3D Planning Guide

Diplomacy, Development, Defense

31 July 2012

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3D PLANNING GUIDE

Executive Summary

Diplomacy, Development, and Defense (3Ds) – as represented by the Department of State (State), the United States Agency for International Development (USAID), and the Department of Defense (DoD or Defense) – are the three pillars that provide the foundation for promoting and protecting U.S. national security interests abroad.[1] The 3D Planning Group (3DPG) was chartered to develop products and processes to improve collaboration in planning among these three organizations. This updated 3D Planning Guide (Guide), is a reference tool designed to help planners understand the purpose of each agency's plans, the processes that generate them, and, most importantly, to help identify opportunities for coordination among the three. It is part of a larger effort to build understanding and synchronize plans to improve collaboration, coordination, and unity of effort.

Although sharing the highest-level strategic guidance document – the National Security Strategy (NSS) – State, USAID, and DoD face significant hurdles to ensure their plans are based on shared assessments of conditions, are appropriately aligned, and account for each other's priorities and plans. While all three organizations seek to promote U.S. national security, their planning perspectives and approaches are derived from their distinct missions, roles, legal authorities, and congressional interests and earmarks with their attendant responsibilities. As a result, each of them has created distinct frameworks, processes, terminology, and planning cultures.

To begin bridging the gaps between the three planning communities, this Guide summarizes each of the 3Ds' approach to planning and suggests potential directions for collaboration. It presents the different kinds of planning purposes, approaches, and processes currently in use, and describes the next steps in 3D planning.

In a 3D context, plans (the products) reflect decisions undertaken during planning (the process) and communicate purpose and intended actions to stakeholders and implementers. Some processes are designed to produce plans that communicate strategic policy and broad objectives (p*olicy and strategy-oriented planning*), while others generate plans that also contain detailed resource data which becomes the basis of agency budgets (*resource-oriented planning*). These two types of planning processes focus on different periods of time: policy-oriented planning captures a mid-term and long-term perspective; resource-oriented planning tends to occur and reflect the near-term perspectives of an agency.

[1] USAID is an independent agency that receives general direction, overall foreign policy guidance, and cabinet representation from the Secretary of State.

Department of State planning is based on top-down strategic direction from the NSS and the Quadrennial Diplomacy and Development Review (QDDR), as well as bottom-up information from the field. This process defines priorities and focuses limited resources on their achievement. At the Department level, the State/USAID Joint Strategic Plan (JSP) outlines the highest-level foreign policy goals of State and USAID.[2] A transition is underway at the regional and country levels. At the regional level, Bureau Strategic and Resource Plans (BSRPs) are being replaced by Joint Regional Strategies (JRSs) – three-year documents jointly developed by State and USAID regional bureaus, which identify U.S. foreign policy and development priorities for a given region. In each country, Mission Strategic and Resource Plans (MSRPs) are being replaced by Integrated Country Strategies (ICSs) – three-year documents developed by an embassy's Country Team, which identify U.S. foreign policy and development priorities for that country. Details concerning the transition in planning processes can be found below in Section 4.1.

USAID planning depends on its country-level USAID Missions and forward-deployed American and local staff for assessment, planning, and implementation for the majority of its programs. Because development programming is tailored to the needs and challenges faced in each country, USAID Missions are empowered to develop strategic plans called Country Developments Cooperation Strategies (CDCS). Importantly, these strategies are reflective of the development agenda of the host nation itself and work to align U.S. efforts with host nation, international, and other bilateral donor programs working in the country. The CDCS, along with other inputs such as Congressional spending parameters, Presidential Initiatives, and foreign policy considerations, informs USAID's annual budget formulation process.

The CDCS is the country-owned cornerstone of USAID's Program Cycle. The Program Cycle starts with Agency policies; these set parameters for country planning and USAID partnerships with host country governments and others. Together with the Department of State and the Country Team, USAID Missions in-country develop a CDCS. Once approved, USAID Missions implement the CDCS through foreign assistance projects. These are rigorously monitored and evaluated, refining and producing evidence upon which Agency policies and country plans can be iteratively improved, driving an evidence-based approach to policy development, assistance investment selectivity, and project design and implementation. While USAID seeks to use the CDCS as its primary strategy document, USAID and State Operating Units that implement foreign assistance activities must also prepare Operational Plans (OPs) on an annual basis. An OP is an Operating Unit's programmatic proposal for the use of new foreign assistance resources available to them for a given fiscal year, and its purpose is to provide a

[2] Currently, the QDDR 2011-2016 Strategic Plan Addendum articulates the Strategic Goal Framework to address key U.S. foreign policy and national security priorities and serves as the new State-USAID JSP.

comprehensive picture for one year of how State and USAID foreign assistance resources will be used to support United States foreign assistance objectives.

The Department of Defense engages in different types of planning for different purposes, from budgeting and resource allocation to military contingencies around the world. This Guide focuses on how DoD generates plans at the global level, the regional level via its Theater Campaign Plans (TCPs), and at the country level via its Country Plans (CPs). These plans are part of a series of strategies and plans that cover differing functions, levels, and degrees of detail. Planning throughout the DoD is based on top-down strategic direction, starting with the highest-level strategic guidance: the National Security Strategy (NSS), National Defense Strategy (NDS), Guidance for the Employment of the Force (GEF), and the Joint Strategic Capabilities Plan (JSCP). While DoD planning is focused on the strategic and regional levels, the art and discipline of planning is part of a complex process that DoD uses to allocate and manage resources across the Military Departments, Defense Agencies, and other DoD Components.

The TCPs "operationalize" a Functional or Geographical Combatant Command's (GCC) strategy. Campaign plans are developed within the context of existing U.S. national security and foreign policies and are the primary vehicle for designing, organizing, integrating, and executing security cooperation activities and routine military operations; integrating their posture and contingency plans; and synchronizing these DoD plans and activities with U.S. development and diplomatic efforts. Each plan also reflects the Combatant Commander's overarching strategy. Unlike contingency plans, which are prepared in anticipation of potential combat operations and are implemented only upon high-level execution orders, GCCs execute their campaign plans continuously through their numerous security cooperation and other military activities.

Country-level plans establish the concepts, activities and resources required to achieve the GCC's objectives for that country. The plans integrate many security assistance and security cooperation authorities, activities and funding streams. The structure, contents, and review of DoD country plans are at the discretion of each GCC, and are usually developed by the GCC's in-country representative (usually the Office of Defense Cooperation or its equivalent, in conjunction with the country desk officers at GCC headquarters). Like the TCPs, country plans are in the process of maturing to meet the needs of each GCC theater strategy, but the country plans should establish the concepts by which GCC objectives for each country are to be achieved and to the extent that there are common objectives, complement the activities of State and USAID.

Collaborating in planning provides abundant opportunities for building trust and sharing information and knowledge. There are several mechanisms already available to foster greater transparency and understanding among 3D planners. Several of them, like the planning

efforts of the Department of State and the Joint Staff's Promote Cooperation (PC) process, are described in this Guide and provide additional opportunities to further collaboration and coordination.

The 3D Planning Guide is part of a larger framework of building understanding and aligning plans among State, USAID, and DoD. The 3DPG will continue its outreach program, which targets conferences, professional development programs, and other appropriate venues for promulgating 3D planning concepts, training, and educational materials. Over the longer term, the 3DