published guidance on how to develop the Integrated Country Strategy (ICS), Functional Bureau Strategy (FBS), Joint Regional Strategy (JRS), Mission Resource Request (MRR), Bureau Resource Request (BRR), Operational Plan (OP), and Performance Plan and Report (PPR). The team also reviewed training materials and other content published on MfR websites (e.g., Diplopedia) and shared by the evaluation sponsors. Finally, the team reviewed the results of previous studies and After Action Reviews (AAR) shared by the evaluation sponsors.

**Limitations and Mitigation:** The team did not observe training delivery. The schedule only permitted sufficient time to attend a few outreach opportunities (e.g., JRS/FBS launch meeting, Bureau Planners meetings). This limited the evaluation team’s firsthand view into how F interacts with MfR stakeholders. While the evaluation sponsors provided extensive documentation for review, the evaluation team may not have discovered or reviewed all relevant MfR training, guidance, and communications.

**Relevant Annexes:** Annex 3 – Documentation Review

### Method 2: Surveys

**Purpose:** Surveys allowed the evaluation team to gather and analyze feedback from a broad range of stakeholders within F and the Department. They also provided an opportunity to identify trends within stakeholder groups because consistent questions were asked of everyone. Anonymity allowed respondents to be candid, which helped the evaluation team gather honest feedback in order to identify challenges.



**Scope:** Two separate surveys were distributed to F staff and Bureau Planners.

Evaluation Survey Descriptions and Response Rates			
Survey	Audience	# Responses	% Response Rate
F Staff survey	F staff included leadership, government staff, and contractors.	31 - RA (1), PA (5), PPM (12), RG (13)	18.2% - Note this percentage is based on the inclusion of all of F staff, even though we wouldn’t expect the IS team to respond.
Bureau Planners survey	Bureau Planners represent all DoS Headquarters staff that perform MfR functions at the Bureau and Office levels.	19	4.5% - There is no distribution list that enabled the evaluation team to easily communicate with all Bureau Planners. This survey was sent to a distribution list developed by F/PPS/PPM. The distribution list included individuals who at some point in time were involved in Bureau MfR activities.

**Table 2 – Evaluation Survey Descriptions and Response Rates**

**Limitations and Mitigation:** Survey response was weak from Bureau Planners, with only 19 responses. Of the 19 Bureau Planner responses, ten were from respondents working in Functional Bureaus, eight respondents identified themselves as working in Regional Bureaus, and one respondent was from an independent Office. The distribution method was challenging because there is no defined role for many MfR functions within the Department. F faces challenges identifying the correct stakeholders to reach out to for feedback. There is no single distribution list of individuals who perform MfR roles. As a result, these surveys were sent to a fragmented audience. Survey results represent only a small percentage of the total Functional and Regional Bureau population. Both surveys were held open an additional week and additional reminders were sent to increase response rates.

**Relevant Annexes:** Annex 4 – Survey Questions; Annex 5 – F Staff Survey Results; Annex 6 – Bureau Planner Survey Results

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### **Method 3: Interviews**

**Purpose:** Interviews provided an opportunity for the evaluation team to obtain candid, honest feedback from stakeholders in the Department and USAID. They also served as an awareness-building exercise for the evaluators to build understanding of the MfR framework on behalf of F, and to prepare leaders in the Department to expect changes.



**Scope:** Interviews were conducted with F/PPS/PPM leaders, F leadership, USAID leadership, an Ambassador and several DCMs at post, HQ leadership, and key partners (e.g., FSI, BP, M/PRI, QDDR).

**Limitations and Mitigation:** Interviews were only conducted with a small number of total stakeholders. The evaluation team conducted individual or group interviews with 42 F staff members. Additionally, the evaluation team conducted five individual interviews with one Ambassador and four Deputy Chiefs of Mission. The team conducted more than 20 interviews with a sample of Bureau-level leaders and staff, representing Regional Bureaus (i.e., AF, ECA, EUR, NEA, SCA, and WHA) and Functional Bureaus (e.g., CSO, ISN, PM). Bureau leaders and staff who served in the field also commented on how processes work at Mission. The team also engaged other stakeholders, including staff from BP, FSI, HR, M/PRI, J, OIG, QDDR, and D-MR.

Given that MfR involves an effort to change the existing culture within the Department, many of those interviewed have an incomplete understanding of the MfR process or are opposed to a strategic planning/performance management approach. We did not interview leaders or staff from Bureaus that only receive Diplomatic Engagement funding.

**Relevant Annexes:** Annex 7 – Interview Questions; Annex 9 – Stakeholder Participation

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### **Method 4: Focus Groups**

**Purpose:** Focus groups allowed the evaluation team to obtain feedback from multiple stakeholders at the same time. This method helped stakeholders to hear and build upon ideas from other participants. This method also provides an opportunity for the evaluation to gather stakeholder input for specific recommendations.



**Scope:** Conducted focus group with F/PPS/PPM staff, other F staff, Bureau Planners, and USAID staff.

**Limitations and Mitigation:** Focus group attendance was low, particularly for Bureau Planners. The team scheduled additional focus group sessions to increase attendance. The team did not conduct focus groups with Mission staff, as MfR roles and responsibilities are not consistently designated at Missions. Due to our evaluation scope and participation rates, we only facilitated one USAID focus group.

**Relevant Annexes:** Annex 8 – Focus Group Guides; Annex 9 – Stakeholder Participation

## Method 5: Case Studies

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**Purpose:** Case studies allowed the evaluation team to review real-life products (e.g., JRS, BRR, OP, PPR) that were created based on existing guidance. This was the primary method for understanding how Mission/Bureau Objectives are currently incorporated into products. This method also highlighted differences in maturity between different Operating Units (OUs). This method also identified where integration between processes and products exist, and where it does not.



**Scope:** Reviewed MfR products for two Regional Bureaus, EUR and EAP, and two Functional Bureaus, PRM and OES. The team also reviewed relevant Mission and Department products (e.g., ICS, MRR, CBJ, JSP) to understand how these documents align with Bureau products.

**Limitations and Mitigation:** Case studies were designed around two Regional and two Functional Bureaus. The evaluation team collaborated with the F/PPS/PPM sponsor group to identify the candidate Bureaus. The selected Bureaus were identified by the evaluation sponsors as having higher-quality products. Case studies of Bureaus that may be less mature in their use of the MfR framework may have highlighted additional issues that were not observed by the evaluation team. The evaluation team reviewed the products created by a sample of Missions but did not engage directly for additional information on how they were created.

**Relevant Annexes:** Annex 3 – Documentation Review; Annex 15 – Product Data Elements

# FINDINGS AND CONCLUSIONS

This section identifies the evaluation team’s findings and conclusions, which is organized around the three primary evaluation questions.

## Evaluation Question 1: Complementary Processes

F seeks to understand the extent to which the processes of the MfR framework complement one another in practice. For example, what barriers prevent effective linkages between processes? And are any critical processes or components missing that would improve effectiveness? The following sections summarize the evaluation team’s findings and conclusions for these areas.

**1.1: Leadership Engagement.** Department leadership does not consistently participate during MfR processes or use MfR products (e.g., strategic plans, performance reports).

Stakeholders reported that Department, Bureau, and Mission leadership teams do not consistently participate during MfR processes. This opinion was consistently reported by F staff, Bureau staff, Bureau leaders, and Mission leaders who participated in interviews and focus groups. Inconsistent leadership engagement at each level within the organization is a barrier that continues to hinder the adoption of the MfR framework. Stakeholders responsible for performing MfR responsibilities are not motivated to integrate processes into their management routines when they perceive leadership as disinterested in the MfR framework.

The evaluation team sought to understand the factors that contribute to this finding. The following factors contribute to the lack of consistent leadership participation across the organization:

- **Change fatigue.** Stakeholders are increasingly reluctant to embrace new management processes given the Department’s tendency to change its approach. Changes to management processes require leaders and staff to embrace new terminology, processes, and products. Repeated large-scale changes over the years have also negatively impacted the Department’s management culture. In summary, constant change has reduced the credibility of the MfR framework. This then reduces leadership’s desire to serve as change champions.
- **Differences in perceived benefits.** Bureau and Mission leaders who participated in the evaluation maintain very different perspectives regarding the benefits of the MfR framework. For example, Ambassadors and other Mission leaders shared that the Department’s decision to separate its planning and budgeting products has helped to reinvigorate strategic planning at Missions. The current approach provides Missions greater flexibility to identify longer-term strategic goals and objectives. Mission leaders also appear committed to using MfR products to establish stronger linkages between planning and budgeting decisions. However, Bureau leaders and staff who participated in the evaluation often perceive the MfR framework as a compliance exercise designed to satisfy external reporting requirements. Interview and

### 18 FAM 005.1-7(G) Managing Foreign Assistance Resources Optimally

*“Assistant Secretaries, ambassadors, and other diplomatic leadership must be active participants in planning and allocating foreign assistance resources and effective managers of the programs State implements to ensure our engagement is responsive to U.S. Government objectives...”*

focus group participants attribute these different perceptions to the nature of Mission and Bureau operations. MfR processes are often more tactical and actionable within a Mission than within a Bureau. Bureaus must often account for a broader operating environment that is more likely to be influenced by unpredictable external events. This opinion was particularly evident among Regional Bureau leaders and staff who participated in the evaluation. In summary, the scope and complexity of Bureau operations often make it more difficult to derive value from the MfR framework. This challenge then impacts leadership engagement and opinions regarding the usefulness of the framework.

- **Limited incentives.** The evaluation team was unable to identify clear incentives or methods that promote leadership participation during MfR processes. The evaluation team was unable to identify processes that promote dialogue between leadership and staff (e.g., strategy reviews involving senior leadership). In summary, there are no formalized methods for promoting feedback between stakeholders for each MfR process.

**Conclusion.** Activities that foster leadership engagement and collaboration are largely absent from the current MfR framework. F should consider new ways to promote dialogue between leaders and staff. Moreover, recognizing the organization’s desire to avoid drastic changes to the current framework, F should focus on identifying incremental improvements that increase the value derived from MfR processes for all levels of the organization. Finally, Bureau and staff leaders find it more difficult to derive value from current MfR processes than Mission leaders.

**Survey respondents feel leadership is not sufficiently engaged.**

74% of Bureau Planner survey respondents believe leadership does not prioritize the use of MfR products.

84% of F staff and 68% of Bureau Planner survey respondents feel there are few consequences for not using the MfR products.

**1.2: FA Program/Project Design and Performance Management<sup>3</sup>.** The MfR framework does not include processes or products that promote FA program/project design and performance management.

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<sup>3</sup> Program/project design specifies how specific activities within the program/project will be coordinated to achieve the desired result. Design activities include, but are not limited to, preparing a concept paper defining the proposed program/project outline; developing a logical framework; developing a monitoring and evaluation plan; preparing a cost estimate, financial plan, and implementation plan; and preparing formal approval documents. Program/project management is a methodical approach to guiding execution of and adding a measure of control to project processes from start to finish. Program/project management activities include, but are not limited to managing a program or project schedule, scope, cost, communications, human resources, risks, and procurements (e.g., contracts, grants). Performance management is the collection and use of metrics to inform program/project-management-related decisions. Performance management activities include, but are not limited to, selecting and defining indicators, setting targets, collecting or overseeing the collection of baseline and ongoing monitoring data, and using monitoring data to inform decisions related to project execution and management.

Since the terrorist attacks of September 11, 2001, the U.S. Government has increasingly turned to FA as an instrument of foreign policy. The Department continues to assume greater responsibility for implementing FA programs alongside traditional development programs managed by USAID. Annex 10 shows the growth in annual obligations between 2002 and 2013.

While the Department's responsibilities for managing FA resources have grown, corresponding policies and guidance have not expanded to promote FA program design and performance management. The following observations contributed to this conclusion:

- **Lack of FA program/project performance management standards.** F maintains broad authority for FA programs and resources. For example, 1 FAM 033 identifies that F “has authority over all Department and USAID foreign assistance funding and programs.” Moreover, 18 FAM 005.1-7(G) directs F to “establish standard guidance and oversight mechanisms for incorporating best practices in program/project design, management, and monitoring and evaluation.” However, the Department currently lacks an FA program/project design and performance management policy that identifies appropriate standards and guidance. F has not developed standard methods or tools to guide staff during the design and performance management of new programs and projects. For more information, Annex 12 summarizes relevant FAM sections that identify stakeholder responsibilities for program/project performance management and other MfR processes.
- **Resource constraints.** Currently, staff within F do not maintain exclusive responsibility for program/project design and performance management processes. Existing staff roles are not structured to provide oversight for FA program/project performance management practices across the Department.

**18 FAM 005.1-7(G) Managing Foreign Assistance Resources Optimally**

*“The Office of the Director of U.S. Foreign Assistance (F), working with others as appropriate, will establish standard guidance and oversight mechanisms for incorporating best practices in program design, management, and monitoring and evaluation.”*

**Conclusion.** F should issue program/project design and performance management guidance, standards, and tools to influence the design and management of FA programs and resources. Currently, Bureaus and Missions independently devise their own program/project design and performance management practices. This approach is both inefficient and not conducive to institutionalizing these disciplines within the Department.

**1.3: Evaluation Outcomes.** Few mechanisms exist to promote the implementation of program evaluation findings and recommendations.

In 2015, F collaborated with BP to publish a revised Department Evaluation Policy, which is communicated within 18 FAM 301. While Bureaus are increasingly investing in their evaluation capabilities, key gaps continue to prevent the Department from fully realizing the benefits of these investments. The following factors contribute to this conclusion:

- **Acting on evaluation results.** The Department's program evaluation policy does not communicate how stakeholders should monitor the implementation of

**18 FAM 301 Department of State Evaluation Policy**

*“A robust, coordinated evaluation function is essential to the Department's capacity to monitor performance, make critical management and programmatic decisions, and improve management practices and services. It is also necessary to measure results; provide inputs for policy, planning, and budget decisions; and assure accountability.”*

program evaluation findings and recommendations. Currently, evaluation sponsors are not required to respond to findings or recommendations. The evaluation team was unable to identify any formal mechanisms used to promote the implementation of recommendations. For more information, Annex 11 identifies the relevant program evaluation guidance.

- **Role of the Bureau Evaluation Coordinator.** Currently, Bureaus are required to identify a single individual to maintain responsibility for coordinating evaluation activities in their Bureaus; however, this responsibility is often performed as a collateral duty alongside other competing responsibilities within Bureaus. For more information, Annex 11 identifies the current guidance surrounding the role of the Bureau Planning Coordination.
- **Limitations of program evaluation reporting systems.** Stakeholders are able to report FA program evaluations within the FACTS Info evaluation registry in the PPR. FACTS Info also allows stakeholders to align Mission/Bureau Objectives to evaluations. This helps to promote stronger linkages between evaluations and other MfR processes. However, FACTS Info does not currently permit stakeholders to easily search or analyze data from previous program evaluations. It is currently difficult to extract meaningful information from the registry to promote knowledge sharing and learning across the Department.

**Conclusion.** While the Department recently revised its Evaluation Policy, the current policy does not establish guidance to promote the implementation or monitoring of program evaluation outcomes. No formal methods exist to encourage evaluation sponsors to take action on evaluation outcomes. Resource constraints also make it difficult for Bureau Evaluation Coordinators to effectively perform their duties. Finally, systems limitations prevent F and other stakeholders from utilizing data to perform meaningful analysis of evaluation activities to inform future decisions and promote learning across the Department. All of these factors reduce the value of the Department’s FA program evaluation investments.

**1.4 Strategic Planning.** The current strategic planning process is constrained by timing challenges, inconsistent or ambiguous higher-level policy guidance, and competing country-level planning models.

Evaluation participants identified multiple factors that constrain the current strategic planning process. These factors make it difficult to achieve meaningful alignment between Department, Bureau, and Mission strategic plans. The following constraints prevent the Department from realizing the full potential of its strategic planning process:

- **Timing of the strategic planning cycle.** Resource limitations continue to influence the timing of the Department’s strategic planning process. To provide sufficient planning support to Bureau and Mission staff, F collaborates with BP to divide Bureaus and Missions into groups rather than simultaneously facilitate strategic planning across the entire Department. This approach does not position the organization to achieve strong alignment between Department, Bureau, and Mission strategic plans. Also, Functional Bureau and Office strategic plans are developed at the same time as Regional Bureau and Mission strategic plans. It is not clear that this approach provides Functional Bureaus or Offices sufficient time to address policy priorities identified by Regional Bureaus or Missions for which they support. For more information, Annex 13 identifies the current strategic planning schedule.
- **Guidance surrounding the Joint Strategic Plan (JSP) and the Quadrennial Diplomacy and Development Review (QDDR).** Department-level guidance (e.g., FAM) does not clearly distinguish the JSP from the QDDR. For example, according to the FAM, “Strategic planning and

performance management are guided by the QDDR and the GPRA Modernization Act (GPRA-MA) of 2010...the QDDR serves as the new State-USAID Joint Strategic Plan (JSP), and sets institutional priorities and provides strategic guidance as a framework for the most efficient allocation of resources” (Ref. 1 FAM 621.5). While the FAM identifies the QDDR as the new JSP, the QDDR does not fully satisfy the Department’s reporting obligations under the GPRA-MA. Stakeholders recognize that GPRA-MA limits the flexibility of the JSP. Accordingly, the QDDR process enables the Department to provide more actionable guidance to Bureaus and Missions during the planning process. However, current MfR guidance advises stakeholders to align their strategic plans to the JSP rather than the QDDR. The timing and sequencing of the JSP and QDDR also make it difficult to communicate how to fully consider both products when making planning decisions. For example, the most recent QDDR was published during 2015. This was soon after many Bureaus and Missions had published new strategic plans. In summary, evaluation participants shared that it has become increasingly difficult to benefit from the JSP and QDDR because the Department has not fully incorporated these products within the planning cycle.

- **Different Department and USAID country-level planning processes.** While the Department and USAID share certain budgeting and performance reporting processes, they maintain separate planning processes. The USAID planning process requires country staff to develop Country Development Cooperation Strategies (CDCS) for certain Missions. These Missions produce a multi-year CDCS in addition to the multi-year ICS. Department leaders who participated in interviews identified multiple challenges with this approach. Notably, USAID maintains a longer planning cycle than the three-year ICS process facilitated by the Department. However, Mission staff must include CDCS Development Objectives within the ICS. Department leaders questioned whether this approach undermines the ICS and the Department’s attempt to develop an integrated and shared set of Mission Objectives. Department leaders also questioned whether it remains valuable for the Department and USAID to maintain separate country-level planning processes when the two organizations collaborate to produce Joint Regional Strategies and the Joint Strategic Plan. In summary, Department stakeholders shared that the USAID planning process undermines the ICS’s authority.

**Conclusion.** The timing of the current strategic planning process makes it more difficult for stakeholders to derive value from their strategic plans. F should explore opportunities to achieve greater alignment between Department, Bureau, and Mission strategic planning activities. Additionally, stakeholders draw on many internal and external inputs to develop their strategic plans. Example inputs include the National Security Strategy, Presidential initiatives, interagency input, and Congressional mandates. It is not always possible to anticipate how outside influences will impact the planning process or the Department’s priorities. However, at a minimum, the Department would benefit from formalizing its internal approach and communications surrounding the development of the JSP and QDDR. Finally, the lack of complete integration between Department and USAID planning processes complicates these processes for leaders and staff who want to embrace the MfR framework.

## **Evaluation Question 2: Awareness, Understanding, and Implementation Gaps**

F seeks to identify gaps in awareness, understanding, and implementation among all stakeholders of the MfR framework. For example, is F communicating effectively with its stakeholders about the MfR framework? Are current training activities effective? And to what extent does the lack of resources in key areas affect the implementation of the MfR framework? The following sections summarize the evaluation team’s findings and conclusions for these areas.

**2.1: Training Focus.** Current MfR training and guidance predominately focuses on the implementation of individual processes or products rather than the implementation of the entire MfR framework.

F’s current training and guidance predominately focuses on helping stakeholders produce MfR products. However, as the MfR framework matures, F’s training should evolve to focus more on implementation and usage. The following observations highlight the evaluation team’s findings in this area:

- **Adoption versus usage:** Current training mostly focuses on helping stakeholders to adopt individual MfR processes or products. The evaluation team was unable to identify substantive training or guidance that explains how stakeholders are supposed to incorporate MfR processes in their regular responsibilities. For example, at what time during the MfR cycle is it best to perform periodic strategy reviews? When and how should senior Department leadership engage during MfR processes? How are F staff supposed to use the PPR to inform decisions? Or, how might a Bureau Evaluation Coordinator monitor the implementation of evaluation recommendations? Survey findings reinforced that current training does not sufficiently address these questions. Of all survey respondents, only 37% of Bureau Planners and 39% of F staff believe current training, guidance, and communications reinforce linkages between MfR products.

*“We issue guidance documents separately across different processes each year. There is an absence of a commonly agreed upon section that talks about how one thing fits into the larger wheel.”*

*“We have to start showing the connection, not just talking about.”*

*“Training should be focused on the nuts and bolts of managing foreign assistance and not just aspirational strategy-related issues.”*

F Staff

- **Focus of current After Action Reviews (AAR).** After each process, F/PPS/PPM facilitates an AAR to gather stakeholder feedback to identify opportunities for improvement. Current AARs focus on evaluating individual MfR processes rather than evaluating how individual Bureaus or Missions have implemented the whole lifecycle of MfR processes. This approach may reinforce current perceptions regarding the independent nature of MfR processes. The current approach also does not provide F with sufficient visibility into how MfR processes or products may be improved to strengthen integration between processes.

*“The State Department doesn't foster program-strategy officers in its FS system, so you have people getting involved in processes who may not have much background in strategic planning, managing programs, etc. The Department should have mandated trainings for people in certain positions that are going to Posts or offices responsible for managing a certain threshold of foreign assistance resources.”*

F Staff

- **Department training gaps.** F and BP currently develop and manage most MfR training. As the Department’s MfR subject matter experts, F and BP are best positioned to design new training content. However, F and BP maintain limited capacity to develop and deliver training in order to promote the professional development of staff who have MfR responsibilities. Currently, the MfR framework has not been formally integrated within the Foreign Service Institute’s (FSI) curriculum. Those FSI courses that incorporate MfR concepts do so generically. Current management tradecraft curriculum focuses predominantly on planning and budgeting processes, neglecting other areas, such as program/project design, performance measurement, monitoring, and evaluation. In summary, while MfR concepts are generically incorporated within the current FSI curriculum,

the Department has not fully incorporated the MfR framework in its training and professional development programs.

**Conclusion.** The focus of current training does not sufficiently reinforce linkages between MfR processes. Survey results identified that 68% of F staff and 89% of Bureau Planner survey respondents do not think effective linkages exist between MfR processes. To increase usage, the Department will need to better educate stakeholders how to implement MfR products within their daily environments.

**2.2: Change and Communications Management.** F lacks a comprehensive change and communications plan to guide its responsibilities for facilitating MfR processes as a whole.

The MfR framework involves many stakeholder roles and responsibilities. Accordingly, it is important for strong change and communications management practices to govern implementation. The following observations highlight key challenges regarding F’s current communications environment and approach:

- **No over-arching change and communications management strategy.** F plans communications and gathers feedback for individual processes. However, the evaluation team was not able to identify an overarching change or communications management strategy to guide stakeholder interactions and messaging. F shares responsibility for facilitating many MfR processes with other organizations within the Department. Various divisions and teams within F maintain responsibility for individual MfR processes. F also facilitates information sharing between the Department and USAID. Multiple handoffs and coordination points make it increasingly difficult to control communications and ensure unified messaging around MfR processes and products (e.g., communicating the intended purpose and benefit of individual MfR products).
- **Multiple knowledge management tools.** The evaluation team identified multiple knowledge management tools (e.g., online portals and websites) used by F to communicate with stakeholders. Examples of knowledge management platforms include various MS SharePoint sites, Diplopedia pages, and Communities@State websites. Multiple stakeholders contribute to these various portals and information is often duplicated between websites. The evaluation team identified this as a challenge impacting its own data collection efforts. Annex 14 identifies the various knowledge management tools identified by the evaluation team.
- **Difficult to track stakeholders.** F’s communications activities are made even more complex by the Department’s organizational structure and approach to staffing MfR responsibilities. Staff with MfR responsibilities work in more than 250 domestic and international locations. Also, MfR responsibilities often represent secondary duties for existing Bureau and Mission staff. For example, a designated Bureau Planner may perform one or many MfR processes depending on how their Bureau has assigned responsibilities. The assignment of MfR responsibilities within Missions is even less transparent and evolves more frequently due to Foreign Service Officer (FSO) rotations. These scenarios make it very difficult for F and other process owners to maintain accurate stakeholder lists. The evaluation team identified this as a challenge that limited its own data collection efforts.

*“The systems that collect the information are complicated and likely create challenges for overseas staff, further frustrating participants.”*

F Staff

**Conclusion.** The evaluation team was unable to identify a comprehensive, coordinated change and communications management strategy that guides F’s responsibilities for facilitating MfR processes. Finally, current knowledge management tools appear to have evolved over time to address isolated

needs or challenges. This is a particularly significant challenge for an organization like the Department, which has a geographically dispersed workforce that continually rotates among locations. The evaluation team believes the current approach to content and information sharing also reinforces the perception that MfR processes are not sufficiently integrated. All of these factors complicate F's ability to effectively communicate with stakeholders.

**2.3: Bureau and Mission Staffing.** Bureaus and Missions have not consistently staffed their organizations to perform MfR processes.

The Department's human resource management practices have not sufficiently evolved to address MfR responsibilities. The team made several observations in this area, including:

- **Staff capacity.** When asked about staff capacity, 16% of F staff and 42% of Bureau Planner survey respondents reported that they think Bureaus, Offices, and Missions dedicate sufficient staff to MfR processes. The evaluation team observed that Bureaus and Missions have not consistently staffed their organizations to perform MfR responsibilities. Individual staff often maintain responsibility for performing multiple MfR functions. This approach may be sufficient to enable Bureaus and Missions to comply with reporting requirements. However, it does not position the Department to strengthen staff capacity around these disciplines. Furthermore, the implementation and usage of MfR products requires a different staffing approach than one simply focused on reporting compliance. The absence of clear staffing standards and guidance is problematic, as stakeholders continue to experiment in isolation with different staffing approaches.

*"We don't have these types of positions at State. Bureau Planners are expected to perform a range of responsibilities, but no one at post. That means at post, there are a whole range of people who could be doing MfR activities, from Econ officers to junior officers to interns. When that one person leaves, all of the institutional knowledge goes with him/her and we have to start over. These activities are not part of anyone's job description. There is no cone for it. It's not in the precepts. People are not evaluated against it."*

**F Leadership**

- **Department human resource practices.** Bureau and Mission leaders who participated during the evaluation strongly believe the Department's broader human resource management policies have not sufficiently evolved to account for the growth of FA management responsibilities. The precepts used to guide the development of FSOs do not prioritize critical MfR competencies, including planning, program design, monitoring, and evaluation. Additionally, the evaluation team identified few, isolated examples of leaders attempting to align employee performance evaluations with MfR responsibilities. The lack of integration between human resource management policy and MfR activities inhibits adoption. While these represent broad challenges, F shares responsibility for strengthening staffing and professional incentives for FA programs. For example, 18 FAM 005.1-8(A) identifies that "F and RM, working with regional and functional bureaus, will develop models for the skill sets and structures that will best support integrated policy, analysis, strategic planning, budgeting, and performance evaluation in Washington and in the field...F, RM, and the DG will determine how the Department can best incorporate these development specialists and those with unique development backgrounds into key positions in Washington and in the field, including in our budgeting and planning structures, and how to improve training, recruitment, and performance incentives..."

**Conclusion.** At this time, the evaluation team concludes that the Department has not developed a comprehensive human resource management strategy to ensure appropriate staff and staff incentives exist to promote MfR implementation and usage. Without changes to the Department’s human resource practices, leaders believe they will not be able to hire and develop staff who possess the necessary skills and experience to effectively perform MfR responsibilities.

### Evaluation Question 3: Mission/Bureau Objectives

F seeks to understand whether the MOs/BOs are effectively incorporated into each process of the MfR framework. For example, where are there gaps that need to be addressed? And how does the duration or shelf life of a MO/BO affect how well it works as a unit of analysis in each process? The following sections summarize the evaluation team’s findings and conclusions for these areas.

**3.1: Mission/Bureau Objective Performance Reporting.** F and BP facilitate different performance reporting processes for Diplomatic Engagement (DE) and FA programs; the MfR framework does not currently enable stakeholders to report overall performance against Mission/Bureau Objectives.

It is important to understand how both FA and DE investments contribute to the achievement of individual MOs/BOs. The evaluation team identified the following challenge regarding how MOs/BOs are incorporated within the performance reporting process:

- **Separate performance reporting.** While the planning process does not distinguish between FA and DE programs, the manner which stakeholders report performance does. For example, F facilitates the development of the annual Performance Plan and Report (PPR). Operating Units (OUs) use the PPR to report performance information and data for FA programs. Within the PPR, OUs author Performance Narratives for individual MOs/BOs. Currently, OUs are not required to report performance information for MOs/BOs that do not involve FA resources. BP maintains separate methods for understanding progress on achieving MOs/BOs that involve Diplomatic Engagement programs. Annex 11 summarizes current PPR guidance.

**Conclusion.** The separation of DE and FA performance reporting processes limits visibility into the overall performance of MOs/BOs that comprise both funding streams.

**3.2: Mission/Bureau Objective Development.** Stakeholders are advised to develop specific, actionable Mission/Bureau Objectives; however, stakeholders are motivated to develop broad objectives to accommodate the duration of the federal budget cycle and to avoid off-cycle changes to strategic plans.

Mission/Bureau Objectives are intended to represent longer-term strategic priorities. In theory, they should be used to inform multi-year resource requests. How this works in practice, however, is complicated by the duration of the federal government’s budget cycle. Key constraints include the following:

- **Designing objectives to accommodate a three-year duration.** Stakeholders are currently advised to develop specific, actionable MOs/BOs during the planning process. For example, ICS guidance says that the “The Mission Objective is a concrete, realistic, and measurable statement...Specificity and measurability of Mission Objectives is important, as they will become the building blocks for resource requests, performance reporting and communicating Mission priorities to all organizations under Chief of Mission authority.” Furthermore, JRS/FBS guidance advised stakeholders to “Consider using the SMART criteria when developing your Objectives – Specific, Measurable, Attainable (realistic), Relevant, and Time-bound.” Within the MfR

framework, MOs/BOs are used to establish linkages between processes. For example, F currently asks Missions to align resource requests to Mission Objectives, and FA OUs allocate funding and report performance against their MOs/BOs. Moreover, F requires Missions and Bureaus to use MOs/BOs for the next three years to structure MfR products, and Bureaus and Missions are strongly discouraged from changing these objectives. Stakeholders reported that developing broad, vague MOs/BOs preserves flexibility because the current process does not permit MO/BO changes except under a few extreme situations. For example, if they are required to align budget requests two plus years into the future against specific, concrete MOs/BOs developed today, they feel specific, concrete MOs/BOs leave them vulnerable to future budget challenges. Annex 11 summarizes current MO/BO development guidance.

- **Making off-cycle changes to strategic plans.** Current planning guidance discourages stakeholders from making off-cycle changes to strategic goals and MOs/BOs. For example, current ICS guidance communicates the following: “We strongly discourage revisions to ICS Goals and Objectives...The ICS should have Goals and Objectives that are broad enough to remain mission-focused during changes in Mission leadership and funding.” Bureau planning guidance communicates the following: “Wholesale changes to the document prior to the end of the three-year life of the strategy are not expected or recommended and should only occur following a major unanticipated event.” In addition to current guidance, off-cycle changes to an MO/BO also affect downstream reporting processes. For example, Missions must align resource requests to their Mission Objectives within the MRR, and OUs must author performance narratives for FA Mission/Bureau Objectives within the PPR. Leaders desire flexibility for determining when it is appropriate to make off-cycle changes to their strategic plans. While guidance permits changes to the Action Plans (i.e., sub-objectives and below), stakeholders seemed unaware, and this should be more strongly emphasized. For more information, Annex 11 summarizes current instructions for making off-cycle changes to strategic plans.

*“If you really want the ICS to be the driver of a goal-focused Mission...it makes sense for an Ambassador soon after he/she arrives to get everyone together to study the Administration’s priorities. You’ll get a lot more focus on the goals that way when the Chief of Mission feels like it is his or her document.”*

**Bureau Planner**

**Conclusion.** MOs/BOs will continue to be broad and vague until more flexibility is permitted for updating them mid-cycle, or unless budget requests and performance narratives no longer need to be aligned to MOs/BOs. Stakeholders report not wanting to be “locked in” to specific, concrete MOs/BOs that they must align their budget requests to two and three years into the future (i.e., F requires Missions to align MRRs to MOs and BP requires Bureaus to align BRRs to BOs annually). This then contributes to the perception that strategic plans are too broad or inflexible to be meaningful or serve as useful management tools. As a result, some stakeholders are less inclined to use their strategic plan. Emphasizing that the Action Plans can and should be updated will help stakeholders as they conduct strategic reviews and determine when sub-objectives have been accomplished or more carefully hone performance metrics to enhance performance monitoring.

# RECOMMENDATIONS

This section identifies the evaluation team’s recommendations. The team also offers suggested implementation actions for each recommendation.

The Recommendations section is structured around four main themes:

- [Part 1: Framework Integration](#)
- [Part 2: FA Program/Project Design and Performance Management](#)
- [Part 3: Change and Communications Management](#)
- [Part 4: Training and Capacity Building](#)

## Part 1: Framework Integration

Stakeholders often perceive the MfR framework as a series of independent processes and reporting exercises. Thus, opportunities exist to strengthen the integration between MfR processes and products.

**Recommendation 1.1:** Develop guidance for conducting strategic performance reviews.

**Rationale:** Mission and Bureau leaders do not consistently use MfR products or engage in MfR activities. For example, Mission and Bureau leaders have inconsistently adopted practices to periodically review the implementation of their strategic plans.

Strategic performance reviews, whereby Bureaus and Missions review progress against their strategic plan, would lead to strengthened performance information as leaders and staff learn what performance information is needed, how best to collect it, and at what frequency it should be collected to appropriately monitor results. The 2015 QDDR recommended senior-level reviews “to assess progress against strategic objectives, and ensure alignment of policy, planning, resources, and program decision making.”

**Description:** F should consider developing guidance and tools to promote best practices for conducting the “senior-level” reviews recommended within the 2015 QDDR.

**Implementation Suggestions:** F should develop guidance that includes the benefits of conducting strategic performance reviews, participant roles, timing and frequency, inputs, intended outputs, and uses of the information. The “ICS Approaches to Review” document posted on Diplopedia provides a good starting point for guidance on how to conduct Mission-level strategic reviews. F could adapt this guidance for conducting Bureau-level strategic performance reviews. The evaluation team recommends the following information be included in guidance:

- **Timing and frequency:** At least once a year, although some aspects of progress may require more regular discussion in order to course correct if needed. Ideally, the completion of this review will coincide with the development of Bureau and Mission Resource Requests.
- **Participant roles:** Bureau leadership, Mission leadership, leadership of other USG entities operating at post, if applicable.

- **Inputs:** Strategic Plans (i.e., ICS, FBS, JRS), PPR, performance data and information based on performance indicators, evaluation outcomes, progress towards implementing evaluation recommendations or addressing evaluation findings, feedback from strategic partners (e.g., USAID, NSC, other Bureaus or Missions).
- **Intended Outputs:** Should include an understanding of progress towards objectives, challenges, lessons learned, and opportunities for improvement. F should encourage Missions and Bureaus to communicate some level of information from the review across the organization to support learning at all levels.

F could use the strategy review templates developed by the ICS Support Team, but might further develop them to specify how performance data or information was collected and at what frequency it should be collected and monitored. The different methods of reviewing performance are helpful, but F might provide examples of completed templates to help Missions and Bureaus better understand these approaches.

We recommend F develop a template to facilitate these reviews that could introduce the following areas to be discussed during such reviews:

- Progress and achievements towards meeting Bureau and Mission objectives and/or sub-objectives
- Challenges (e.g., environmental events, data quality/integrity, data collection timeliness)
- Key factors influencing outcomes
- Lessons learned
- Stakeholder perspectives that were considered (e.g., NSC, Congress) or stakeholders involved in review
- Whether indicators and milestones selected in action plans sufficiently measure progress
- Actions needed to improve implementation and impact, including proposed owners and an estimated timeframe for completion
- Focus areas for future strategic performance reviews

To provide transparency about these reviews, as well as to facilitate learning for those not directly involved, Bureaus and Missions could provide a readout of the strategic performance reviews to their organizations. F could also develop a template Bureaus and Missions could use to communicate this information.

Guidance could invite Bureaus and Missions to consult with F to adapt these materials to their organization and discuss ideal performance monitoring frequency. F might consider partnering with a Bureau and Mission to pilot the guidance before releasing it Department wide. These documents should be revisited annually to update guidance based on lessons learned and feedback.

**Recommendation 1.2:** Explore opportunities to provide a complete picture of performance against strategy.

**Rationale:** While MOs/BOs represent broad organizational objectives identified during the planning process, downstream budgeting and measuring activities separate FA and DE resource and performance

discussions. This makes it difficult to communicate a complete picture of organizational progress towards the achievement of individual MOs/BOs.

While the PPR requires OUs to report on performance against MOs/BOs it only requests performance information for the FA aspects of MOs/BOs. However, Missions and Bureaus do not differentiate between FA objectives and non-FA objectives (Diplomatic Engagement) during the strategic planning process.

**Description:** F should consider exploring with BP changes or additions to current performance reporting activities in order to provide a more complete picture of performance against MOs/BOs.

**Implementation Suggestions:** F should consider the following options for implementing this recommendation:

- **Incorporate within strategic performance reviews (see Recommendation 1.1).** Reviews should include reporting on both Diplomatic Engagement and FA performance data and information against MOs/BOs.
- **Explore opportunities to strengthen the MO/BO performance usage within the budget formulation process.** F could consider standardizing MO/BO performance reporting between the MRR and BRR and for Diplomatic Engagement and FA resource requests. Specifically, they could require that Missions and Bureaus provide performance narratives per MO/BO— both the Diplomatic Engagement and FA portion – in each the MRR and BRR. This would involve changes to the MRR/BRR templates and associated guidance.

Longer-term, F should consider collaborating with BP to standardize the reporting of this information within IT systems, eliminating redundant reporting, as possible.

Additionally, F should consider providing guidance to Bureaus and Missions regarding when and how MO/BO information should be used during the budget formulation to make or justify resource requests. F/PPS/PPM may also consider working with F/RG to identify specific opportunities to strengthen its own use of this MO/BO reporting information during the budget formulation process.

- **Update the PPR structure and guidance.** F could discuss with BP the opportunity for OUs to provide a performance narrative that discusses both Diplomatic Engagement and FA performance against MOs/BOs.

**Recommendation 1.3:** Strengthen evaluation outcomes by revising evaluation guidance and exploring opportunities to strengthen FACTS Info evaluation reporting and analysis.

**Rationale:** Few mechanisms exist to promote and monitor the implementation of program evaluation findings and recommendations. Current guidance only directs the documentation and dissemination of evaluation findings. Several Bureau leaders reported not knowing offhand the outcome of evaluations or whether recommendations were implemented.

The Bureau Evaluation Coordinator function is inconsistently staffed and executed across the organization. When Bureau Evaluation Coordinator is one of many roles an individual performs, they do not have sufficient capacity to select, design, and monitor evaluations. This reduces a Bureau's ability to benefit fully from evaluation.

While program evaluations are helpful to program managers and leaders, there are likely lessons learned and best practices other programs could benefit from. Furthermore, evaluation findings or recommendations might have budgetary impacts. Even if these evaluations are published in the evaluation registry, there is currently no accountability for implementing recommendations or addressing findings as appropriate.

**Description:** This recommendation is divided into three sub-parts.

**Recommendation 1.3.1:** Revise evaluation guidance to strengthen the use of evaluation outcomes.

**Implementation Suggestions:** To implement this recommendation, F should update the current evaluation guidance to address evaluation recommendations. F could update evaluation guidance to encourage evaluation sponsors to develop and submit an implementation plan after completing evaluations to their Bureau Evaluation Coordinator, who could be responsible for monitoring the implementation and reporting on it during the strategic performance review. The Evaluation Report template can be revised to include a high-level implementation plan template. As a tool for tracking this, the FACTS Info NextGen Evaluation Registry could be expanded to include recommendation tracking (see Recommendation 1.3.2).

**Recommendation 1.3.2:** Explore opportunities to strengthen FACTS Info evaluation reporting and analysis.

**Implementation Suggestions:** F could use data analytics to identify where an evaluation from one OU could be a learning tool for another OU through FACTS Info, and expand the NextGen Evaluation Registry to track progress towards action plans (Recommendation 1.3.1).

This would include working with the FACTS Info team to develop a report that pulls ongoing and complete evaluations by SPSD from the PPR, as well as the budget for new programs against the SPSD from other parts of the budget process, to identify where one OU might be starting a program in a particular sector and could benefit from another program's evaluation. Additionally, it could track action plan progress. If either or both of these recommendations are implemented, F-POCs should be empowered to make these connections. To empower F-POCs, F/PPS/PPM might work with F-POC team leads to determine how to determine how staff would use this information when working with Bureaus and develop associated guidance or training.

**Recommendation 1.3.3:** Consider expanding evaluation guidance to strengthen the role of the Bureau Evaluation Coordinator.

**Implementation Suggestions:** F should consider expanding evaluation guidance and formalizing position responsibilities to suggest that at least one FTE per Bureau be dedicated to filling a Bureau Evaluation Coordinator role.

The Bureau Evaluation Coordinator should maintain responsibility for monitoring the implementation of any resulting evaluation recommendations in coordination with evaluation sponsors. The Bureau Evaluation Coordinator should take the DoS Evaluation training and be encouraged to join the

Department's Evaluation Community of Practice. F could also draft position descriptions that Bureaus could adapt to their particular needs.

**Recommendation 1.4:** Explore opportunities to achieve greater alignment between Department, Bureau, and Mission strategic planning activities.

**Rationale:** Resource limitations have historically influenced the timing of strategic planning activities. In order to provide sufficient support to Bureau and Mission staff, F collaborates with BP to divide Bureaus and Missions into groups rather than simultaneously facilitate strategic planning activities for the entire Department. This allows F to provide greater guidance and support to Bureau and Mission planning staff during the development of strategic plans.

There are a number of higher level strategy and policy resources (National Security Strategy, Presidential Initiatives, NSC regional initiatives and policy, major policy speeches or statements, etc.) constantly under development, any of which can influence the development of strategies at the Mission/Bureau level. Acknowledging this reality, the current approach to sequencing strategies has only attempted to ensure that Missions follow their Regional Bureau strategies. This approach makes it difficult for some Bureaus or Missions to achieve alignment with Department planning documents (e.g., JSP and QDDR) because of the different planning cycles.

Furthermore, the timing and duration of Department and USAID planning activities rarely align. While the Department-facilitated ICS process follows a three-year cycle, USAID's country-level planning cycle is longer and does not always commence with ICS development activities. This complicates downstream reporting activities. While the Department and USAID depend on common budget and performance reporting processes, USAID Development Objectives may change at different intervals than when stakeholders update ICS Mission Objectives.

**Description:** F should work with Bureaus and Missions to assess the timing, duration, and sequencing of strategic planning activities in order to achieve greater alignment with USG and Agency-level strategies.

**Implementation Suggestions:**

F should collaborate with QDDR office leadership to develop unified messaging around the relationship and distinction between the QDDR and JSP and the primary objective of each document. F and the QDDR office could work together to revise the FAM language that characterizes the QDDR as the new JSP since the QDDR does not meet GPRAMA requirements for an agency strategic plan.

F might also consider the following options to allow for more flexibility in timing, duration, and sequencing of strategic planning activities for Bureaus and Missions to achieve greater alignment:

**Time strategic planning updates to the beginning of a new Administration with a 4-year duration.**

Consider adjusting the start of Bureau and Mission planning activities to commence after the JSP is completed following the change in Administration. Thus, Bureaus would develop their plans after the JSP is published, and Missions would follow their respective Regional Bureaus.

- **Advantages:** 1) Department-level, Bureau-level, and Mission-level objectives would focus on same duration. 2) Organizations could design plans that more closely flow from the most current JSP (or QDDR).

- **Disadvantages:** 1) Four years is often too long at the more tactical Mission level, particularly considering Administration and leadership turnover as well as environmental events, which can cause a shift in priorities. 2) Upstream delays would further lengthen the planning cycle. 3) Organizations could be reactively waiting to make updates. 4) QDDR and JSP are not currently in alignment so the Department would have to decide which document takes precedence during the planning process.
- **Implementation considerations:** 1) F does not have the current bandwidth to help develop nor review all Mission or Bureau strategic plans at the same time. 2) To avoid lengthy delays, Bureaus and Missions could begin formulating their strategies concurrently or Department leaders and subsequently Regional Bureaus could communicate goals early in the process to provide the higher level goals a Bureau or Mission should contribute towards.

**Time update to leadership turnover.** Consider adjusting plans when organizational leadership turns over.

- **Advantages:** 1) Leaders would feel more ownership and accountability for their objectives and plans. 2) This duration might be more appropriate for tactical Mission plans. 3) Because the strategy is tied to the leader there should be more alignment between the strategy and what the organization is actually doing. 4) Leadership changes frequently mirror political changes so they provide a proxy for alignment with higher level guidance.
- **Disadvantages:** 1) Could lead to more frequent strategy changes/updates if leadership changes out more frequently. 2) Plans wouldn't necessarily have a standard duration because appointment times vary. 3) Unpredictable planning for when and how much support is needed from F and BP.
- **Implementation considerations:** 1) Close coordination with Regional Bureaus would be required to support Chief of Mission changes. 2) Support requirements for F as well as the Regional Bureaus would be less predictable. 3) Planning workload would be less predictable but extended over a greater period of time so that Regional Bureaus would constantly have some level of strategic planning support versus receiving support for a few months every three years.

**Functional Bureaus and Office Sequencing.** F should consider working with BP to adjust and communicate the sequence of planning activities for Functional Bureaus and Offices that serve the rest of the Department. For example, many Functional Bureaus and Offices that reside within the M family, as well as F, are responsible for supporting the rest of the Department (e.g., IRM, HR, OBO, M/PRI). Developing these after the rest of the Department would allow greater time to consider how new policy priorities or shifts influence the Department's needs.

**Recommendation 1.5:** Assess implementation of the entire MfR framework within individual Missions and Bureaus.

**Rationale:** The current After Action Report (AAR) approach focuses on reviewing individual MfR processes once they have concluded, as opposed to the entire MfR lifecycle (strategic planning, budgeting, managing programs/projects, and measuring program effectiveness and alignment back to goals) at once. Currently, no process exists that assesses the full, end-to-end implementation of the MfR framework, which limits visibility into the effectiveness of MO/BO integration, as well as implementation activities within Missions and Bureaus.

**Description:** F should consider assessing the implementation of the entire MfR framework annually.

**Implementation Suggestions:** To provide greater insight into implementation successes and challenges, F should review the complete implementation of all MfR processes for a sample of Missions and Bureaus (i.e., systematic operational review). This might include evaluating the following aspects of MfR adoption and usage:

- MO/BO integration within processes
- Product quality (e.g., accurate, complete, concise)
- Value, feedback loops, learning achieved
- Process implementation (e.g., strategy reviews)
- Stakeholder awareness, participation, and usage

Evaluating the latter two aspects (process implementation and stakeholder awareness) would require Mission and Bureau participation. Upon conclusion of the review, F could deliver a standard report that identifies recommendations for improving the usage and integration of MfR processes and products.

F could develop a checklist to guide the review. Missions/Bureaus that want to self-assess their own adoption and usage could use this checklist, which could direct them to F resources designed to strengthen implementation. This would empower Missions and Bureaus to identify areas of strength and opportunities for improvement based on objective criteria.

Recognizing resource limitations, F could work with D-MR each year to identify high-priority Missions and Bureaus to pilot the implementation assessment process.

The evaluation team cautions against the overuse of surveys to collect feedback. Stakeholders have experienced survey fatigue and as a result, response rates have dwindled. F should explore other routes to collecting feedback:

- **Office hours:** F/PPS/PPM staff could offer times when staff could come by and share feedback. Morning in the cafeteria is always a good option.
- **Feedback Mailbox:** With some development, multiple technology platforms (e.g., Communities@State, SharePoint) can allow anonymous feedback and include a drop-down category to route the information to the appropriate mail-group.
- **Feedback session:** F should continue to facilitate sessions to collect feedback.
- **Polling:** Online-enabled polls can allow many users to share their opinion quickly and easily on a single question.

## **Part 2: FA Program/Project Design and Performance Management**

No processes in the MfR framework currently focus on the design and performance management of FA programs or projects. The absence of strong program and project design and performance management guidance increases the risk of ineffectively run programs, the inability to show positive results or value achieved for expended budgets, and jeopardizes the quality of downstream performance monitoring and evaluation activities.

**Recommendation 2.1:** Develop FA program and project design and performance management policy |

with associated guidance and tools.

**Rationale:** MfR processes do not currently encompass program or project-level planning, nor does F provide program or project design and performance management guidance. A policy is warranted based on the funding magnitude of FA programs.

The gap in this area adversely affects the quality of MfR activities, including increasing the risk of poorly managed programs and ineffective performance reporting and program evaluation activities that are dependent on sound program/project design and performance management. Providing this guidance upfront can help Bureaus and Missions better organize and plan for monitoring and evaluation at program start up, thus reducing the challenges currently faced by FA programs having limited baseline data and/or insufficient metrics to demonstrate program success. The following FAM language stipulates F’s authority around program and project design and management for FA programs.

<b>F’s authority and responsibilities within the FAM</b>		
<b>1 FAM 033</b>	<b>18 FAM 005.1-7(G)</b>	<b>18 FAM 00.5-7(H)</b>
Codifies F’s responsibility in this area: “Has authority over all Department and State and USAID foreign assistance funding and programs, with continued participation in program planning, implementation, budget, oversight, and program results reporting form the various bureaus and offices within State and USAID, as part of the integrated interagency planning, coordination and implementation mechanism.	Codifies F’s responsibility in program design and performance management: “The Office of the Director of U.S. Foreign Assistance, working with others as appropriate, will establish standard guidance and oversight mechanism for incorporating best practices in program design, management, and monitoring and evaluation.”	The Office of the Director of U.S. Foreign Assistance (F), drawing on the expertise of USAID, MCC, and other agencies, will establish a set of standard assessment tools and policies that should inform country and program planning.

**Table 3 – Foreign Affairs Manual and F’s Responsibilities**

**Description:** F should either revise 18 FAM 005 to include FA program/project design and performance management requirements or develop a separate policy to govern the design and performance management of State FA programs. While there should be one standard policy, the tools (i.e., guidance, training, and templates) associated with implementing it should be scalable and tailorable for programs of differing sizes.

**Implementation Suggestions:** F should consider the following implementation actions:

1. Develop a policy and/or guidance that directs the following for FA programs:
  - a. Evidence of program design:
    - i. Should describe program goals and objectives, problem, intervention, program metrics (e.g., performance indicators, outcome indicators, measures of success), target population or audience.
    - ii. Should include the estimated resources (budget and staffing) required to manage, monitor, and evaluate the program.
    - iii. Might include theory of change or logic model

- b. Monitoring and evaluation plan:
  - i. Should describe data collection methods and frequency, as well as how data will be reported
  - ii. Might set aside funding for a program evaluation to be conducted during the program's life
  - iii. Work with the FACTS Info team to create a standard report that flags high risk areas that have not allocated enough resources to program/project performance management, monitoring, and evaluation needs.
- 2. Develop guidance for F/POCs to use internally when reviewing new resource requests to ensure sufficient resources have been dedicated to performance management
- 3. Create guidance and training to help Operating Units:
  - a. Develop goals and objectives: How to effectively establish program goals and objectives that are aligned with Bureau and broader state department goals. This will help OUs determine how the program is contributing to the broader mission. Additionally, development of program objectives that are SMART - Specific, Measurable, Actionable, Relevant, and Time Bound - will facilitate creation of appropriate performance measures to demonstrate program impact.
  - b. Identify effectiveness measures: As OUs identify measures, they should consider whether they have access to the necessary data, if they have appropriate resources to gather and analyze it, and if they can establish a baseline from which to measure. The measures should be directly linked to SMART objectives so that OUs can determine whether the program is meeting objectives.
  - c. Create and use data collection and monitoring plans: After measures have been established, OUs should create plans for how data will be collected, monitored, and analyzed. A data collection plan summarizes the type of data that will be collected, collection method and frequency, personnel who will collect, and how data will be reported to the OU that provides oversight. The plan provides a reference to help OUs manage the collection of valid and reliable data for analysis and reporting of outcomes. F could design a data collection and monitoring plan template to facilitate this activity.
  - d. Implement improvements: If through data analysis and monitoring OUs determine that a program is consistently failing to meet performance targets, they should be prepared to implement program improvements. This could mean adjusting the program plan, and/or re-evaluating objectives, effectiveness measures, and/or data collection methods accordingly to achieve performance targets.
- 4. Assume responsibility for and expand the "Managing Foreign Assistance Overseas" course to include training on the activities identified as part of the previous suggested implementation action. F should update the Program and Project Management Reference Guidebook and the Project Design Guidebook and make sure content is consistent with the Managing Foreign Assistance Overseas course. These guides could serve as reference materials for learners.

### **Part 3: Change and Communications Management**

Stakeholders do not share a common understanding of the MfR primary purpose, customer, benefits, and intended use of each product.

**Recommendation 3.1:** Design and launch a customer-focused communications campaign plan.

**Rationale:** Multiple entities (e.g., F, BP, and USAID) communicate about MfR products based on their specific equities. As a result, communications are generally designed around specific processes or products rather than customer needs and at times contradict one another. Messaging emphasizes MfR products' ability to influence budget decisions, without discussion of the benefits that are more likely to resonate with customers.

**Description:** F should design and launch a customer-focused communications campaign "*Make Managing for Results Work for You*" to communicate the framework's specific purpose, concrete benefits, and success stories from the field.

**Implementation Suggestions:** Specifically, the campaign could:

- Create an MfR framework overview video (see 1CA's "video snacks") and a short written document that articulates how MfR processes should be highly integrated and the outputs of each process should feed into one or more of the remaining processes in continuous feedback loops to inform decision-making. These could provide an overview of each product, its primary purpose, customer, benefits, and intended use. The written summaries could be included in individual product guidance documents.
- Collect and share tactical examples (e.g., success stories) of how Missions and Bureaus have made MfR processes and products work for them. MfR product guidance could include or link to these examples. Implementing the MfR framework is not a one-size-fits-all activity, but customers with similar scopes can learn from one another. F can help Missions and Bureaus implement processes and products by leveraging lessons learned, best practices (e.g., incorporating MfR responsibilities into performance work statements and to use as the basis for evaluation) for implementation, tools and templates, and tips from one another.
- Include F-POC input when designing the communications plan, particularly in crafting key messages. F-POCs who regularly interact with Bureau staff have insights into the implementation challenges Bureaus face and F/RG leaders at a minimum should take part in shaping this messaging. This collaboration will instill ownership over key messages. A unified message within F will also reduce customer confusion and bolster F's credibility.
- Promote F's MfR consultation services by creating a menu of options that Missions and Bureaus could select from based on their needs. MfR customers do not know the expertise resident within F or all of the scenarios in which F can provide consultation. If demand exceeds supply, F could work with D-MR to secure additional resources to provide technical assistance.
- Segment customers based on their current level of engagement in MfR processes for FA, and tailor information based on their needs. F can then create marketing materials that target specific audiences.
- Share short, focused implementation tips in easily digestible formats allowing customers to easily locate additional information, resources, and training on demand. This information can be delivered in short videos, cartoons, or podcasts to maximize use.

- Solicit and share success stories to promote MfR benefits using pictures, quotes or testimonials from leaders and staff, and short videos of leaders or staff sharing the concrete impact of MfR processes, products, and practices.

**Recommendation 3.2:** Create a one-stop website for MfR communications, guidance, tools, templates, and training.

**Rationale:** Many knowledge management systems and portals (e.g., SharePoint, Communities@State) are used to share information and content with stakeholders. This scenario makes it difficult for F to effectively manage change, and confusing to customers who are trying to better understand MfR products and processes.

**Description:** F should transition communications, guidance, tools, templates, and training from the Managing for Results Diplopedia site to a single collaborative online site with increased functionality, such as Communities@State. Such a website should allow for two-way engagement (“push and pull” of information) between F and end users of MfR products and processes.

**Implementation Suggestions:** Communities@State promotes stakeholder interaction and engagement, as evidenced through the Evaluation Community of Practice site and the Consular Affairs Innovation Forum. These forums foster peer-to-peer learning (e.g., discussion boards, wikis, blogs) and maximize the reach of MfR resources. F could also showcase success stories to influence change.

Using the RSS feed, F could empower customers to subscribe to communications based on their role and information needs rather than relying on keeping Bureau Planner contact sheets or mailing lists updated. This would require F segment information based on customer roles and their different information needs.

F could further develop this site using WordPress and collaborate with the eDiplomacy team to identify and apply best practices for the Communities@State platform. F might consider the following developments to maximize the tool:

- Create and promote a mechanism for Missions and Bureaus to share MfR feedback anonymously online continuously. Developers could create a drop-down menu so users could select the category of their feedback that could be routed to appropriate staff.
- Create back-end mechanisms to track how often guidance, tools, templates, and training are accessed and/or downloaded to identify what resources customers value. Frequently accessed or downloaded materials should be periodically updated, while low-volume resources can be retired.

**Recommendation 3.3:** Enlist a network of change champions within the Department to promote MfR framework, processes, products, and practices.

**Rationale:** F has promoted MfR success stories, but has not fully tapped into the potential of the leaders who share these stories. F can maximize the impact of key messaging around customer benefits through testimonials.

**Description:** Leaders who have found success with the MfR framework could be tapped to promote the benefits, share their successes and lessons learned, and educate other staff on MfR benefits and best practices.

**Implementation Suggestions:** Leaders who have found success with the MfR framework should be tapped to promote the benefits, share their successes and lessons learned, and educate other staff on MfR benefits and best practices. This would build MfR capability organically using spokespeople who believe in the framework.

F could identify a change champion profile that describes behaviors of ideal change champions. D-MR or F's Director could reach out to mid- and senior-level leaders within the Department who have shared MfR success stories and ask them to become change champions. F could facilitate quarterly meetings to share lessons learned and best practices, as well as troubleshoot implementation challenges.

F can empower MfR change champions through training. For example, mid-career FSOs who would like to practice and promote MfR concepts could be trained to facilitate MfR processes and products within their respective organizations ("train the trainer" model). As they rotate through assignments, they would cultivate invaluable experience around what works for what types of organizations and why, and also help promulgate MfR practices to a greater number of staff around the world, thereby helping to strengthen the use and adoption of the MfR Framework. This process could eventually become more structured and formalized via an MfR Adjunct Faculty in partnership with F, BP, and FSI. F can also reach out to these "Change Champions" when considering changes or determining how to overcome particular challenges related to the implementation of MfR in practice.

**Recommendation 3.4:** Revise planning guidance and training materials for clarity.

**Rationale:** Stakeholders shared that they receive conflicting guidance regarding the appropriateness of making mid-cycle changes to strategic plans. For example, Missions receive differing guidance from F, BP, or the Bureau Planners working in their respective Regional Bureaus. Staff and leaders may also have confused the guidance between the two guidance documents when discussing them in interviews and focus groups.

Bureau strategic guidance indicates the FBS/JRS can be revised off-cycle following geopolitical shifts or changes in administrative leadership of the U.S. Government, Department of State, or the Bureau. ICS guidance strongly discourages revising Mission Objectives off-cycle because 1) they form the basis of an integrated cycle of resource planning and performance reporting that benefits from consistency and 2) they represent a whole of government strategy for a country that should be cleared by other USG leaders with an in-country presence. ICS guidance also states ICS goals and objectives should be "broad enough to remain mission-focused during changes in Mission leadership and funding."

While ICS guidance specifies MOs should be broad, Bureau guidance encourages stakeholders to develop Specific, Measurable, Attainable, Relevant, and Time-bound (SMART) Bureau Objectives. However, Bureau stakeholders are motivated to establish vague MO/BOs that provide sufficient flexibility to accommodate uncertainties within their operating environments.

**Description:** F should work with BP to promote consistency between guidance for the FBS/JRS and the ICS, while recognizing differences between these organizations.

**Implementation Suggestions:** F should consider the following implementation actions:

- Work with BP to promote consistency between guidance of the FBS/JRS and the ICS. The evaluation team recommends using the ICS guidance that states the MOs/BOs should be “broad enough to remain mission-focused during changes in Mission leadership and funding” for the FBS/JRS, but as specific as possible within that constraint. At a minimum, sub-objectives should be Specific, Measurable, Attainable, Relevant, and Time-bound (SMART) to create a robust structure for constructing associated action plans. This recommendation is designed to promote SMART sub-objectives that serve as a foundation for performance monitoring, while preserving enough flexibility that MOs/BOs do not require mid-cycle updates (saving environmental upheaval).
- Revise guidance to clearly identify the scenarios when it is appropriate to revise strategic goals or MOs/BOs. Such guidance may emphasize that goals and objectives within Mission and Bureau strategies should not be updated off-cycle, barring significant geopolitical shifts that render them outdated.
- Emphasize that the sub-objectives, indicators, and milestones that comprise action plans are the living portion of the document. Leaders can update these while conducting regular strategy reviews (e.g., if a sub-objective is achieved, it should be removed from the plan). Strategic reviews can also reveal gaps in performance monitoring (e.g., indicators do not adequately measure performance). Following action plan revision, guidance should emphasize why it is important that leaders share an authoritative version with F and BP. F could develop a separate strategic plan template that Missions and Bureaus could use as a more streamlined internal management tool.

**Recommendation 3.5:** Increase collaboration between F/PPS/PPM and F/RG.

**Rationale:** F/PPS/PPM staff continue to advocate for F-POCs to use MfR products to inform decisions, but F-POCs contend they are not helpful for the decisions F-POCs make. As a result, F-POCs inconsistently use MfR products to inform decisions.

Bureau staff reported that F/PPS/PPM and F-POCs are not always consistent or in agreement with one another, which could impact F’s credibility with customers. While the evaluation observed the disconnect between these two teams impacts MfR customers the most, these recommendations could be extended to other offices within F to increase collaboration across the organization.

**Description:** F leadership should consider creating more unity and collaboration between these two offices as a top organizational priority.

**Implementation Suggestions:** Synching these organizations will optimize F’s ability to benefit MfR customer implementation. F leadership should support and reinforce the importance of unified messaging to customers. To support this change, F leadership should consider the following options for increasing collaboration between F/PPS/PPM and F-POCs:

- **Leadership offsite:** Leaders from both F/PPS/PPM and F/RG should collaborate during an annual offsite to increase collaboration. F leadership, in coordination with these leaders, should identify opportunities for collaboration and set clear objectives for the offsite. The offsite could be facilitated by an external facilitator, or a leader within F outside of these two groups, or co-facilitated by the highest-ranking leader from F/PPS/PPM and F/RG.

- **Periodic synch meetings:** These meetings could be monthly, quarterly, or called as needed to synchronize messaging and increase collaboration between the teams. These could be co-facilitated by the F/PPS/PPM and F/RG leaders.
- **Staff Rotation program:** Duration and timing should be coordinated to balance workloads—increasing staff during each office’s relative busy times. F-POC team leads and F/PPS/PPM leads should collaborate to provide objectives and parameters for the program.
- **Leader Buddy Program:** To support a more collaborative culture, leaders within F/PPS/PPM could pair with a leader in F/RG to identify opportunities for collaboration between the offices, increase knowledge sharing, and troubleshoot challenges.

These options could increase collaboration between the two groups and help unify messaging to customers.

## Part 4: Training and Capacity Building

Missions and Bureaus have been implementing MfR processes and products, but without sufficient capacity, training, or a reward structure, implementation remains inconsistent.

**Recommendation 4.1:** Create and execute an MfR learning strategy and training plan.

**Rationale:** Current MfR communications, training, and guidance are process specific, and few focus on how to holistically implement the MfR processes, products, and practices within a Mission or Bureau. In addition, the Department’s broader training and professional development strategy has not kept pace with growing responsibilities for implementing FA as an instrument of Foreign Policy. FSI has not fully incorporated MfR or FA program/project design and performance management training into its core curriculum.

**Description:** An MfR framework training plan would guide curriculum design, development, and management for the Managing Foreign Assistance Overseas FSI course F may be assuming responsibility for. Training could be designed to influence attitudes and behaviors of adult learners, by focusing on performance management concepts and how to apply these concepts within a Foreign Policy context.

**Implementation Suggestions:** Specific implementation suggestions include:

- Assume responsibility for the “Managing Foreign Assistance Overseas” FSI course and strengthen to serve as a foundational training on design, performance management, and evaluation of FA programs. F should consider creating a course facilitation guide so that different facilitators keep to consistent messaging. This course could be strengthened by incorporating training articulated in recommendation 2, as well as the following actions:
  - Develop and integrate real-life case studies to provide evidence for the benefits of strategic planning and performance monitoring within a Foreign Policy context.
  - Integrate best practice examples to share how Missions and Bureaus have implemented MfR processes and products and the benefits they have received as a result.
  - Offer a technology-enabled course that simulates operations within a Mission and/or Bureau based on best practices and success stories.

- Leverage mobile technology, podcasts, and short video content to reinforce concepts from the Managing Foreign Assistance Overseas course.
- Develop learning maps to suggest what training personnel should take based on their roles and how the training would benefit them.

**Recommendation 4.2:** Continue to transition F/PPS/PPM to a more consultative role while pursuing longer-term changes to the Department’s employee training and development practices.

**Rationale:** Missions and Bureaus continue to face increasing strategic planning, budgeting, managing, and measuring requirements as FA increases, without a corresponding increase in State Department FTEs. While tools and templates are useful, technical assistance is reported to have a greater impact.

18 FAM 005.1-7(g) codifies additional responsibilities for F: “F and RM, working with regional and functional bureaus, will develop models for the skill sets and structures that will best support integrated policy, analysis, strategic planning, budgeting, and performance evaluation in Washington and in the field. F, RM, and the DG will determine how the Department can best incorporate these development specialists and those with unique development backgrounds into key positions in Washington and in the field, including in our budgeting and planning structures, and how to improve training, recruitment, and performance incentives to support the policy and outcomes described in this subchapter.”

**Description:** F can increase MfR capacity within the Department by continuing to transition F/PPS/PPM into a more consultative role while pursuing longer-term changes to the Department’s employee training and development practices.

**Implementation Suggestions:** Recognizing that it will take years for the Department to build its program/project design and performance management capabilities, F/PPS/PPM could collaborate with D-MR annually to identify high-priority Missions and Bureaus that would benefit from technical assistance in strategic planning, program design, performance monitoring and/or evaluation for FA. This could be done on a small scale with the staff within F (i.e., no new resources). In addition, F could work with D-MR to obtain additional resources to build up this capacity further within F to provide sufficient support to high-priority Bureaus, Offices, and Missions.

While F has promoted its strategic planning facilitation, F should promote other services as well. F can promote its consultative support as Bureaus and Missions design new programs; strengthen performance indicators, metrics, and data collection; and design evaluations.

F could also engage its partners to identify longer-term opportunities for expanding the availability of relevant training and professional development activities. To fulfill F’s responsibilities articulated within 18 FAM 005.1-7(g), F should:

- Work with HR to develop a staffing model for overseeing FA program implementation. F could collaborate with USAID’s Office of Human Capital and Talent Management to discuss how they developing a similar staffing model.
- Work with Bureaus and Missions to develop position descriptions for personnel responsible for developing and implementing MfR products for FA.
- Work with HR to conduct a talent assessment on hard-to-secure skillsets (e.g., senior-level development specialists with significant program monitoring and evaluation experience) and

identify obstacles and incentives to employment. This would help the Department develop a strategy to overcome obstacles and offer appropriate incentives to address talent shortages.

**Recommendation 4.3:** Promote knowledge transfer in evaluation to build capacity.

**Rationale:** Bureau leaders report difficulty recruiting and hiring skilled evaluation experts into the USG.

**Description:** F could include standard language within Department evaluation Statements of Work (SOW) to provide training and mentoring of Bureaus' evaluation staff to maximize knowledge transfer.

**Implementation Suggestions:** F could offer the following language to be included in evaluation SOWs: The Contractor shall assist in building organizations' internal FA evaluation capacity and maximize knowledge transfer by conducting the following activities:

- Partner with USG personnel to conduct FA evaluations
- Model best practices for conducting FA evaluations through hands-on demonstration
- Assess gaps in evaluation staff experience and education; develop and deliver custom training to address specific gaps
- Coach and mentor personnel by providing in-the-moment feedback during the conduct of evaluations for FA programs
- Customize existing tools, training, and templates for the evaluation at hand that is relevant to the organization's environment, and provide those to the Government for use on other evaluations

**Recommendation 4.4:** Advocate for incorporating MfR concepts into FSI training, Foreign Service precepts and the FS Management Cone structure.

**Rationale:** Incorporating MfR concepts into FSI training, Foreign Service precepts and the FS Management Cone structure would help the Department fulfill responsibilities outlined within 18 FAM 005.1-7(g): "F and RM, working with regional and functional bureaus, will develop models for the skill sets and structures that will best support integrated policy, analysis, strategic planning, budgeting, and performance evaluation in Washington and in the field. F, RM, and the DG will determine how the Department can best incorporate these development specialists and those with unique development backgrounds into key positions in Washington and in the field, including in our budgeting and planning structures, and how to improve training, recruitment, and performance incentives to support the policy and outcomes described in this subchapter."

**Implementation Suggestions:** F should consider establishing a working group consisting of participants from BP, FSI, and HR in order to identify longer-term opportunities for expanding training and professional development opportunities for FA performance management and evaluation staff.

# ANNEX 1: EVALUATION QUESTIONS

This annex identifies the evaluation questions and sub-questions identified by the evaluation sponsors.

## Question 1: Complementary Processes

In theory, the MfR processes are highly integrated. The framework is designed around a series of processes (e.g., Planning) and products (e.g., Integrated Country Strategies) that are intended to complement one another and promote continuous feedback loops between organizational stakeholders. To determine whether the current processes and products complement one another in practice, F seeks to understand the extent which the framework produces products that usefully feed into subsequent activities and whether those products are indeed being used by relevant stakeholders. In addressing this evaluation question, the evaluation team also considered the following:

- 1A. How do various stakeholders currently use MfR products to inform and/or influence decision making (e.g., FA programming decisions)?
- 1B. What barriers prevent effective linkages and feedback loops between MfR processes?
- 1C. Are any critical processes or components missing that would improve effectiveness?
- 1D. Is the timing of MfR processes appropriate to promote integration?

## Question 2: Awareness, Understanding, and Implementation Gaps

The MfR framework governs many organizational roles and responsibilities. Affected stakeholders include F staff, as well as Mission, Bureau, and Department stakeholders who maintain responsibilities for FA programs and resources. Accordingly, F seeks to identify gaps in stakeholder awareness and understanding, as well as any obvious gaps involving the implementation of MfR activities. In addressing this evaluation question, the evaluation team also considered the following:

- 2A. What are the roles and responsibilities of each stakeholder, do stakeholders understand these roles, and do stakeholders understand how to successfully execute their responsibilities?
- 2B. Does MfR guidance support the framework, fit with one another, and meet stakeholder needs?
- 2C. Is F communicating effectively with its stakeholders about the MfR framework?
- 2D. Are the processes managed by F's business units well-coordinated and do they reinforce the framework?
- 2E. Is the current training made available by F/PPS/PPM effective at helping stakeholders to be aware of, understand, and implement the MfR framework?
- 2F. Does the technical assistance provided by F process owners meets stakeholder needs?
- 2G. What changes should be made so stakeholders can maximize the use of each MfR product?
- 2H. Knowing that program management and project design is a gap within the implementation of the framework; to what extent does the lack of resources in this area contribute to this component and affect the implementation of other components of the framework?

### **Question 3: Mission/Bureau Objectives**

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F is operating under the assumption that Mission/Bureau Objectives function as the primary organizing principle within the MfR framework. That is, each process in the framework should be integrated and/or align with the Mission/Bureau Objectives. Understanding that this is the intended approach, how are Mission/Bureau Objectives currently incorporated into each MfR process? In addressing this evaluation question, the evaluation team also considered the following:

- 3A. What is working well in terms of how Mission/Bureau Objectives are incorporated in each MfR process, and where are there gaps that need to be addressed?
- 3B. How does the duration or shelf life of a Mission/Bureau Objective affect how well it works as a unit of analysis in each process?

# ANNEX 2: MFR PROCESS AND PRODUCTS

The MfR framework represents the Department’s integrated approach to planning, budgeting, managing, and measuring. The sections below further describe individual MfR processes and products.

**Planning:** The Planning process is jointly facilitated by F and BP in coordination with USAID. It is designed to establish the strategic priorities of the Department and its Bureaus and Missions. F and BP provide guidance, communications, and technical assistance to Bureaus and Missions to assist with developing planning products. Every year, two Regional and 10-20 Functional Bureaus develop Joint Regional Strategies (JRS) or Functional Bureau Strategies (FBS). The associated Missions (approximately 30-80) also develop an Integrated Country Strategy (ICS). As the MfR framework is now within its fourth year of implementation, all Bureaus and Missions have completed at least one strategic plan. Approximately one-third of all Bureaus and Missions have developed two strategic plans.

- **Joint Strategic Plan (JSP):** The current JSP is a public document that communicates the Secretary of State’s priorities for the Department and USAID.
- **Quadrennial Diplomacy and Development Review (QDDR):** Secretary Clinton initiated the QDDR process in 2010. It is modeled after the Department of Defense’s Quadrennial Defense Review and helps the Department “identify major global and operational trends that constitute threats or opportunities, and delineate priorities and reforms to ensure our civilian institutions are in the strongest position to shape and respond to a rapidly changing world.”
- **Joint Regional Strategy (JRS):** Each geographically-aligned State and USAID Regional Bureau develops a JRS every three years to outline priorities for the region. Ideally, the JRS should be informed by the National Security Strategy, the JSP, the QDDR, policy statements from the President and Secretary of State, Presidential Policy Directives, and any other applicable guidance. Regional Bureaus are encouraged to collaborate with other State and USAID Bureaus, as well as relevant interagency partners, to develop the JRS.
- **Functional Bureau Strategy (FBS):** Each Functional Bureau and Office within the Department develops a FBS every three years. Ideally, the FBS should be informed by the National Security Strategy, the JSP, the QDDR, policy statements from the President and Secretary of State, Presidential Policy Directives, and any other applicable guidance. Functional Bureaus are encouraged to collaborate with State and USAID counterparts, as well as relevant interagency partners, to develop these three-year strategic plans.
- **Integrated Country Strategy (ICS):** Each Mission develops a three-year ICS that ideally aligns to the applicable JRS. The ICS subsumes USAID’s five-year Country Development Coordination Strategies.

**Budgeting:** The budget formulation process consists of Bureau and Mission resource budgeting, followed by budget review and approval processes facilitated by headquarters staff. Ideally, strategic plans influence annual resource requests. Since F and BP are responsible for formulating their own budgets, they require Missions and Bureaus to submit two separate resource request according to their specific guidelines.

- **Mission Resource Request (MRR):** Missions develop MRRs to inform a Regional Bureau’s annual Bureau Resource Request (BRR). F directs Missions to align their resource request to Mission Objectives identified within the ICS.

- **Bureau Resource Request (BRR):** Bureaus develop their BRR to explain and justify the resources required to achieve their goals and objectives. The BRR is ideally informed by the related MRRs and aligned to the JRS/FBS.
- **Office of Management and Budget (OMB) Submission:** Using BRRs as one of multiple inputs, F and BP formulate FA and DE budget recommendations for the Deputy Secretary of State for Management and Resources (D-MR) and the Secretary of State. Once approved, the Department submits its budget request to the Office of Management and Budget (OMB). The Department is notified of the President’s decisions through a process known as “passback,” when OMB officials notify the Department of approved budget levels.
- **Congressional Budget Justification (CBJ):** F and BP develop the CBJ based on OMB-approved budget levels. As the name implies, this document provides justification for the President’s joint Department-USAID budget to Congress.

**Managing:** The Managing process includes operational planning and program management. Operating Units (OU) that manage FA resources are required to submit an annual Operational Plan (OP) to F for approval. Missions and Bureaus may use Bureau JRS/FBS milestones and Mission ICS Action Plans to help organize and track their work.

- **Operational Plans (OP):** OUs develop OPs to allocate and attribute FA resources to various budget elements. These must be approved by F. The OP currently functions as a spend plan.

**Measuring:** The Measuring processes include performance monitoring, evaluation, and performance reporting activities. These processes are designed to assess and convey progress towards achievement of objectives.

- **Performance Plan and Report (PPR):** PPRs report progress made towards Bureau/Mission Objectives using quantitative indicators and qualitative narratives. The PPR also captures standard indicator data from the field that is requested by headquarters for internal learning purposes and external reports that communicate progress towards sector and initiative priorities.
- **Bureau Evaluation Plan (BEP):** The Department’s 2015 Evaluation Policy requires each Bureau to complete at least one evaluation per year, which should be documented in the annual BEP.
- **Annual Performance Plan and Annual Performance Report (APP/APR):** F, BP, USAID, and the Under Secretary for Management (M) jointly coordinate the development of the annual APP/APR. The APP/APR is an agency-level performance reporting document, which satisfies GPRA requirements. F and the Bureaus use quantitative and qualitative information collected within the PPRs to report information within the APR.

# ANNEX 3: DOCUMENTATION REVIEW

The table below identifies the primary policy, training, and guidance documents reviewed by the evaluation team.

#	Document	Source
<b>Sample MfR Products</b>		
1	FY14-17 State-USAID Joint Strategic Plan (JSP)	www.state.gov
2	2010 Quadrennial Diplomacy and Development Review (QDDR)	QDDR Communities@State
3	2015 Quadrennial Diplomacy and Development Review (QDDR)	QDDR Communities@State
4	Joint Regional Strategies (JRS) (Multiple)	diplopedia.state.gov
5	Functional Bureau Strategies (FBS) (Multiple)	diplopedia.state.gov
6	Integrated Country Strategies (ICS) (Multiple)	diplopedia.state.gov
7	FY16 Congressional Budget Justification (CBJ)	www.state.gov
8	FY15 Congressional Budget Justification (CBJ)	www.state.gov
9	Bureau Resource Request (BRR) (Multiple)	BP SharePoint site
10	Mission Resource Request (MRR) (Multiple)	BP SharePoint site
11	Operational Plans (OP) (Multiple)	F SharePoint site
12	Performance Plans and Reports (PPR) (Multiple)	F SharePoint site
13	Bureau Evaluation Plans (BEP) (Multiple)	Client sponsor
14	Foreign Assistance Evaluations (Multiple)	www.state.gov
15	FY2014 APR / FY2016 APP	Client sponsor
16	2015 Annual Performance Plan (APP)	www.state.gov
<b>Guidance and Training</b>		
1	2015 Bureau Strategy Guidance and Instructions	diplopedia.state.gov
2	Integrated Country Strategy Guidance and Instructions	diplopedia.state.gov
3	Integrated Country Strategy Schedule	diplopedia.state.gov
4	FY17 Bureau Resource Request (BRR) Guidance	BP SharePoint site
5	FY17 Mission Resource Request (MRR) Guidance	BP SharePoint site
6	2012 Program and Project Management Guidebook	diplopedia.state.gov
7	Guidance for FY15 Operational Plans	F SharePoint site
8	F POC FY15 Operational Plan Review and Approval guidance	Client sponsor
9	Annex 1: Preliminary Preparation for Development Operational Plans	F SharePoint site
10	FY 2015 PPR Main Guidance	F SharePoint site
11	USAID Forward FY2015 Supplemental PPR Guidance	F SharePoint site
12	Guidance for FY14 Performance Plan and Report (PPR)	F SharePoint site
13	FY 2014 Performance Plan and Report Review and Posting Process	F SharePoint site
14	2015 State Evaluation Policy	diplopedia.state.gov

#	Document	Source
15	FSI Course Catalogue	FSI Intranet Site
16	April 2011 ALDAC: FY 2013 Planning Guidance and Strategic Goals	diplopedia.state.gov
17	May 2011 ALDAC: Streamlining of FA Planning and Reporting Processes	diplopedia.state.gov
18	December 2011 ALDAC: Introducing New Strategic Planning and Budgeting Processes	diplopedia.state.gov
19	MfR Training Site	diplopedia.state.gov
20	2012 Training: Planning, Budgeting, Program and Performance Management: Overview of New Processes	diplopedia.state.gov
<b>Prior Internal Assessments, Audits, Evaluations, Inspections, and Studies</b>		
1	2014 OP After Action Review	F SharePoint site
2	2015 Data Needs Study	Client sponsor
3	FY15 Mission Resource Request Survey	Client sponsor
4	Functional Bureau Strategy After Action Reviews (Multiple)	Client sponsor
5	Integrated Country Strategy After Action Reviews (Multiple)	Client sponsor
6	Joint Regional Strategy After Action Reviews (Multiple)	Client sponsor
7	May 2014 State of Evaluation at State	Client sponsor
8	OIG iSP-I-15-36 Review of Department of State Complicate with Program Evaluation Requirements	OIG SharePoint site
9	OIG ISP-I-15-14 Management Assistance Report – Department Financial Systems Are Insufficient to Track and Report Foreign Assistant Funds	OIG SharePoint site
<b>Other Related Documentation</b>		
1	Country Data Analytics (CDA) Packages (Multiple)	F SharePoint site
2	Foreign Assistance Bulletins (Multiple)	F SharePoint site
3	F Planning Standard Operating Procedures (SOP) (Multiple)	Client sponsor
4	F/PPM 2014 and 2015 Action Plans	Client sponsor
5	Foreign Assistance Standardized Program Structure and Definitions (SPSD)	F SharePoint site
6	Foreign Affairs Manual (FAM)	A Bureau SharePoint site
7	USAID Country Development Cooperation Strategies (CDCS) (Multiple)	www.usaid.gov
<b>External Documentation</b>		
1	2015 National Security Strategy (NSS)	www.whitehouse.gov
2	Government Performance and Results Act Modernization Act (GPRA-MA)	www.whitehouse.gov
3	OMB Bulletin No. 12-01 Guidance on Collection of U.S. Foreign Assist. Data	www.whitehouse.gov
4	OMB Circular A-11 Preparation, Submission and Execution of the Budget	www.whiatehouse.gov

**Table 4 – Documentation Reviewed by Evaluation Team**

# ANNEX 4: SURVEY QUESTIONS

The evaluation team facilitated the development and implementation of two stakeholder surveys. The first survey was distributed to F staff. The second survey was distributed to staff designated as Bureau Planners. Bureau Planners represent those individuals within the Department of State who support their respective Bureau, Office, or Mission planning, budgeting, managing, and measuring activities.

F Staff Survey			
#	Required	Type	Question
1	Yes	Scale	<p>Please indicate the extent which you believe the following products are useful when performing your overall job responsibilities throughout a fiscal year (e.g., during the budget formulation process, when reviewing other MfR products)?</p> <ul style="list-style-type: none"> <li>• Quadrennial Diplomacy and Development Review (QDDR)</li> <li>• Joint Strategic Plan (JSP)</li> <li>• Joint Regional Strategies (JRS)</li> <li>• Functional Bureau Strategies (FBS)</li> <li>• Integrated Country Strategies (ICS)</li> <li>• Bureau Resource Requests (BRR)</li> <li>• Mission Resource Requests (MRR)</li> <li>• Operational Plans (OP)</li> <li>• Performance Plans and Reports (PPR)</li> <li>• Foreign Assistance Program Evaluations</li> <li>• Annual Performance Plan / Annual Performance Report (APP/APR)</li> <li>• Congressional Budget Justification (CBJ)</li> </ul>
2	Yes	Open-Ended Response	<p>Please provide suggestions for improving the usefulness of any MfR process or product.</p>
3	Yes	Scale	<p>Please indicate the extent which you believe the factors listed below prevent F STAFF from using existing MfR products in decision-making or to inform the development of F products (e.g. reference a strategy or PPR to inform budget recommendations). Please identify any other factors within the comment box provided below.</p> <ul style="list-style-type: none"> <li>• The quality of the products is inconsistent.</li> <li>• F staff members do not have enough time.</li> <li>• F staff do not understand how and when to use MfR products.</li> <li>• Planning, budgeting, and reporting calendars are not well aligned (e.g., timing and deadlines).</li> <li>• The products are not easily accessible.</li> <li>• The products are not sufficiently integrated with each other.</li> <li>• There are few consequences for not using the products.</li> <li>• Key decisions are more often influenced by other factors (e.g., political priorities, unforeseen events).</li> </ul>
4	Yes	Open-Ended Response	<p>Please indicate the extent which you believe the factors listed below prevent F STAFF from using existing MfR products in decision-making or to inform the development of F products (e.g. reference a strategy or PPR to inform budget recommendations). Please identify any other factors within the comment box provided below.</p>

F Staff Survey			
#	Required	Type	Question
5	Yes	Scale	<p>Please indicate the extent which you believe the factors listed below prevent BUREAUS, OFFICES, or MISSIONS from using existing MfR products in decision-making or to inform the development of products (e.g. reference their strategy or PPR to inform a resource request). Please identify any other factors within the comment box provided below.</p> <ul style="list-style-type: none"> <li>• The quality of the products is inconsistent</li> <li>• Bureaus, Offices, and Missions do not have enough time.</li> <li>• Bureau, Office, and Mission staff do not understand how and when to use MfR products.</li> <li>• Planning, budgeting, and reporting calendars are not well aligned (e.g., timing and deadlines).</li> <li>• The products are not easily accessible.</li> <li>• Bureaus, Offices, and Missions do not dedicate sufficient staff to MfR activities.</li> <li>• The products are not sufficiently integrated with each other.</li> <li>• There are few consequences for not using the products.</li> <li>• Key decisions are more often influenced by other factors (e.g., political priorities, unforeseen events).</li> </ul>
6	Yes	Open-Ended Response	<p>Please indicate the extent which you believe the factors listed below prevent BUREAUS, OFFICES, or MISSIONS from using existing MfR products in decision-making or to inform the development of products (e.g. reference their strategy or PPR to inform a resource request). Please identify any other factors within the comment box provided below.</p>
7	Yes	Open-Ended Response	<p>Please provide suggestions for actions F could take to address the factors preventing Bureaus, Offices, and Missions from using MfR products in decision making or to inform the development of other products.</p>
8	Yes	Y/N	<p>Would you benefit from additional or improved training or guidance in the following areas? Please provide specific suggestions within the comment box provided below.</p> <ul style="list-style-type: none"> <li>• How to use the various products that come from the MfR processes in my own work (e.g., strategic plan, performance plans, evaluations, budget documents).</li> <li>• How to meaningfully incorporate various types of data into F decision-making processes.</li> <li>• How F leadership expects me to use various types of data in my work.</li> <li>• How to advise Bureaus, Offices, and Missions regarding ways to improve the quality of their MfR products.</li> <li>• How to advise Bureaus, Offices, and Missions regarding ways to use the MfR products when making decisions.</li> <li>• How to advise Bureaus, Offices, and Missions regarding ways to strengthen the alignment between MfR processes.</li> <li>• How to advise Bureaus, Offices, and Missions regarding the appropriate time to complete their MfR products.</li> <li>• How to advise Bureaus, Offices, and Missions on ways to account for external demands and other uncertainties when developing strategic plans.</li> <li>• How to advise Bureaus, Offices, and Missions regarding ways to</li> </ul>

F Staff Survey			
#	Required	Type	Question
			<p>implement their strategies.</p> <ul style="list-style-type: none"> <li>• How to engage with Bureaus, Offices, and Missions on the role of monitoring and/or evaluation.</li> <li>• How to identify programs or projects that are suitable candidates for evaluation.</li> <li>• How F's IT systems could enhance the utility of MfR products for Bureaus, Offices, and Missions.</li> </ul>
9	Yes	Scale	<p>Please indicate the extent which you agree or disagree with the following statements.</p> <ul style="list-style-type: none"> <li>• Bureaus, Offices, and Missions have established effective linkages between planning, budgeting, program management, performance monitoring, and evaluation activities.</li> <li>• I feel comfortable explaining the MfR processes to staff outside of F.</li> <li>• I feel comfortable advising staff outside of F on how to perform MfR processes and products.</li> <li>• I know how and where to access training, tools, or guidance related to MfR products or processes.</li> <li>• My supervisor promotes the use of MfR processes and products.</li> <li>• Bureaus, Offices, and Missions currently value and benefit from the MfR framework.</li> <li>• I collaborate with colleagues across F to review and use MfR products.</li> <li>• I collaborate with colleagues across F to review and use MfR products.</li> <li>• F's training, guidance, and communications about MfR processes and products reinforce the linkages between them.</li> <li>• Bureaus, Offices, and Missions effectively integrate objectives from their strategies into other products in the MfR framework.</li> <li>• Department leadership promotes the use of and linkages between MfR processes and products.</li> <li>• F Leadership promotes the use of and linkages between MfR processes and products.</li> <li>• The MfR framework is a worthwhile approach for the Department.</li> </ul>
10	Yes	Drop-Down Selection	Please select your unit within F.
11	Yes	Drop-Down Selection	Are you directly responsible for managing or supervising other F staff?
12	Yes	Drop-Down Selection	How long have you been working within F?

**Table 5 – F Staff Survey Questions**

Bureau Planner Survey Questions			
#	Required	Type	Question
1	Yes	Y/N	Does your Bureau or Office receive Foreign Assistance funding?
2	Yes	Scale	<p>The MfR framework is intended to create feedback loops between processes such that one process or product informs others in the framework. Please indicate the extent to which you believe the following products are useful when developing other MfR products (e.g., JRS, FBS, BRR, OP, PPR)?</p> <ul style="list-style-type: none"> <li>• Quadrennial Diplomacy and Development Review (QDDR)</li> <li>• State-USAID Joint Strategic Plan (JSP)</li> <li>• Joint Regional Strategies (JRS)</li> <li>• Functional Bureau Strategies (FBS)</li> <li>• Integrated Country Strategies (ICS)</li> <li>• Bureau Resource Requests (BRR)</li> <li>• Mission Resource Requests (MRR)</li> <li>• Operational Plans (OP)</li> <li>• Performance Plans and Reports (PPR)</li> <li>• Bureau or Mission generated performance monitoring data</li> <li>• Foreign Assistance Evaluations</li> <li>• Annual Performance Plan / Annual Performance Report (APP / APR)</li> <li>• Congressional Budget Justification (CBJ)</li> </ul>
3	Yes	Open-Ended Response	Please provide suggestions for improving the usefulness of any MfR process or product.
4	Yes	Open-Ended Response	Please identify any other information you find useful to inform the development of MfR products.
5	Yes	Scale	<p>Please identify the extent to which you agree that the following factors prevent your Bureau or Office from using MfR products to make decisions. Please identify any other factors within the comment box provided below.</p> <ul style="list-style-type: none"> <li>• The products do not contain the right information to inform decision</li> <li>• Leadership does not prioritize the use of MfR products.</li> <li>• Staff do not understand how and/or when to use MfR products.</li> <li>• The products are not easily accessible.</li> <li>• The products are not sufficiently integrated with each other.</li> <li>• There are few consequences for not using the products.</li> <li>• There aren't sufficient incentives to use the products.</li> <li>• Key decisions are more often influenced by other factors (e.g., political priorities, unforeseen events).</li> <li>• Other (please specify)</li> </ul>
6	Yes	Open-Ended Response	Please provide suggestions for actions F could take to address any challenges preventing Bureaus, Offices, and Missions from using MfR products while making decisions or informing the development of other products.
7	Yes	Scale	<p>Please identify the extent to which you agree with the following statements related to the development of MfR products within your Bureau or Office.</p> <ul style="list-style-type: none"> <li>• Strategic planning once every three years is sufficient since plans can be updated if needed at any time.</li> <li>• My Bureau or Office has dedicated enough staff to developing quality MfR products.</li> <li>• Staff responsible for facilitating MfR activities collaborate with one another (e.g., Bureau planners, budget officers, program managers)</li> </ul>

Bureau Planner Survey Questions			
#	Required	Type	Question
			<p>when developing MfR products.</p> <ul style="list-style-type: none"> <li>• Staff responsible for MfR activities receive sufficient leadership support to develop quality MfR products.</li> <li>• My Bureau or Office receives clear guidance from F staff regarding the development of MfR products.</li> </ul>
8	Yes	Y/N	<p>Would you benefit from additional or improved training, guidance, or technical assistance in the following areas? Please provide specific suggestions within the comment box provided below.</p> <ul style="list-style-type: none"> <li>• How to identify and access relevant training and guidance.</li> <li>• How my Bureau or Office could improve the quality of our products.</li> <li>• How my Bureau or Office could use MfR products to develop other MfR products.</li> <li>• How my Bureau or Office could use MfR products to inform decisions (e.g., strategic planning, budget, programmatic).</li> <li>• How my Bureau or Office can access and incorporate various data to inform decisions.</li> <li>• How to overcome external demands or uncertainties when making decisions (e.g, strategic planning, budget, programmatic).</li> <li>• How to identify programs or projects that are suitable candidates for evaluation.</li> <li>• How to develop performance monitoring frameworks for programs or otherwise assess progress towards strategic priorities.</li> <li>• How and when my Bureau or Office should update strategic plans (e.g., JRS, FBS, ICS).</li> <li>• Other (please specify)</li> </ul>
9	Yes	Scale	<p>Please identify the extent to which you agree with the following statements.</p> <ul style="list-style-type: none"> <li>• Effective linkages between planning, budgeting, program management, performance monitoring, and evaluation activities have been established.</li> <li>• I feel comfortable advising staff in my Bureau or Office on how to use MfR products (e.g. strategic plans, performance reports).</li> <li>• I feel comfortable explaining MfR processes to staff from my Bureau or Office.</li> <li>• My leadership team promotes the use of MfR processes and products.</li> <li>• Training, guidance, and communications about MfR processes, and products reinforce the linkages between them.</li> <li>• Department senior leadership should facilitate periodic management reviews to discuss Bureau or Office progress towards implementing strategies.</li> <li>• The MfR framework is a worthwhile approach for the Department.</li> <li>• F should establish clearer incentives for using the MfR processes and products.</li> <li>• F should prescribe how Bureaus, Offices, and Missions should use MfR processes and products.</li> <li>• My leadership takes the development of MfR products seriously.</li> <li>• My leadership uses MfR products to make decisions (e.g., planning, budget, programmatic, staff alignment).</li> <li>• My leadership refers back to MfR products in internal and/or external</li> </ul>

<b>Bureau Planner Survey Questions</b>			
<b>#</b>	<b>Required</b>	<b>Type</b>	<b>Question</b>
			communications.
10	Yes	Drop-Down Selection	Are you a Department of State or USAID employee or contractor?
11	Yes	Drop-Down Selection	Do you support a Functional Bureau, a Regional Bureau, or an independent office?
12	Yes	Range	Approximately how long have you been serving as a Bureau Planner within your current Bureau or Office?
13	Yes	Open-Ended Response	If you would like to speak with the MfR evaluation team regarding your response to this survey, please provide your name below.

**Table 6 – Bureau Planner Survey Questions**

# ANNEX 5: F STAFF SURVEY RESULTS

The following images summarize the evaluation team’s analysis of the F staff survey results.



# F STAFF SURVEY RESULTS

31 RESPONDENTS

## PROCESS

### ORGANIZING PRINCIPLES

Respondents do not agree on an organizing principle for the framework, and do not think the framework is fully integrated

**68%** do not think Bureaus/Missions/Offices have established effective linkages between MfR activities  
**58%** do not think planning, budgeting, and reporting calendars are well aligned  
**68%** do not think the products are sufficiently integrated

“ Any product that F utilizes needs to compare programs at least regionally or by sector. Indicators that only serve the Mission or Bureau submitting may be useful for performance, but they are too numerous and too specific to realistically impact budgeting to policy decision making.

” We need to strengthen the linkages between the processes -- especially planning and performance management but also with the CBJ and BRR/MRR.

Determine key points at which the MfR process/product will be incorporated into other processes and then force use at that time. It may be painful initially, but actually trying to use the products is the only way to really see the gaps/shortcomings, provide feedback, and then fix the problems.

Unfortunately these processes and products are fragmented and lack a clear concise relationship.

Strategy documents become outdated soon after they are written. They are also often written to sound good and check boxes, but don't reflect the real priorities or actions that tend to be taken when the rubber hits the road.

### REPORT ORIENTATION

Respondents report that focus is more on individual products or processes, with a heavy emphasis on budget, rather than integration.

**65%** find the quality of products to be inconsistent  
**84%** find Congressional Budget Justifications, Mission Resource Requests, and Bureau Resource Requests useful

“ Processes should be streamlined, less lengthy, and less bureaucratic.

” There is a perception that F staff, specifically FPOCs do not have enough time to fully engage with all of F's processes and must focus their energy solely on the budget development process. I think this is something F can work on to emphasize the relative importance of each process so the budget doesn't always automatically take precedence.

**What prevents you from using MfR products to make decisions?**

“I don't have enough time”  
**39% respondents**



“MfR products are not well integrated”  
**68% respondents**  
“MfR products are not accessible”  
**25% respondents**

# F STAFF SURVEY RESULTS

31 RESPONDENTS

## PEOPLE

### STAFF RESOURCES

Respondents don't think that Bureaus/Missions/Offices have sufficient resources.

52% do not think products are consistent in quality  
61% do not think Bureaus/Missions/Offices have enough time  
84% do not think Bureaus/Missions/Offices dedicate sufficient staff

*“ The reality is that the bureaus are overwhelmed with other stuff and there are generally not enough people to focus on this.*

*The staff assigned to the activities are often very junior and senior staff do not take these seriously. That is in part because of insufficient staffing overall which means lower priority for management processes* ”

*I'm not sure the issue is not enough staff for MfR activities but perhaps not the right staff...staff that has access to key leaders or staff that know how to explain the MfR products to the rest of their bureau.*

### LEADERSHIP ACCOUNTABILITY

Respondents do not think leadership hold Bureaus/Missions/Offices accountable for the MfR process.

58% do not think that Dept. leaders encourage use  
65% think their supervisor promotes use of the MfR products  
84% think there are few consequences for not using products

*“ There is inconsistency in the quality of the products because there are few consequences in the Department for not using them. This can only be fixed by the 7th floor.*

*There are indeed consequences for the missions, since POCs have the power to require them to use them. That said, there are no real consequences for the POCs' own failure to use the products.* ”

*This comes down to a matter of will and leadership on the part of the bureaus and missions. Use of the products is first and foremost driven by leadership owning them, and holding people accountable for using them and aligning the various products.*

*We need senior-level management engagement and focus on these products, additional staff in the Bureaus and Missions, and support throughout F for all aspects of the MfR cycle - not just the budget.*

### MANAGEMENT CULTURE

Respondents do not think the State Department has a culture of strategic planning.

68% do not think Bureaus/Missions/Offices have established effective linkages between MfR activities  
23% think that Bureaus/Missions/Offices value and benefit from the framework

*“ Without a requirement from the 7th floor to use the products, as well as for the 7th floor to do reviews of strategic plans and not only budgets, the results will not change. Every A/S and Ambassador wants to please the 7th floor, and so will respond if there is real interest.*

*This is a big culture shift for State.* ”

*We need senior-level management engagement and focus on these products, additional staff in the Bureaus and Missions, and support throughout F for all aspects of the MfR cycle - not just the budget.*

# F STAFF SURVEY RESULTS

31 RESPONDENTS

## PEOPLE

**TRAINING** Respondents feel they could use additional training in some areas, **81% do not** think Bureau/Mission/Office staff understand how and when to use MfR products but that Bureaus/Missions/Offices **39%** think F’s guidance and communications reinforces linkages need significant training.

“ *The guidance and training provided is process-heavy and often very confusing.*

*Make these products/processes part of every foreign service and civil service orientation/general training.*

“ *The State department doesn't foster program-strategy officers in its FS system, so you have people getting involved in processes who may not have much background in strategic planning, managing programs, etc. The Department should have mandated trainings for people in certain positions that are going to Posts or offices responsible for managing a certain threshold of FA resources.*

### F Staff Skills

**87%** Feel comfortable explaining MfR products to staff outside of F

**58%** Feel comfortable advising staff outside of F on how to perform MfR processes

**77%** Know where to access training, tools, and guidance



### Training Feedback

**More than 58% of respondents reported training needs in the following areas:**

- How to use products in my own work
- How to incorporate data into F decision-making process
- How F leadership wants me to use data in my work
  - How to advise Bureaus/Missions/Offices on ways to use MfR products
  - How to advise Bureaus/Missions/Offices on ways to improve their MfR products
  - How to advise Bureaus/Missions/Offices on how to use MfR products to make decisions
  - How to advise Bureaus/Missions/Offices on ways to strengthen alignment between products



## TECHNOLOGY

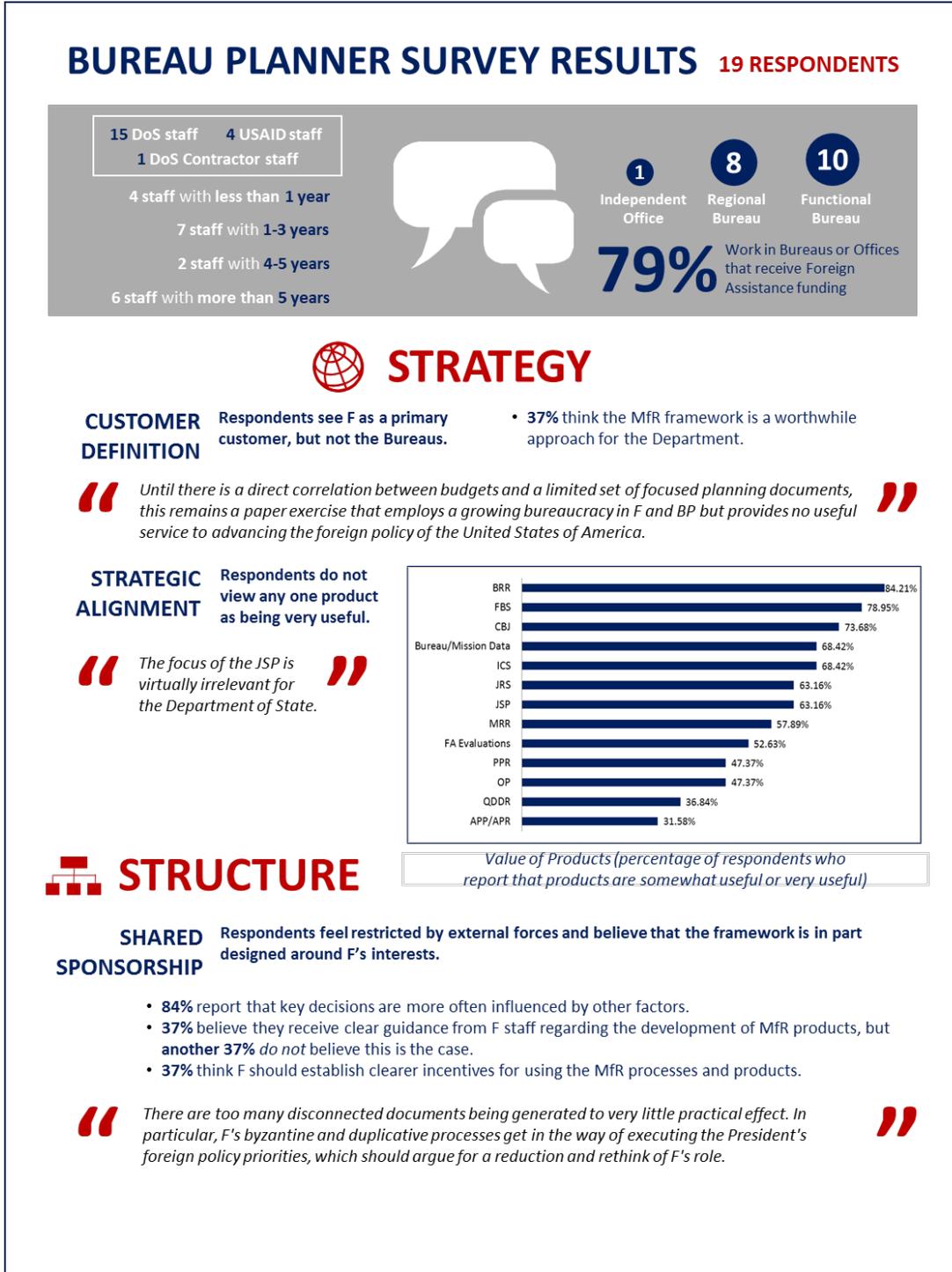
**KNOWLEDGE MANAGEMENT** Respondents think multiple information platforms may be confusing.

**35% do not** think the MfR products are easily accessible **58%** think F’s IT systems could enhance the utility of the framework

“ *The systems that collect the information are complicated and likely create challenges for overseas staff, further frustrating participants.* ”

# ANNEX 6: BUREAU PLANNER SURVEY RESULTS

The following images summarize the evaluation team’s analysis of the Bureau Planner survey results.



# BUREAU PLANNER SURVEY RESULTS 19 RESPONDENTS

## PROCESS

- ORGANIZING PRINCIPLES** Respondents do not believe MfR products are effectively integrated.
- 58% do not think the QDDR is useful.
  - 58% do not think MfR products are sufficiently integrated.
  - 11% think effective linkages between MfR activities have been established.

*“The products and processes need to be linked in a more purpose-driven way that facilitates strategic resource planning for the Department.”*

- REPORT ORIENTATION** Respondents think the process is burdensome, but aren't necessarily asking for additional guidance on how to create or use them.
- 84% think strategic planning once every three years is sufficient since plans can be updated if needed at any time.
  - 37% think F should prescribe how Bureaus, Offices, and Missions should use MfR processes and products.

*“We are in report overload. Please streamline and eliminate useless products that are duplicative.”*

### What prevents you from using MfR products to make decisions?

*“Key decisions are more often influenced by other factors.”*  
84% respondents

*“Leadership does not prioritize the use of MfR products.”*  
74% respondents

*“There are few consequences for not using the products.”*  
68% respondents



*“Staff do not understand how and/or when to use MfR products.”*  
68% respondents

*The products do not contain the right information to inform decisions.*  
63% respondents

*There aren't sufficient incentives to use the products.*  
63% respondents

## TECHNOLOGY

- KNOWLEDGE MANAGEMENT** Respondents have specific ideas on how to make the technology more streamlined and user friendly, which might make them more likely to use the products.
- 37% do not think the MfR products are easily accessible

*“Create a user friendly application for updating mechanism entries in the OP. Something that would not require reopening the OP—maybe an outbox that saves requested changes that staff make at their convenience and that the OU program officer can review and approve periodically.”*

*It would be helpful if F could automatically update OPs once they approve/are made aware of the realignments/reprogramming actions. The current process of relying on posts lends itself to balls getting dropped where OPs are not getting updated at all and/or not in a timely manner.*

*USAID has redundant systems that collect the same kinds of information as F. Some that are located in FactsInfo are shared. But most are not shared leading to duplication of effort and reporting.*

*Create downloadable reports for initiatives and sectors.*

# BUREAU PLANNER SURVEY RESULTS 19 RESPONDENTS

## PEOPLE

**STAFF RESOURCES** Respondents report they collaborate when creating documents, but are divided on whether Bureaus are staffed adequately to support MfR activities.

- 42% do not think their Bureau/Mission is adequately staffed to support MfR activities, 47% think they are, 11% have no opinion.
- 58% think staff responsible for facilitating MfR activities collaborate with one another.

**LEADERSHIP ACCOUNTABILITY** Respondents do not think leadership hold Bureaus/ Missions/Offices accountable for the MfR process.

- 74% do not think leadership prioritize use of MfR products.
- 47% do not think their leadership team promotes the use of MfR processes and products.
- 42% think their leadership takes the development of MfR products seriously.
- 58% do not think leadership uses MfR products to make decisions.
- 32% think leadership refers back to MfR products in internal and/or external communications.
- 58% think Department senior leadership should facilitate periodic management reviews to discuss Bureau or Office progress towards implementing strategies.

The group is evenly split in their view of whether staff receive adequate leadership support to develop quality products: 37% do not think they do, 26% have no opinion, and 32% think they do.

“ The bureau doesn't value these items as a decision making tool.

Many of the products are still treated as check the box. Evidence of senior leadership actually valuing the process and products – through annual senior reviews for the bureaus/programs by the Secretary or D practice – is needed to really embed good planning, performance and budget.

”

Other than the FBS, BRR, CBJ and the QDDR, my leadership does not engage on any other product. Our functional bureau OP and PPR reflect nothing more than the management of the small set of FA tools we have at our disposal, but these are far removed from and do not reflect our work as a bureau. We do more than FA, and this is something that is seemingly lost in the MfR process.

**TRAINING & OUTREACH** In general, the group is split in their desire for additional training on specific topics (see table).

- 68% do not think staff understand how and/or when to use MfR products.
- 11% do not feel comfortable advising staff in their Bureau or Office on how to use MfR products.
- 22% do not feel comfortable explaining MfR processes to staff from their Bureau or Office.
- 37% do not think training, guidance, and communications reinforce the linkages between MfR products.

TOP REQUESTED TRAINING TOPICS (percentage of respondents)

58%	How my Bureau or Office can access and incorporate various data to inform decisions.
58%	How to identify programs or projects that are suitable candidates for evaluation.
58%	How to develop performance monitoring frameworks for programs or assess progress towards strategic priorities.
47%	How to identify and access relevant training and guidance.
47%	How my Bureau or Office could improve the quality of our products.

“ The Department should develop relevant performance management and strategic planning training.

I personally do not need additional training/guidance, but the bureau generally does.

”

If F is going to train, it has to commit to incorporating the whole range of how the MfR products can be managed overseas, at small posts, as the most challenging environment to do these processes. There are no good training classes on project management.

# ANNEX 7: INTERVIEW GUIDES

The evaluation team used multiple stakeholder interview guides during the course of the evaluation. These guides included targeted questions that aligned with the evaluation questions and were relevant to the various audiences who participated during the evaluation. The tables below illustrate the general nature of questions posed to stakeholders. The team used the following interview guides:

- F Leadership Interview Guide
- F/PPS/PPM Sponsor Group Interview Guide
- Bureau and Office Leadership Interview Guide
- Mission Leadership Interview Guide
- M/PRI Interview Guide
- USAID Leadership Interview Guide
- QDDR Interview Guide
- FSI Interview Guide
- D-MR Interview Guide

F Leadership Interview Guide	
Questions	
1.	In your opinion, what is the most important part of the MfR framework and why?
2.	Please describe how you personally use the MfR processes or products to inform your decisions.
3.	What actions are needed to make the MfR framework a more useful management tool for Department leaders?
4.	What specific challenges does your organization continue to experience while implementing the MfR framework?
5.	What actions could your organization (or the Department) take to strengthen the adoption and use of the MfR framework?
6.	Do you feel your organization has the resources needed to effectively perform its MfR responsibilities? If no, how have resource constraints complicated your ability to fulfill MfR responsibilities?
7.	Do you believe the staff responsible for MfR processes within your organization have received sufficient training and possess adequate skills?
8.	Have you experienced any challenges regarding the separation of roles and responsibilities for MfR processes within your organization? External to your organization?
9.	Please use one word to describe the Department’s culture as it relates to planning, budgeting, and other MfR processes.
10.	Are there any other ideas or suggestions you would like to share?

**Table 7 – F Leadership Interview Guide**

## F/PPS/PPM Staff Group Interview Guide

### Questions

1. Please describe your personal goals for the evaluation.
2. How do you envision your team using and benefiting from the final evaluation report (e.g., findings and recommendations)?
3. How aware do you think stakeholders are of the Managing for Results (MfR) framework?
4. What do you think stakeholders will share regarding specific advantages of the MfR framework and associated guidance (both anticipated and unforeseen)?
5. What are the primary disconnects between how the MfR framework is designed to work and how it works in practice?
6. What do you think stakeholders will share regarding specific challenges or pain points?
7. Which organizations do you think benefit the most from the process you are responsible for (or which organizations has this process helped the most)?
8. With regards to the specific process areas that your team is responsible for (e.g., strategic planning), what specific data or information would you like the evaluation to produce?
9. We have identified multiple stakeholder groups, ranging from F senior leadership to mission stakeholders that are responsible for programming F resources. How important is the support of the following stakeholders to the process you are responsible for? Are there any specific questions that we should ask each group?
10. To what extent do the products of each process within the MfR framework drive actions and decision-making at the office level?
11. How do you think the MfR framework and associated guidance could be adjusted to address the 2015 QDDR's call to advance strategic planning and performance management?
12. Which stakeholder organizations do you think best use the MfR framework to drive decision-making as intended? What would you consider their success factors?
13. Which stakeholder organizations have the most challenges using the MfR framework to drive decision-making? What factors do you think contribute to this?
14. Do you think these stakeholder organizations would make good case studies?
15. Beyond what we have already discussed, is there any other specific data or information that you would like the evaluation to produce?
16. Do you have any other suggestions?

**Table 8 – F/PPS/PPM Staff Group Interview Guide**

<b>Bureau and Office Leadership Interview Guide</b>	
<b>Questions</b>	
1.	What has been the most significant benefit of developing a strategic plan for your Bureau?
2.	What are the main ways you use your strategic plan (e.g., as a communication/internal management tool, to inform other Washington data calls)?
3.	Can you share any best practices or lessons learned from your Bureau's most recent strategic planning process?
4.	Do you believe the Department has established strong linkages between Department, Bureau, and Mission-level Foreign Assistance (FA) priorities? If no, how might the Department try to establish stronger linkages?
5.	The current framework attempts to achieve a perfect alignment between planning and budgeting activities. What barriers do you face when developing a budget that aligns to your strategic plan?
6.	How does the timing of planning and budgeting activities affect your Bureau's ability to achieve greater alignment between plans and budget requests?
7.	How can you best position your Bureau to influence your Foreign Assistance budget?
8.	Do you have any other suggestions for actions F could take to strengthen the strategic planning process or products to better guide decision making (e.g., policy, programmatic, budget, allocation of time)?
9.	Do you think the Department should formalize its approach to the management of FA programs and resources (e.g., required quarterly reviews)?
10.	How could F enhance the performance monitoring processes to benefit your Bureau more (e.g., help you answer data calls from Washington; help you decide which Foreign Assistance programs to initiate, end or increase/decrease funding for; determine whether program is being managed effectively)?
11.	Within the MfR framework (strategic planning, budgeting, program management, performance monitoring, evaluation) when are needs for new Foreign Assistance programs assessed and identified?
12.	What level of performance information do you need around FA programs and resources?
13.	How do you currently use performance data to influence budget decisions?
14.	Has your Bureau facilitated any program evaluation? If yes, how did you go about deciding which programs to evaluation? And how was the resulting information used thereafter?
15.	Do you feel you have sufficient resources (staff time and skillsets) within your Bureau to conduct strategic planning, budgeting, program management, performance monitoring, and evaluation?
16.	What capabilities and skills related to strategic planning, budgeting, program management, and performance monitoring activities are hardest to obtain within your Bureau, and why?
17.	How could training help your Bureau better use strategic plan, performance information, and evaluations to inform decisions?

**Table 9 – Bureau and Office Leadership Interview Guide**

<b>Mission Leadership Interview Guide</b>	
<b>Questions</b>	
1.	We have heard that developing Integrated Country Strategies has been a valuable exercise to help all Agencies at post coalesce around common goals, identify overlapping efforts, serve as a communication tool for new staff, etc. Please tell us about your experience developing and using the ICS at post.
2.	Many stakeholders have shared that the current strategic planning approach is not flexible enough to accommodate their operating environment and that it also does not align well to known events (e.g., Administration cycles). What are your thoughts on allowing greater flexibility for Missions to change their plans to accommodate environmental events?
3.	Theoretically strategic plans inform the budget. In practice, we have heard this rarely happens. Given this, what do you think is the value of strategic planning?
4.	We have heard that the current framework is product and reporting-oriented. Stakeholders feel once they have been developed they are shelved. The QDDR recommends conducting leadership/strategy reviews. How do you think strategic or performance reviews could be conducted to benefit Bureaus and Missions?
5.	Currently budget requests, operational plans, performance plans and reports are organized by Bureau and Mission objectives. Do you think this is a valuable exercise for all documents? Why or why not?
6.	Theoretically, Strategic Plans, Operational Plans, and Performance Plan and Reports are supposed to benefit Bureaus and Missions. In practice, which of these are useful or not useful and why?
7.	With regards to strategic planning, performance monitoring, and evaluation, do you see knowledge or skill gaps within the Department? If so, how do you think this should be remedied?
8.	What data do Missions review to monitor performance of Foreign Assistance programs? What information do they frequently report to Regional Bureaus?
9.	What level of Foreign Assistance performance information do you think is required to demonstrate to State leaders, Congress, and the public that Bureaus and Missions are operating as good stewards of taxpayer funds?
10.	If Missions conduct their own program reviews (e.g., USAID program portfolio reviews) would a report out of recommended changes as the result of the review (e.g., course corrections, end program, change program design if budgeted for another year) complement a more streamlined performance report sans narrative?
11.	We have heard stakeholders are not in favor of overhauling performance management processes every three of four years. Now that the current strategic planning, budgeting, performance monitoring, and evaluation processes have been in place for more than three years, what impact do you think maturing these processes will have on using performance and evaluation data to make decisions?
12.	The current sentiment shared by many stakeholders is that the Department doesn't have the skills or resources needed to effectively conduct strategic planning or perform monitoring and evaluation activities. Would you agree with that? How could this be remedied?

**Table 10 – Mission Leadership Interview Guide**

<b>M/PRI Interview Guide</b>	
<b>Questions</b>	
1.	What concrete benefits have you seen stakeholders experience from the framework?
2.	You played a role in the design/implementation of the framework. Do you feel like it was designed with a customer in mind? If so, was the value to that specific customer articulated?
3.	Who do you see as the key customers of the framework? Who is tasked with providing services to those customers?
4.	How would you describe overall adoption of the framework to date?
5.	You are very familiar with the “adoption curve” used by 1CA and Teamwork@State. Do you feel like F has done a good job of moving stakeholders up that adoption curve? If so, what worked well? What actions does F need to take to move stakeholders even farther up?
6.	What incentives can we establish to encourage continued adoption?
7.	What role should leadership play in the development and continued use of MfR products?
8.	What prevents leadership from using these products? What kind of information are leaders actually using to make their decisions?
9.	What role does D-MR play in overall adoption?
10.	How can we use the QDDR to encourage additional leadership adoption?
11.	How would you describe the relationship between F and BP in regards to the MfR framework?
12.	Do you think Bureaus and Missions are adequately staffed to perform MfR functions? Do you think they would benefit from a consistent staffing model?
13.	What kinds of collaboration tools do you think are missing from MfR resources?
14.	What kinds of training gaps exist?
15.	Do you think F is properly structured to play its role in relation to the MFR framework?
16.	Where would Teamwork@State toolkits fit into this? Who would use them and for what?
17.	We understand that the MfR process continues to mature. Accordingly, plan goals, objectives, and indicators are not always well written or properly vetted. This complicates downstream activities, such as aligning funding requests to Bureau Objectives. How does this potential challenge influence the usage of products around the Department?
18.	What barriers influence the quality of these documents?
19.	Do you think the Dept. has an appetite for more structure and prescriptive guidelines from F?
20.	Do you think linkages between the different parts of the framework have been effectively established? If so, how did we establish those linkages? If not, how can we?
21.	We understand that plan goals and objectives must span multiple years. Additionally, budget requests must forecast two years into the future. How does the timing of planning and budgeting decisions affect the Department’s ability to establish linkages?
22.	Do you have any other lessons learned to share based on your experience with 1CA and Teamwork@State?

**Table 11 – M/PRI Interview Guide**

<b>USAID Leadership Interview Guide</b>	
<b>Questions</b>	
1.	We understand that the State and USAID planning cycles do not necessarily align (i.e., timing). What challenges has this presented your staff during the development of the CDCS?
2.	We have heard that the CDCS might be extended to a seven-year timeframe -- what is the rationale for this?
3.	What is the rationale for why your Washington organizations don't create strategic plans?
4.	We understand that Missions must include CDCS objectives in their ICS. What was the rationale for this decision? Has this presented any challenges for USAID staff?
5.	How do you monitor implementation when it involves other USG agencies at Mission? And have ICS implementation activities conflicted with USAID implementation monitoring activities?
6.	Are country teams permitted to update their CDCS to accommodate leadership turnover or external changes? If yes, who is responsible for deciding when a change is warranted?
7.	How do you establish linkages between planning goals/objectives and budget decisions?
8.	Thinking about your staff, what skills and experiences are especially critical to strategic planning, budgeting, performance monitoring, and evaluation activities? What training is available to help staff develop these skills?
9.	Does USAID have a staffing model it employs to determine the ratio of M&E/management staff? Are programs required to identify management/M&E resource needs during budget formulation activities? How are teams that perform these activities structured? Who is involved and where do they fall within the organization? How would you characterize the collaboration on these activities between staff in HQ overseas and overseas?
10.	How do you determine when it is appropriate for programs to report performance information to Washington? And what types of information do you require be reported to HQ?
11.	We have heard the performance portfolio review is effective at Missions for reviewing progress. Does that include only USAID funded programs or all USG-funded programs at Mission? How is the process executed and who is involved? How frequently are programs reviewed? What type of performance information is reviewed/reported?
12.	There is a desire within the Department to bring together groups of people to develop solutions to shared issues (e.g., Gender equality, Ebola). We have heard USAID deploys some sort of rapid-response teams when diagnosing problems before programs are designed. How does this work? How does this work and how is it integrated with your budgeting process?
13.	How have you incorporated the JSP and QDDR into your program cycle?
14.	What opportunities do you see for State and USAID to further integrate their planning models?

**Table 12 – USAID Leadership Interview Guide**

<b>QDDR Interview Guide</b>	
<b>Questions</b>	
1.	What prompted the first QDDR recommendation (see below)?
2.	What prompted the second QDDR recommendation (see below)?
3.	Do you feel like the QDDR is well integrated into other planning activities (such as the JRS and ICS)? Do you think there should be greater consolidation of the groups responsible for strategy (F, BP, QDDR, BRM, D-MR, other offices that report to the strategy)?
4.	What challenges do you face in achieving greater integration of the QDDR?
5.	Do you think stakeholders are confused by what the document represents?
6.	Is the QDDR sufficiently integrated into budgeting activities? Are the requests (most of which require additional funding) woven into the budgeting processes?
7.	How are you going to hold people accountable to responding to the recommendations?
8.	We have a recommendation that the Department consolidates all strategic planning functions into one office. Where do you think that office should go? Is the QDDR program office well positioned to be that consolidated office?

**Table 13 – QDDR Interview Guide**

<b>FSI Interview Guide</b>	
<b>Questions</b>	
1.	Recognizing that the Department now has foreign assistance funds to manage, how are you helping to institutionalize foreign assistance training and professionalize this skill?
2.	What is FSI's role in implementing the QDDR's recommendation to strengthen strategic planning and performance management within the Department?
3.	What school within FSI do you think is responsible for developing these skills?
4.	Who should be the recipient of this training? At what levels should students be exposed to these topics? Who would benefit most?
5.	How have you historically assessed training needs in these areas?
6.	What do you think about more formally integrating these skills into an existing Foreign Service cone, or creating a new cone entirely?
7.	What do you think about requiring certain levels of leadership to complete modules within a strategic planning learning roadmap?
8.	What is your number one barrier to doing this?

**Table 14 – FSI Interview Guide**

## D-MR Leadership Interview Guide

### Questions

1. We have observed that strategic planning is a responsibility shared by many organizations within the Department (e.g., F, BP, QDDR). Stakeholders persistently view strategic planning as a budgeting exercise in Washington given that F and BP facilitate it. Stakeholders also express challenges as they attempt to discern the difference between the Joint Strategic Plan and the QDDR. What challenges has this presented for your Office? Has there been any consideration given to consolidating and/or realigning strategic planning activities?
2. Many stakeholders have shared that the current strategic planning approach is not flexible enough to accommodate their operating environment and that it also does not align well to known events (e.g., Administration cycles). Would you be open to the idea of F and BP working together to revisit the timing of planning activities and to provide Bureaus and Mission greater flexibility to change their plans to accommodate environmental events?
3. We have heard that the current framework is product and reporting-oriented. Stakeholders feel once they have been developed they are shelved. The QDDR recommends conducting leadership/strategy reviews to strengthen dialogue and accountability. How do you think strategic or performance reviews could be conducted to benefit Bureaus and Missions? Who should attend?
4. Several leaders have shared that the Department has absorbed more and more program/project management responsibilities over time, but that the Department hasn't sufficiently invested in staff competencies and training. For example, FSI does not currently have a program dedicated to strategic planning or performance measurement. Would you be amenable to a recommendation that the Department consider how human resource policies and training programs need to evolve to align with expanding responsibilities for planning, measurement, and evaluation?
5. Would you have any concerns with F overhauling the current performance reporting process for FA programs and resources? For example, it has been suggested that not all programs should necessarily report out each year, or that only programs of a certain strategic value or monetary level report out each year.
6. What do you see as F's ultimate responsibility for collecting and reporting FA performance information?
7. We sense stakeholder fatigue on overhauling performance management processes every three of four years. One of our participants recently shared that the Department is at risk of not cementing these processes in advance of the next Administration. In your conversations with leadership, do you feel like the current framework has been sufficiently adopted at this time to mitigate this risk? If not, what actions do you recommend?
8. The current sentiment shared by many stakeholders is that the Department doesn't have the skills or resources needed to effectively perform monitoring and evaluation activities. Would it make sense for the Department to move towards a model whereby stakeholders to justify how they intend to perform these functions during program design and budget formulation activities (e.g., request additional M&E resources)?

**Table 15 – D-MR Interview Guide**

# ANNEX 8: FOCUS GROUP GUIDES

The evaluation team facilitated multiple focus groups with staff from Functional and Regional Bureaus, F, and USAID. The team used the following primary focus group guides:

- F/PPS/PPM Focus Group Guide
- F Staff Focus Group Guide
- BP Focus Group Guide
- Bureau Planner Focus Group Guide
- OIG Focus Group Guide
- USAID/PPL and USAID/MPBP Focus Group Guide

F/PPS/PPM Focus Group Guide	
Questions	
1.	How would you describe your responsibilities related to implementation of the MfR processes within the Department?
2.	Who do you see as the intended customer of the MfR framework? In other words, who is it designed to benefit (e.g., the Bureaus, Offices, and Missions or Department senior leadership)?
3.	In your own words, how would you describe the MfR framework and component processes to someone working in a Bureau, Office, or a Mission?
4.	In your opinion, what is the most valuable overall aspect of Managing for Results and why?
5.	What steps could be taken to further integrate your process area with other MfR process areas to strengthen feedback loops and/or inform your processes?
6.	In your opinion, do the Bureaus, Offices, and Missions you work with understand and value the MfR processes and the intended integration of the processes and products? Why/why not?
7.	In your opinion, does F leadership understand the value of the MfR processes and the integration of the processes and products? Why/why not?
8.	What can PPM do to better communicate the intended value and purpose of the MfR for Operating Units?
9.	What continued challenges does [F / your team] experience when promoting usage of the MfR processes in Bureaus, Offices, and Missions?
10.	What tangible incentives or disincentives should the Department implement to promote more usage of the MfR framework?
11.	How do you believe the MfR framework could be adjusted to better align with how the Department's leadership team actually makes decisions?
12.	Is it realistic to assume that the Department can fully integrate its planning and budgeting activities given the timing of external deadlines and requirements?
13.	Lack of time seems to be one of the most significant challenges contributing to F's own use of the MfR products. What recommendations do you have for addressing this challenge?
14.	What other challenges does [F / your team] experience when integrating the MfR processes and associated products within the work of F?

**F/PPS/PPM Focus Group Guide**

15. What actions should be taken to make the MfR processes and resulting products more integrated within F? Across the Department?
16. What can PPM do to build capacity in Operating Units so they are better informed and able to execute the processes and feedback loops in a quality way?
17. What lessons learned have you experienced while implementing or using the MfR product?
18. Please use one word to describe the Department's current program management culture.
19. Are there any other ideas or suggestions you would like to share?

**Table 16 – F/PPS/PPM Focus Group Guide**

<b>F Staff Focus Group Guide</b>	
<b>Questions</b>	
1.	How would you describe your responsibilities related to implementation of MfR processes within the Dept.?
2.	Who do you see as the intended customer of the MfR framework? In other words, who is it designed to benefit (e.g., the Bureaus, Offices, and Missions or Department senior leadership)?
3.	In your own words, how would you describe the MfR framework and component processes to someone working in a Bureau or a Mission?
4.	In your opinion, what is the most valuable overall aspect of Managing for Results and why?
5.	What steps could be taken to further integrate your process area with other MfR processes to strengthen feedback loops and/or inform your process?
6.	In your opinion, do the Bureaus, Offices, and Missions you work with understand and value the MfR processes, and the intended integration of the processes and products? Why/why not?
7.	In your opinion, does F leadership and staff understand the value of the MfR processes and the integration of the processes and products? Why/why not?
8.	What can PPM do to better communicate the intended value and purpose of the MfR for Operating Units?
9.	What continued challenges does [F / your team] experience when promoting usage of the MfR processes in Bureaus, Offices, and Missions?
10.	What tangible incentives/disincentives should the Dept. implement to promote usage of the framework?
11.	How do you believe the MfR framework could be adjusted to better align with how the Department's leadership team actually makes decisions?
12.	Is it realistic to assume that the Department can fully integrate its planning and budgeting activities given the timing of external deadlines and requirements?
13.	Lack of time seems to be one of the most significant challenges contributing to F's own use of the MfR products. What recommendations do you have for addressing this challenge?
14.	What other challenges does [F / your team] experience when integrating the MfR processes and associated products within the work of F?
15.	What actions should be taken to make the MfR processes and resulting products more integrated within F? Across the Department?
16.	What can PPM do to build capacity in Operating Units so they are better informed and able to execute the processes and feedback loops in a quality way?
17.	What lessons learned have you experienced while implementing or using the MfR product?
18.	Please use one word to describe the Department's current program management culture.
19.	Are there any other ideas or suggestions you would like to share?

**Table 17 – F Staff Focus Group Guide**

<b>BP Focus Group Guide</b>	
<b>Questions</b>	
1.	How does the way BP facilitate MfR processes differ from how F facilitates processes?
2.	How is BP staffed to facilitate the MfR process?
3.	What best practices can you share?

**Table 18 – BP Staff Group Guide**

<b>Bureau Planners Focus Group Guide</b>	
<b>Questions</b>	
1.	What benefits does your Bureau derive from the framework today?
2.	Do you feel the framework was designed around your Bureau's information needs?
3.	Are certain products more helpful than others? Less helpful? Why?
4.	What should F's role be with regards to the implementation of this framework?
5.	What prevents your leadership from engaging during the development of MfR products?
6.	What prevents leadership from using these products to inform decisions?
7.	What other factors influence decisions made during the planning and budgeting phases?
8.	Are your planning, performance measurement, reporting, and evaluation staff collocated?
9.	To whom do these people within the organization align? Assistant Secretary?
10.	How does your Bureau collaborate with external staff during planning? Budgeting?
11.	We understand that the MfR process continues to mature. Accordingly, plan goals, objectives, and indicators are not always well written or properly vetted. This complicates downstream activities, such as aligning funding requests to Bureau Objectives. How does this potential challenge influence the usage of products within your Bureau?
12.	What other barriers influence quality?
13.	We understand that plan goals and objectives must span multiple years. Additionally, budget requests must forecast two years into the future. How does the timing of planning and budgeting decisions affect your Bureau's ability to establish effective linkages?
14.	What other challenges do you face when attempting to promote linkages between planning, budgeting, etc.?
15.	Do you believe Department stakeholders have a clear understanding of everyone's roles and responsibilities for MfR activities?
16.	What stakeholders would benefit from additional MfR process or product training?
17.	What types of training should be offered?
18.	What types of training provided by F have you found most effective?
19.	Where do you go when you need guidance?

**Table 19 – Bureau Planners Focus Group Guide**

<b>OIG Focus Group Guide</b>	
<b>Questions</b>	
1.	Are you familiar with the Department’s MfR framework? If yes, how have you woven it into your auditing framework?
2.	Overall, do Bureau and Missions have the right staff (skills, experience, and positions) and structure to effectively conduct strategic planning, budgeting, program management, performance monitoring and evaluation?
3.	Are there best practices you have seen with respect to resource strategy?
4.	Can you point out an example of a success story within the Dept.? What made the office/program successful?
5.	What is typically done with your evaluation results? What factors can encourage implementation of recommendations?
6.	What are the primary external factors that direct what FA performance indicators the Department collects (e.g., GPRA)?
7.	How would you characterize the quality of performance data reported by FA stakeholders?
8.	Many of the stakeholders we have talked to say the Performance Plan and Report collects a lot of data that is resource intensive with very little value. What Foreign Assistance performance data is important to collect? How can they demonstrate they are good stewards of taxpayer funding?
9.	Reportedly, poor project design limits the impact of monitoring and evaluation. What best practices have you seen or what recommendations do you have to strengthen program design? Who within the Department is or should be supporting this capacity?
10.	Have you perceived challenges from two organizations (F & BP) facilitating and overseeing Managing for Results processes within the Department?
11.	We have heard that the JRS and FBS are useful communication tools, but their portfolios are too disparate to be effective internal management tools. Have you observed this or have you found some Bureaus who have been able to use it in this manner?
12.	Missions have faced resistance when developing out-of-cycle plans for legitimate reasons. Do you think a more flexible planning cycle is realistic?
13.	The 2015 QDDR recommends Leadership strategy reviews. Have you come across evidence of such reviews being valuable and if so, what makes them valuable?
14.	The MfR cycle is Mission-focused; it is increasingly difficult to be tangible in performance conversations at the Bureau-level (Regional/Functional). Have any Bureaus found a better way to integrate with the Missions they oversee or have equities in?
15.	Who do you perceive is the primary customer for the strategic plan, operational plan, PPR, and evaluations?
16.	What capacity and training gaps do you see in the Department with respects to strategic planning, program management, and M&E?
17.	How does this framework compare to past iterations? What can F and Department leadership do to encourage bureaus and missions to take the process seriously?

**Table 20 – OIG Focus Group Guide**

## USAID/PPL and USAID/MPBP Focus Group Guide

### Questions

1. We understand that the State and USAID planning cycles do not necessarily align (i.e., timing). What challenges has this presented your staff during the development of the CDCS?
2. We have heard that the CDCS might be extended to a seven-year timeframe -- what is the rationale for this?
3. What is the rationale for why your Washington organizations don't create strategic plans?
4. We understand that Missions must include CDCS objectives in their ICS. What was the rationale for this decision? Has this presented any challenges for USAID staff?
5. How do you monitor implementation when it involves other USG agencies at Mission? And have ICS implementation activities conflicted with USAID implementation monitoring activities?
6. Are country teams permitted to update their CDCS to accommodate leadership turnover or external changes? If yes, who is responsible for deciding when a change is warranted?
7. How do you establish linkages between planning goals/objectives and budget decisions?
8. Thinking about your staff, what skills and experiences are especially critical to strategic planning, budgeting, performance monitoring, and evaluation activities? What training is available to help staff develop these skills?
9. Does USAID have a staffing model it employs to determine the ratio of M&E/management staff? Are programs required to identify management/M&E resource needs during budget formulation activities? How are teams that perform these activities structured? Who is involved and where do they fall within the organization? How would you characterize the collaboration on these activities between staff in HQ overseas and overseas?
10. How do you determine when it is appropriate for programs to report performance information to Washington? And what types of information do you require be reported to HQ?
11. We have heard the performance portfolio review is effective at Missions for reviewing progress. Does that include only USAID funded programs or all USG-funded programs at Mission? How is the process executed and who is involved? How frequently are programs reviewed? What type of performance information is reviewed/reported?
12. There is a desire within the Department to bring together groups of people to develop solutions to shared issues (e.g., Gender equality, Ebola). We have heard USAID deploys some sort of rapid-response teams when diagnosing problems before programs are designed. How does this work? How does this work and how is it integrated with your budgeting process?
13. How have you incorporated the JSP and QDDR into your program cycle?
14. What opportunities do you see for State and USAID to further integrate their planning models?

**Table 21 – USAID/PPL and USAID/MPBP Focus Group Guide**

# ANNEX 9: STAKEHOLDER PARTICIPATION

The table below identifies the F staff who participated in individual interviews, group interviews, or focus groups.

<b>F Staff (13 individual interviews, 29 group interview or focus group participants)</b>			
<b>Stakeholder Name</b>	<b>Organizational Symbol</b>	<b>Date</b>	<b>Individual or Group</b>
Melissa Schild	F/PPS/PPM	7/08/15	Individual
Sarah Kohari	F/PPS/PPM	7/08/15	Individual
Eileen Cronin	F/PPS/PPM	7/09/15	Individual
Jason Wall	F/PPS/PPM	7/09/15	Individual
Eric Schoennauer	F/PPS/PPM	7/13/15	Individual
Dennis Vega	F/PPM	7/20/15	Individual
Lisa Crye	F/PPS/PPM Evaluation Team	7/20/15	Group
Krishna Kumar	F/PPS/PPM Evaluation Team	7/20/15	Group
Steve Ramirez	F/PPS/PPM Evaluation Team	7/20/15	Group
Taryn Lovelace	F/PPS/PPM Evaluation Team	7/20/15	Group
Lisa de Vasquez	F/PPS/PPM Performance Team	7/20/15	Group
Erin Means	F/PPS/PPM Performance Team	7/20/15	Group
Jennifer Fiorello	F/PPS/PPM Performance Team	7/20/15	Group
Erica Victoria	F/PPS/PPM Performance Team	7/20/15	Group
Paula Lynch	F/PA	7/20/15	Individual
Hari Sastry	F	7/21/15	Individual
Sita Chakrawarti	F/PPS/PPM Strategic Planning Team	7/21/15	Group
Chris Caredeo	F/PPS/PPM Strategic Planning Team	7/21/15	Group
Paul Cox	F/PPS/PPM Strategic Planning Team	7/21/15	Group
John Gardner	F/PPS/PPM Operational Planning Team	7/21/15	Group
Renee Brock	F/PPS/PPM Operational Planning Team	7/21/15	Group
Ami Amin	F/PPS/PPM Operational Planning Team	7/21/15	Group
Pat Sommers	F RA Coordinator	7/22/15	Individual
David Goldberg	F/RG/FI	7/22/15	Individual
Lesley Ziman	F/RG	7/23/15	Individual
George Rowland	F/RG	7/27/15	Group
Laura Hall	F/RG	7/27/15	Group
Ernesto Uribe	F/RG	7/27/15	Group
Lesley Stone	F/PA	7/28/15	Group
Anita Menghetti	F/PA	7/28/15	Group
Kim Archea	F/PA	7/28/15	Group

<b>F Staff (13 individual interviews, 29 group interview or focus group participants)</b>			
<b>Stakeholder Name</b>	<b>Organizational Symbol</b>	<b>Date</b>	<b>Individual or Group</b>
Janet MacLaughlin	F/PA	7/28/15	Group
John Burg	F/RG	7/29/15	Group
Stephanie Hurter	F/RG	7/29/15	Group
Jennifer Topping	F/RG	8/03/15	Group
Beatrice Reaud	F/RG	8/03/15	Group
John Hassan	F/RG	8/03/15	Group
Marko Dolan	F/RG	8/03/15	Group
Courtney Asker	F/RG	8/03/15	Group
Chelsea Lord	F/RG	8/03/15	Group
Brendan Dallas	F/RG	8/05/15	Individual
Cyndee Pelt	F/RA	8/07/15, 9/12/15	Individual

**Table 22– Evaluation Participants: F Staff**

The table below identifies the Department staff outside of F who participated in individual interviews, group interviews, or focus groups.

<b>Other Department Staff (16 individual interviews, 34 group interview or focus group participants)</b>			
<b>Stakeholder Name</b>	<b>Bureau or Mission</b>	<b>Date</b>	<b>Interview or Group</b>
Carly Smith	BP/OPP	7/27/15	Group
Tony Mazzocchi	BP/OPP	7/27/15	Group
John Wilcox	EUR	8/25/15	Group
Sharon Brown	NEA	8/25/15	Group
Abigail Einspahr	SCA	8/25/15	Group
Jamie Young	ISN	8/25/15	Group
Todd Gobeille	PM	8/25/15	Group
Rola Hariri	ISN	8/25/15	Group
Elizabeth Richard	NEA	8/27/15	Individual
Erica Kaster	CSO/LT	8/27/15	Individual
Heather Jordan	HR, Former M/PRI	8/27/15	Individual
Ben Flowers	AF	9/01/15	Group
Lisbeth Thompson	AF	9/01/15	Group
Brian Levis	EAP	9/01/15	Group
Ian Boyd	J	9/01/15	Group
Bruce Hemmer	CSO/LT	9/01/15	Group
Kristin Tennyson	J	9/01/15	Group
Tanya Spencer	FSI	9/01/15	Group
James Bever	FSI	9/01/15	Group

<b>Other Department Staff (16 individual interviews, 34 group interview or focus group participants)</b>			
<b>Stakeholder Name</b>	<b>Bureau or Mission</b>	<b>Date</b>	<b>Interview or Group</b>
Joe Kawalski	EUR	9/02/15	Individual
Kelly Keiderling	ECA	9/02/15	Individual
Sheila Paskman	Monrovia	9/03/15	Individual
Alina Romanowski	EUR/ACE	9/03/15	Individual
Larry Andre	Nouakchott	9/08/15	Individual
Doug Sonnek	Suva	9/08/15	Individual
Gabriela Cardozo	WHA/PPC	9/08/15	Group
Jennifer Ceriale	WHA/PPC	9/08/15	Group
Emily Crawford	WHA/PPC	9/08/15	Group
Ian Crawford	WHA/PPC	9/08/15	Group
Teresa Fralish	WHA/PPC	9/08/15	Group
Lina Karaoglanova	WHA/PPC	9/08/15	Group
Philip Laidlaw	WHA/PPC	9/08/15	Group
Carolyn Lantz	WHA/PPC	9/08/15	Group
Steven Long	WHA/PPC	9/08/15	Group
Monique Pratt	WHA/PPC	9/08/15	Group
Jenny Richter	WHA/PPC	9/08/15	Group
Kristen Bauer	Burma	9/08/15	Individual
Nicole Lowery	OIG	9/09/15	Group
Arne Baker	OIG	9/09/15	Group
Norman Brown	OIG	9/09/15	Group
Theresa Gagnon	OIG	9/09/15	Group
Cynthia Saboe	OIG	9/09/15	Group
Peter Barlerin	AF/ERA	9/09/15	Individual
Don Jacobson	Mexico City	9/09/15	Individual
Elizabeth Field	J	9/11/15	Individual
Mark Ostfield	FSI	9/21/15	Group
Marylou Bothwell	FSI	9/21/15	Group
Adam Lusin	QDDR	9/23/15	Individual
Paul Bouey	S/GAC	9/23/15	Individual
Heather Higginbottom	D-MR	10/1/15	Individual

**Table 23 – Evaluation Participants: Other Department Staff**

The table below identifies the USAID staff who participated in individual interviews, group interviews, or focus groups.

<b>USAID Staff (1 individual interview, 5 focus group participants)</b>			
<b>Stakeholder Name</b>	<b>Organization</b>	<b>Date</b>	<b>Interview or Group</b>
Wade Warren	USAID/GH	9/21/15	Individual
Melissa Patsalides	USAID/PPL/LER	9/25/15	Group
Mehlika Hoodbhoy	USAID/E3/GENDEV	9/25/15	Group
Kerri DiZoglio	USAID/PPL/SPP	9/25/15	Group
Margaret Strong	USAID//MPBP/PERF	9/25/15	Group
Margaret Mesaros	USAID//MPBP/PERF	9/25/15	Group

**Table 24 – Evaluation Participants: USAID Staff**

# ANNEX 10: FA OBLIGATIONS

The figure below shows annual FA obligations by the Department and USAID between 2002 and 2013. The source for this information is the U.S. Agency for International Development's Foreign Aid explorer, accessed at <https://explorer.usaid.gov/>, which allows users to identify obligations by implementing agencies.

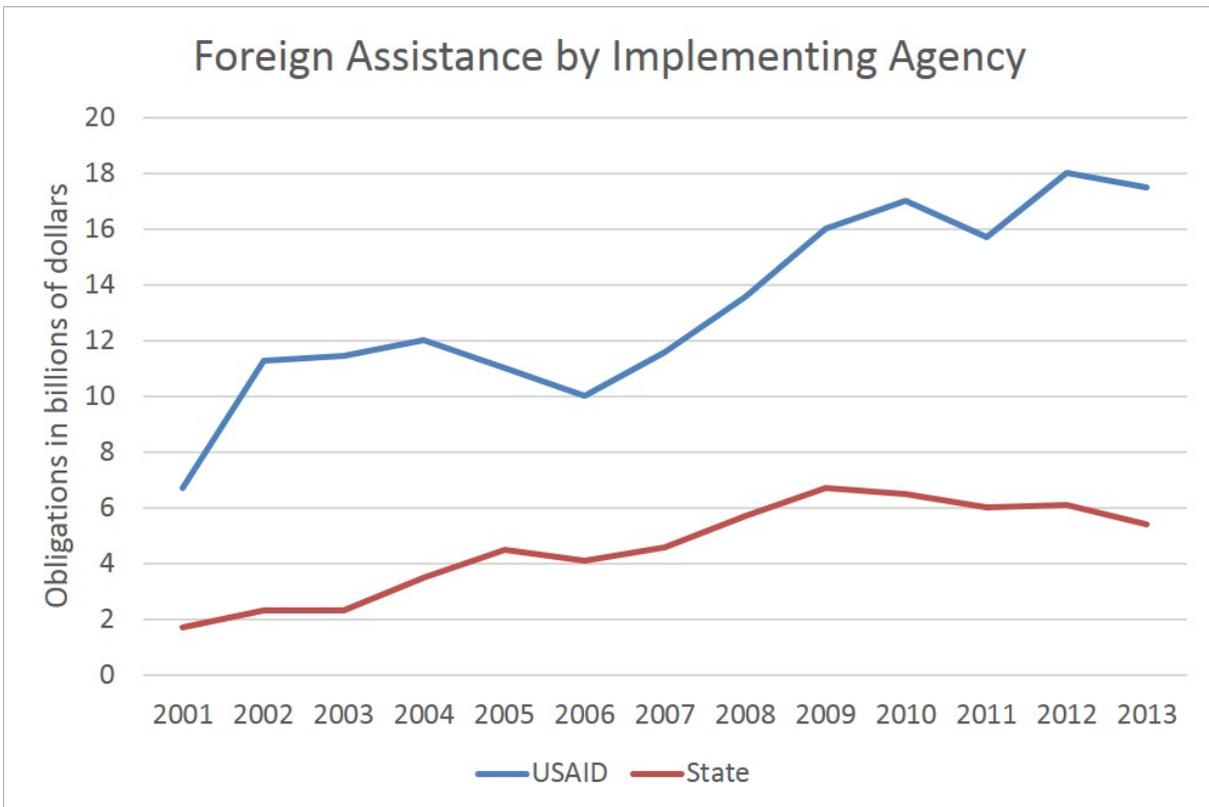


Figure 3 – Foreign Assistance Obligations between USAID and the Department of State

# ANNEX 11: MFR GUIDANCE

The evaluation performed a documentation review of available guidance. This Annex summarizes relevant MfR product development guidance to support the evaluation team’s findings and conclusions.

## Finding 1.2 – Lack of FA program/project management standards

**Recap:** The focus of current managing processes facilitated by F are limited to tracking budget allocation decisions within the Operational Plan. Operational Plans are developed by Operating Units, which oversee the implementation of FA programs and resources. The Operational Plan enables Operating Units to allocate and attribute FA funding to implementing mechanisms (e.g., contracts), financial accounts, and other budget elements.

**Current guidance:** *“The purpose of the Operational Plan is to provide a comprehensive picture of how an Operating Unit (OU) will use its FY 2015 New Obligating Authority (NOA) to achieve foreign assistance goals. An Operational Plan demonstrates how the proposed funding plan and programming supports OU, agency, and U.S. Government (USG) policy priorities. The Operational Plan also illustrates how programs and activities support an OU’s strategic objectives. Operational Plan information and data ensure compliance with Congressional earmarks and directives, legislative floors and ceilings placed on some types of funding, and Administration priorities.”*

**Source:** Office of U.S. Foreign Assistance Resources – Guidance for FY 2015 Operational Plans – March 13, 2015 – Section 1.1 – Purpose – Page 3

## Finding 1.3 – Acting on evaluation results

**Recap:** The Department’s program evaluation policy does not communicate how stakeholders should monitor the implementation of program evaluation findings and recommendations. Currently, evaluation sponsors are not required to respond to findings or recommendations. The evaluation team was unable to identify any formal mechanisms used to promote the implementation of recommendations.

**Current guidance:** *“Bureaus and independent offices must utilize evaluation findings for making decisions about policies, strategies, program priorities, and delivery of services, as well as for planning and budget formulation processes. For example, evaluation findings should be used to course-correct in interim years of a bureau’s multi-year strategic plan, or to shape that plan initially.”*

**Source:** 18 FAM 301.1-5 Evaluation Use

## Finding 1.3 – Role of the Bureau Evaluation Coordinator

**Recap:** The evaluation team observed that the 2015 evaluation policy established the requirement that each Bureau identify an Evaluation Coordinator. However, current policy does not require this position to be exclusively focused on evaluation activities. The evaluation team observed that many Bureau Evaluation Coordinators perform this function as a secondary duty, limiting their ability to focus on evaluation functions.

**Current guidance:** *“Each bureau and office must identify a point of contact with decision making authority to serve as the Bureau Evaluation Coordinator to ensure that the evaluation function is fully operational and integrated into the planning and decision making process. He or she will serve as the main point of contact in the bureau on evaluation and will interact with BP and F on the bureau’s evaluation efforts and compliance with this policy.”*

**Source:** 18 FAM 301.1-2(C) Bureau Evaluation Coordinator

### **Finding 3.1 – Separated performance reporting**

**Recap:** Operating Units use the PPR to report performance information and data for FA programs. Within the PPR, Operating Units author Performance Narratives for individual Mission/Bureau Objectives. Currently, Operating Units are not required to report performance information for Mission/Bureau Objectives that do not involve FA resources.

**FY 2014 PPR Guidance:** *“Manage Mission Objectives (MOs) – It is no longer possible to edit or add objectives directly into the PPR Module. The FACTS Info PPR Module will include MO’s from the FY 2013 PPR, and both foreign assistance and non-foreign assistance MO’s from the FY 2014 Operational Plan (OP). Reporting against foreign assistance MO’s from the FY 2014 OP is required, however, non-foreign assistance MO’s should be deleted. OUs may also choose to retain FY 2013 PPR objectives that are relevant to FY 2014 performance reporting.”*

**Source:** U.S. Department of State Office of U.S. Foreign Assistance Resources Guidance for Performance Plan & Report – FY 2014 – Page 2

**FY 2015 PPR Guidance:** *“Manage Mission Objectives – Your PPR will initially display MOs from the FY 2014 PPR, as well as both foreign assistance and non-foreign assistance MOs from your approved ICS, JRS, or FBS. Reporting against foreign assistance MOs is required, but non-foreign assistance MOs from these strategies should be “archived” for the purposes of the PPR. OUs may also choose to retain FY 2014 PPR objectives that are relevant to FY 2015 performance reporting. As a reminder, OUs cannot edit or add objectives directly into the PPR Module.”*

**Source:** U.S. Department of State Office of U.S. Foreign Assistance Resources Guidance for FY 2015 Performance Plan & Report – Page 4

### **Finding 3.2 – Designing objectives to accommodate the duration of the federal budget cycle.**

**Recap:** Stakeholders are currently advised to develop specific, actionable Mission/Bureau Objectives during planning process. The challenge with this approach, however, is that the federal budgeting process incentivizes staff to develop vague Mission/Bureau Objectives in order to achieve continuity between planning and budgeting processes that span multiple calendar years.

**Current ICS guidance:** *“The Mission Objective is a concrete, realistic, and measurable statement of a result in the host country that the Mission can significantly influence in the next three to five years.”*

*“Specificity and measurability of Mission Objectives is important, as they will become the building blocks for resource requests, performance reporting and communicating Mission priorities to all organizations under Chief of Mission authority.”*

*“Each Management Objective should include a specific, measurable, and result-oriented statement of priority improvements in Mission management...”*

**Source:** Integrated Country Strategy Guidance & Instructions – Pages 8 & 9

**Current JRS/FBS guidance:** *“Stylistically, Goal statements should be specific enough to clearly communicate the bureau’s aims, express future direction/vision by using active or directional verbs (i.e. strengthen, improve, reduce, etc), and avoid overly technical terms or acronyms. Avoid writing Goals as categories (i.e. Regional Security, Financial Stewardship, Economic Partnerships, etc.) that do not clearly communicate the bureau’s intent to readers that may not have access to the rest of the strategy.”*

*“Similar to Goals, stylistically, Objective statements should express future direction by using active/directional verbs and should be written specific enough to monitor progress. Consider using the SMART criteria when developing your Objectives – Specific, Measurable, Attainable (realistic), Relevant, and Timebound.”*

**Source:** Bureau Strategy Guidance & Instructions 2015 – 9 & 10

### **Finding 3.2 – Making off-cycle changes to strategic plans.**

**Recap:** Current planning guidance discourages stakeholders from making off-cycle changes to strategic goals and Mission/Bureau Objectives. In addition to current guidance, off-cycle changes to a Mission/Bureau Objective also affect downstream reporting processes. These factors contribute to current perceptions regarding the utility of Mission/Bureau Objectives as an effective organizing principle. While leaders desire flexibility for determining when it is appropriate to make off-cycle changes to their strategic plans, current guidance and reporting processes deter stakeholders from making such changes.

**Current ICS guidance:** *“The ICS is a three- year strategy with a flexible Action Plan that is regularly reviewed by the Mission and relevant stakeholders and updated as necessary. Changes to the Action Plan should be made in consultation with the relevant Country Team members and do not need Bureau approval or review. An updated version of the ICS should be submitted to the ICS@state.gov whenever changes are made. Missions have the discretion to make changes to the Action Plan as necessary to capture and guide the Mission’s actions in support of the Mission Objectives. Regular review and appropriate adjustment of the Action Plan enables Posts to more fully operationalize direction on implementing ICS Objectives.*

*We strongly discourage revisions to ICS Goals and Objectives. The ICS should have Goals and Objectives that are broad enough to remain mission-focused during changes in Mission leadership and funding. Furthermore, off-cycle changes to the Goals and Objectives are problematic because: (1) the ICS Objectives form the basis of an integrated cycle of resource planning and performance reporting that benefits from consistency when possible; and (2) ICS Objectives represent whole-of-government priorities including those from other agencies that have been previously approved by their leadership and the COM.*

*Missions may consider changing a single ICS Goal or Objective if:*

- *programming and funding for a specific sector are eliminated;*

- *new evidence suggests an expansion to new sectors that are supported by funding (i.e. a security sector assessment identifies the need for a new rule of law program, or a MCC constraints analysis opens up new areas for economic engagement); or*
- *the Mission becomes a focus country for a Presidential or Agency Initiative (supported by Foreign Operations or Diplomatic Engagement resources) and the specific initiative or focus area is not currently in the ICS as an Objective.*

*Missions may consider changing multiple ICS Goals or Objectives if:*

- *a major political, environmental, or security disruption that requires fundamental changes to U.S. diplomatic engagement and interests within the country, e.g. wholesale change in the political establishment of the country (Egypt, Mali), a transformative natural disaster (Haiti), or civil war (Syria)*
  - *this does not normally include anticipated changes such as elections, though these may represent a fundamental change in U.S. engagement with that country and prompt a priority change;*
  - *this does not include persistent and ongoing conflict or isolated incidents of violence;*
  - *this does not include natural disasters such as floods and earthquakes that could be expected to occur within a country in any given five year period;*
- *legal or budgetary foreign assistance restrictions are put in place (by either the US or host country) that force the cancellation or long-term hiatus of programming within the country; or*
- *the nature of the engagement by a program or agency that supports a strategy significantly changes; such that core priorities of the Mission must also change (e.g. the USAID Mission is asked by the host government to leave).*

*Missions should not change an ICS Goal(s) and Objective(s) as result of a change in Mission senior leadership (i.e. new DCM or Ambassador), routine Departmental changes in resources and funding, a new requirement from a Bureau or Office, a U.S. Presidential election or regularly scheduled elections in the host country. Missions must coordinate with their Regional Bureau and contact the ICS Support Team at ICS@state.gov if they decide to adjust a Mission Goal or Objective.*

*If CDCS Development Objectives are revised or developed, they will replace the existing CDCS-related Mission Objective in the ICS. If a CDCS has been approved since the time the ICS was approved, the new CDCS Development Objectives will replace the old Development Objective as Mission Objectives in the ICS. Under certain circumstances, Posts may request an exception to use the new Development Objective as a Sub-Objective.”*

**Source:** Integrated Country Strategy Guidance & Instructions – Pages 13 & 14

**Current JRS/FBS guidance:** *“The Sub-objectives, Indicators, and Milestones are considered the living portion of the document that bureaus are encouraged to update throughout the planning period as it conducts regular strategy reviews in consultation with key stakeholders. Regular reviews, and appropriate adjustments to the living portions of your JRS/FBS, allow the bureau’s leadership to make information-based decisions, share resulting changes with partner organizations, and provide the foundation for the formulation of annual budgets.*

*Wholesale changes to the document prior to the end of the three-year life of the strategy are not expected or recommended and should only occur following a major unanticipated event (i.e. significant geopolitical shifts or changes in the executive administration/leadership of the U.S. Government,*

*Department of State, or the Bureau). In order to maintain authoritative version control, an updated version of the JRS or FBS should be submitted to JRS@state.gov or FBS@state.gov whenever changes are made. Bureaus should look at existing strategies on the Diplopedia website to determine best practices to incorporate.”*

**Source:** Bureau Strategy Guidance & Instructions 2015 – Pages 6 & 7

# ANNEX 12: ORGANIZATIONAL ROLES

Multiple organizations within the Department share responsibility for MfR functions and related processes. These organizations include the Bureau of Budget and Planning (BP); Office of U.S. Foreign Assistance Resources (F); Office of Management Policy, Rightsizing, and Innovation (M/PRI); and Quadrennial Diplomacy and Development Review (QDDR) program office. In addition, the Department coordinates MfR activities with the U.S. Agency for International Development (USAID). The figure below identifies these organizations and their reporting relationships within the organizational structure.

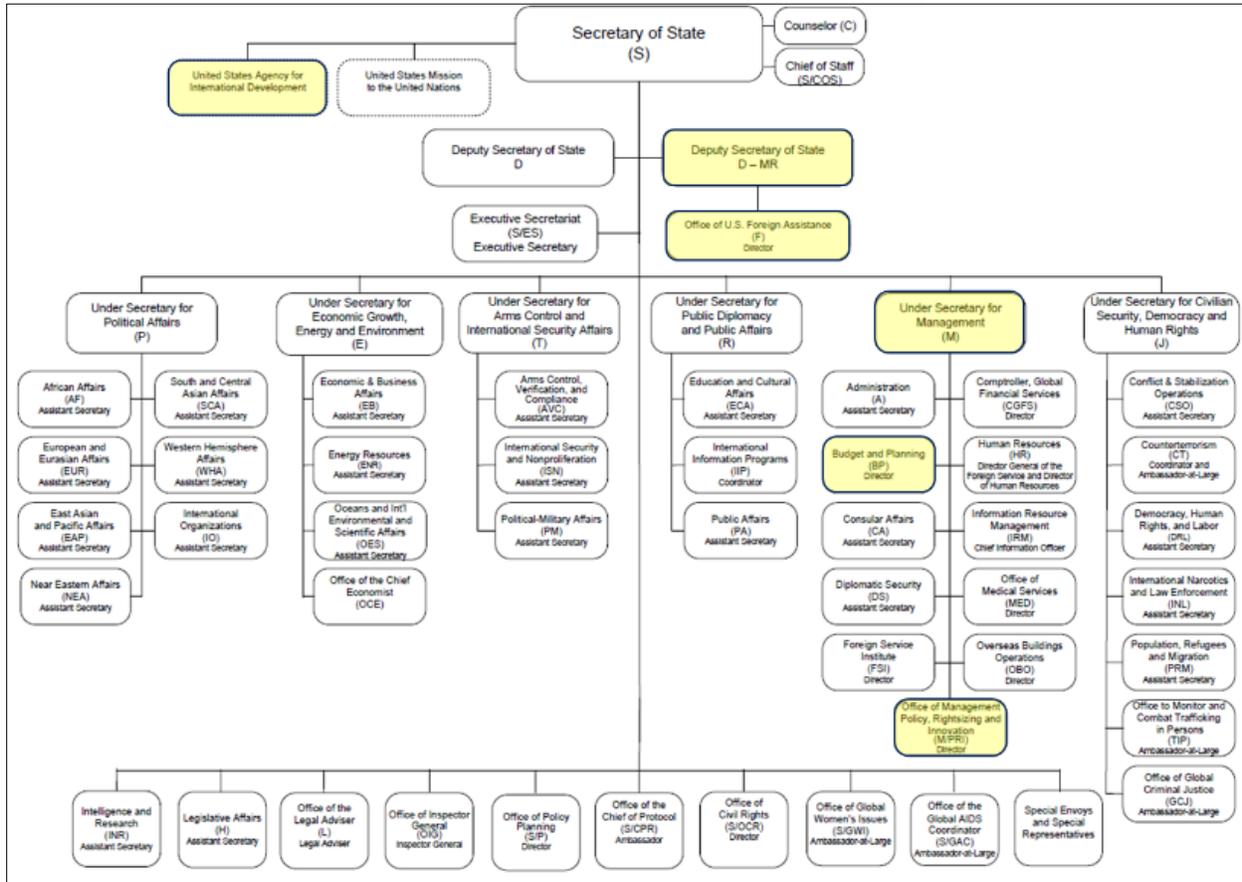


Figure 4 – Organizational Structure of the Department of State

The table below highlights some of the major overlapping roles and responsibilities shared by those organizations within the Department of State that perform MfR or related functions. These roles and responsibilities are identified in the FAM. The letters within the table represent the MfR processes which these organizations influence, including: P - Planning, B - Budgeting, M - Managing, and R - Measuring.

Current organizations that manage or heavily influence MfR processes						
Organization	FAM	FAM Roles and Responsibilities	MfR Processes			
			P	B	M	R
Bureau of Budget and Planning (BP)	1 FAM 620	<ul style="list-style-type: none"> <li>Directs the planning, development, and conduct of the Department’s integrated planning, performance, and budget processes.</li> <li>Develops programmatic performance information for inclusion in budget and performance systems and reports.</li> <li>Ensures budgetary and performance systems produce useful, reliable, and timely information.</li> <li>Develops, in coordination with F, the joint State-USAID Strategic Plan, the Department’s Performance Plan, Performance and Accountability Report, and post- and bureau-level strategic plans and processes.</li> <li>Manages, with F, planning and performance issues.</li> </ul>	X	X	X	X
	1 FAM 620	<ul style="list-style-type: none"> <li>Coordinates with F on the annual senior policy, performance, and resource reviews of bureaus’ planning and budget requirements for the Deputy Secretary and other senior officials.</li> <li>Directs the development of strategic planning and policy formulation processes linked to resource acquisition and management.</li> <li>In coordination with F, oversees the Department’s annual performance planning and reporting processes, systems, and products that comply with the Government Performance and Results Act (GPRA) and support the Administration’s initiatives on performance.</li> <li>In conjunction with F, oversees the implementation of the Department’s evaluation policy...</li> </ul>	X	X	X	X
Office of U.S. Foreign Assistance Resources (F)	1 FAM 033	<ul style="list-style-type: none"> <li>Develops a coordinated U.S. Government foreign assistance strategy, including developing country specific assistance strategies and annual country-specific assistance operational plans as well as F goals and priorities.</li> <li>Creates and directs consolidated policy, strategic and program plans, the operational budget, implementation mechanisms, and staff functions required to provide umbrella leadership to foreign assistance.</li> <li>Has authority over all Department and USAID foreign assistance funding and programs.</li> </ul>	X	X	X	X

Current organizations that manage or heavily influence MfR processes						
Organization	FAM	FAM Roles and Responsibilities	MfR Processes			
			P	B	M	R
Office of U.S. Foreign Assistance Resources (F)	18 FAM 005.1-7(G)	<ul style="list-style-type: none"> <li>The Office of the Director of U.S. Foreign Assistance (F), working with others as appropriate, will establish standard guidance and oversight mechanisms for incorporating best practices in program design, management, and monitoring and evaluation. Wherever possible, these should draw on existing guidance and best practices from USAID and the Millennium Challenge Corporation (MCC).</li> </ul>			X	X
Office of U.S. Foreign Assistance Resources (F)	18 FAM 005.1-7(H)	<ul style="list-style-type: none"> <li>The Office of the Director of U.S. Foreign Assistance (F), drawing on the expertise of USAID, MCC, and other agencies, will establish a set of standard assessment tools and policies that should inform country and program planning.</li> </ul>	X			
Office of U.S. Foreign Assistance Resources (F)	18 FAM 005.1-8(A)	<ul style="list-style-type: none"> <li>In addition, and in consultation with regional and functional bureaus as appropriate, the Director General of the Foreign Service (DG) will assess the current number and type of staff who engage on development issues, their roles and responsibilities, experience, and training, including within the Office of the Director of U.S. Foreign Assistance (F) and the Bureau of Resource Management (RM). F and RM, working with regional and functional bureaus, will develop models for the skill sets and structures that will best support integrated policy, analysis, strategic planning, budgeting, and performance evaluation in Washington and in the field. F, RM, and the DG will determine how the Department can best incorporate these development specialists and those with unique development backgrounds into key positions in Washington and in the field, including in our budgeting and planning structures, and how to improve training, recruitment, and performance incentives to support the policy and outcomes described in this subchapter.</li> </ul>	X	X	X	X
Quadrennial Diplomacy and Development Review (QDDR)	1 FAM 621.5	<ul style="list-style-type: none"> <li>Strategic planning and performance management are guided by the QDDR and the GPRA Modernization Act of 2010. The QDDR serves as the new State-USAID Joint Strategic Plan (JSP), and sets institutional priorities and provides strategic guidance as a framework for the most efficient allocation of resources. The QDDR also includes directives for improving how posts do business, from strengthening interagency collaboration to increasing State and USAID engagement with civil society, the private sector and others.</li> </ul>	X		X	X

**Table 25 – FAM Roles and Responsibilities**

# ANNEX 13: PLANNING SCHEDULE

The figure below identifies the current published Mission and Bureau strategic planning schedule. The evaluation team obtained this schedule from the MfR Diplopedia site.

		CY2014	CY2015	CY2016
STRATEGIC PLANNING	Process	Bureau/Mission	Bureau/Mission	Bureau/Mission
	Joint Regional Strategy (JRS)	<ul style="list-style-type: none"> <li>State EUR/USAID E&amp;E</li> <li>State WHA/USAID LAC</li> </ul>	<ul style="list-style-type: none"> <li>State AF/USAID AFR</li> <li>State EAP/USAID Asia</li> </ul>	<ul style="list-style-type: none"> <li>State NEA/USAID Middle East</li> <li>State SCA/USAID Asia</li> </ul>
	Integrated Country Strategy (ICS)	<ul style="list-style-type: none"> <li>State NEA/USAID Middle East</li> <li>State SCA/USAID Asia</li> </ul>	<ul style="list-style-type: none"> <li>State EUR/USAID E&amp;E</li> <li>State WHA/USAID LAC</li> </ul>	<ul style="list-style-type: none"> <li>State AF/USAID AFR</li> <li>State EAP/USAID Asia</li> </ul>
	Functional Bureau Strategy (FBS)	<ul style="list-style-type: none"> <li>CT</li> <li>IO</li> <li>INL</li> <li>IRM</li> <li>ISN</li> <li>PM</li> <li>S/GPI</li> </ul>	<ul style="list-style-type: none"> <li>A</li> <li>AVC</li> <li>BP</li> <li>CGFS</li> <li>DS</li> <li>EB</li> <li>ECA</li> <li>ENR</li> <li>F</li> <li>FSI</li> <li>HR</li> <li>IIP</li> <li>MED</li> <li>CA</li> <li>OBO</li> <li>OES</li> <li>PA</li> <li>S/SRGIA</li> <li>STAS</li> <li>TIP</li> </ul>	<ul style="list-style-type: none"> <li>CSO</li> <li>DRL</li> <li>INR</li> <li>H</li> <li>L</li> <li>OIG</li> <li>PRM</li> <li>S/ES (Special Reps)</li> <li>S/GAC</li> <li>S/GWI</li> </ul>

Figure 5 – Mission and Bureau Strategic Planning Schedule

# ANNEX 14: KNOWLEDGE MANAGEMENT TOOLS

The table below identifies the knowledge management tools identified by the evaluation team. F and BP use these knowledge management tools to share content and information with MfR stakeholders. The evaluation team identified these tools while performing the documentation review.

Identified knowledge management tools used to communicate MfR information							
#	Name	Platform	Owner	MfR Process			
				P	B	M	R
1	MfR Diplopedia Webpage	Diplopedia	BP, F	X	X	X	X
2	FACTS Info	.NET Custom Developed	F	X	X	X	X
3	F OpenNet SharePoint Site	MS SharePoint	F	X	X	X	X
4	BP SharePoint Site	MS SharePoint	BP	X	X		X
5	F State-USAID Collaboration Site	MS SharePoint	F	X		X	X
6	Evaluation Community of Practice	Communities@State	BP, F				X
7	Performance Reporting Communities Site	Communities@State	BP,F				X
8	F USAID Pages Site	Unknown	F	X	X	X	X
9	Intelink (Houses final documents for the interagency)	Online portal	State	X	X	X	X

**Table 26 – Identified Knowledge Management Tools**

# ANNEX 15: PRODUCT DATA ELEMENTS

The table below identifies the major data elements associated with each MfR product. The table lists data elements in the order which they appear in current MfR templates or sample products. It is important to recognize that sample products do not always perfectly comply with product guidance and templates. The general organization of Mission/Bureau Objective data is identified by red text.

MfR Product Data Elements	
Integrated Country Strategy	Bureau Strategies (JRS and FBS)
<ul style="list-style-type: none"> <li>• Chief of Mission Priorities</li> <li>• Country Context               <ul style="list-style-type: none"> <li>○ Assumptions</li> <li>○ Challenges</li> <li>○ Opportunities</li> <li>○ Risks</li> </ul> </li> <li>• Mission Goals</li> <li>• <b>Mission Objectives</b> <ul style="list-style-type: none"> <li>○ Justification</li> <li>○ Action Plan (by Sub-Objective)</li> </ul> </li> <li>• Management Objectives               <ul style="list-style-type: none"> <li>○ Justification</li> <li>○ Action Plan (by Sub-Objective)</li> </ul> </li> <li>• Security and Justice Sector Assessment (Optional)</li> <li>• Gender Assessment (Optional)</li> </ul>	<ul style="list-style-type: none"> <li>• Executive Statement</li> <li>• Context:               <ul style="list-style-type: none"> <li>○ Key Factors, Trends, and Forces</li> <li>○ Assumptions, Challenges, and Opportunities</li> <li>○ Progress on Previous Strategy</li> </ul> </li> <li>• Summary of Goals and Bureau Objectives</li> <li>• Bureau Goals               <ul style="list-style-type: none"> <li>○ Description and JSP linkage</li> <li>○ Key Partners and Stakeholders</li> <li>○ Trade-offs</li> </ul> </li> <li>• <b>Bureau Objectives</b> <ul style="list-style-type: none"> <li>○ Rational</li> <li>○ Sub-Objective (with performance indicators or milestones)</li> </ul> </li> <li>• Cross-Cutting Management Goals or Objectives</li> <li>• Implementation Methodology</li> <li>• Annex: Definitions and Acronyms</li> <li>• Annex: Supplementary Analysis/Assessments</li> </ul>
State-USAID Joint Strategy Plan (JSP)	Quadrennial Diplomacy & Develop. Review (QDDR)
<ul style="list-style-type: none"> <li>• Message from the Secretary</li> <li>• Message from the USAID Administrator</li> <li>• Introduction               <ul style="list-style-type: none"> <li>○ Mission Statement</li> <li>○ Our Values</li> </ul> </li> <li>• Strategic Goals               <ul style="list-style-type: none"> <li>○ Goal Overview</li> <li>○ <b>Strategic Objectives</b> <ul style="list-style-type: none"> <li>▪ Objective Overview</li> <li>▪ Strategies for Achieving Objective</li> <li>▪ Performance Goals</li> </ul> </li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Message from the Secretary</li> <li>• Executive Summary</li> <li>• Chapter 1: Strategic Priorities / Recommendations               <ul style="list-style-type: none"> <li>○ Description</li> <li>○ Lines of Effort</li> <li>○ Adapting Our Organizations</li> </ul> </li> <li>• Chapter 2: Building Dynamic Organizations               <ul style="list-style-type: none"> <li>○ Description</li> <li>○ Lines of Effort</li> <li>○ Adapting Our Organizations</li> </ul> </li> <li>• Chapter 3: Investing in an Agile, Skilled Workforce               <ul style="list-style-type: none"> <li>○ Description</li> <li>○ Lines of Effort</li> <li>○ Adapting Our Organizations</li> </ul> </li> <li>• Appendix: 2010 QDDR Overview and Update</li> </ul>

MfR Product Data Elements	
Mission Resource Request (MRR)	Bureau Resource Request (BRR)
<ul style="list-style-type: none"> <li>• Mission Resource Request Summary</li> <li>• Executive Budget Statement</li> <li>• DE Request Narratives <ul style="list-style-type: none"> <li>○ Discussion of Priorities and Tradeoffs</li> <li>○ Key Policy and Management Considerations</li> </ul> </li> <li>• FA Request Narratives <ul style="list-style-type: none"> <li>○ Discussion of Priorities and Tradeoffs</li> <li>○ Discussion of Program and Country Performance Data Use</li> <li>○ Key Policy Considerations</li> <li>○ <b>Foreign Assistance Budget Support for Mission Objectives</b> (including discussion of key interventions for each financial account that aligns to each Mission Objective)</li> </ul> </li> <li>• Summary of Diplomatic Engagement Funding</li> <li>• Summary of Human Resource Requests</li> <li>• Summary of Foreign Assistance Request <ul style="list-style-type: none"> <li>○ <b>Funding by Mission Objective</b></li> <li>○ Funding by Account</li> <li>○ Funding by Presidential Initiative</li> <li>○ Funding by Cross-Cutting Attribution</li> </ul> </li> <li>• Acronyms</li> </ul>	<ul style="list-style-type: none"> <li>• Executive Budget Statement</li> <li>• Diplomatic Engagement Request and Justification <ul style="list-style-type: none"> <li>○ Resource Summary</li> <li>○ Program Description</li> <li>○ Justification of Request</li> <li>○ Funding Tables (multiple)</li> </ul> </li> <li>• Foreign Assistance Request and Justification <ul style="list-style-type: none"> <li>○ Discussion of Priorities and Tradeoffs <ul style="list-style-type: none"> <li>▪ Deviations from Functional Bureau requests</li> <li>▪ Deviations from Mission requests</li> </ul> </li> <li>○ Discussion of Program and Country Performance and Use of Data</li> <li>○ Foreign Assistance Request: Key Policy Considerations</li> <li>○ Bureau Request for Foreign Assistance by Account</li> <li>○ Bureau Request for Foreign Assistance by Operating Unit</li> </ul> </li> <li>• Acronyms</li> </ul>
Operational Plan (OP)	Performance Plan and Report (PPR)
<ul style="list-style-type: none"> <li>• Contacts</li> <li>• Implementing Mechanisms (IM) <ul style="list-style-type: none"> <li>○ Definition</li> <li>○ Core Data Fields (e.g., mechanism ID)</li> <li>○ Benefiting Country</li> <li>○ Funding Information (by SPSD)</li> <li>○ Narrative</li> </ul> </li> <li>• Key Issue Information <ul style="list-style-type: none"> <li>○ Narrative</li> <li>○ Funding Attribution (by SPSD)</li> <li>○ Funding Controls</li> </ul> </li> <li>• <b>Mission/Bureau Objectives</b> <ul style="list-style-type: none"> <li>○ Aligned Implementing Mechanisms (by Account) to Mission/Bureau Objective</li> </ul> </li> <li>• Support Documents</li> </ul>	<ul style="list-style-type: none"> <li>• Endorsement Memo</li> <li>• Abbreviations and Acronyms</li> <li>• Operating Unit Contacts</li> <li>• <b>Mission Objective Reporting</b> <ul style="list-style-type: none"> <li>○ Performance Narrative</li> <li>○ Key Achievements</li> <li>○ Challenges, Risks, and Opportunities</li> </ul> </li> <li>• Indicator Reporting <ul style="list-style-type: none"> <li>○ Standard Indicators</li> <li>○ Custom Indicators</li> <li>○ Required-as-Applicable Indicators</li> <li>○ Cross-Cutting Indicators</li> </ul> </li> <li>• Key Issue Narratives</li> <li>• Evaluation Registry Reporting</li> <li>• USAID Forward Reporting</li> <li>• Required Documentation</li> <li>• Success Stories</li> </ul>

Table 27 – MfR Product Data Elements

# ANNEX 16: OTHER CONSIDERATIONS

In addition to the findings and conclusions that directly correspond with F's role and authority, the evaluation team identified how the Department's Organizational Structure contributes to the adoption and usage of the MfR framework. This annex describes the evaluation team's findings and conclusions in this area.

## Department Organizational Structure

**Rationale:** Multiple organizations share responsibility for the development and implementation of MfR policy and processes.

**Areas for future study:** The Department should consider the following:

- Conduct an evaluation to assess the advantages and disadvantages of having multiple organizations (e.g., F, BP) facilitate Managing for Results processes and the Department's other strategic planning process (e.g., QDDR). In the short term, MfR facilitators should consider participating in an annual offsite to identify opportunities for increased collaboration to benefit customers. This would allow the organizations to forge a unified communications and change management strategy so that they are all operating from the same playbook.
- Conduct an evaluation to assess the ability to move towards greater alignment of Foreign Assistance program and project processes between the Department of State and USAID.

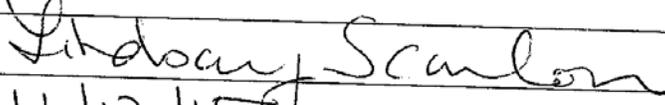
# ANNEX 17: DISCLOSURE OF ANY CONFLICTS OF INTEREST

The information below provides the requested conflict of interest disclosures for the evaluation team.

The information below provides the requested conflict of interest disclosures for the evaluation team.

<b>Name</b>	Lindsay Scanlon
<b>Title</b>	Manager
<b>Organization</b>	PwC Public Sector LLP
<b>Evaluation Position?</b>	Team Leader
<b>DoS Project(s) Evaluated</b> (Include project name(s), implementer name(s) and award number(s), if applicable)	None
<b>I have real or potential conflict of interest to disclose.</b>	No
<b>If yes answered above, I disclose the following facts:</b> <i>Real or potential conflicts of interest may include, but are not limited to:</i> <i>Close family member who is an employee of the DoS operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.</i> <i>Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.</i> <i>Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.</i> <i>Current or previous work experience or seeking employment with the DoS operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.</i> <i>Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.</i> <i>Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.</i>	N/A

I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

<b>Signature</b>	
<b>Date</b>	11/12/15

<b>Name</b>	Henry Fowler
<b>Title</b>	Senior Associate
<b>Organization</b>	PwC Public Sector LLP
<b>Evaluation Position?</b>	Team Member
<b>DoS Project(s) Evaluated</b> (Include project name(s), implementer name(s) and award number(s), if applicable)	None
<b>I have real or potential conflict of interest to disclose.</b>	No
<b>If yes answered above, I disclose the following facts:</b> <i>Real or potential conflicts of interest may include, but are not limited to:</i> <i>Close family member who is an employee of the DoS operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.</i> <i>Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.</i> <i>Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.</i> <i>Current or previous work experience or seeking employment with the DoS operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.</i> <i>Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.</i> <i>Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.</i>	N/A

I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

<b>Signature</b>	
<b>Date</b>	NOVEMBER 11, 2015

<b>Name</b>	Elizabeth Aloisi
<b>Title</b>	Senior Associate
<b>Organization</b>	PwC Public Sector LLP
<b>Evaluation Position?</b>	Team Member
<b>DoS Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)</b>	None
<b>I have real or potential conflict of interest to disclose.</b>	No
<p><b>If yes answered above, I disclose the following facts:</b></p> <p><i>Real or potential conflicts of interest may include, but are not limited to:</i></p> <p><i>Close family member who is an employee of the DoS operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.</i></p> <p><i>Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.</i></p> <p><i>Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.</i></p> <p><i>Current or previous work experience or seeking employment with the DoS operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.</i></p> <p><i>Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.</i></p> <p><i>Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.</i></p>	N/A

I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

<b>Signature</b>	
<b>Date</b>	11/10/2015

U.S. Department of State  
2201 C Street NW  
Washington, DC 20520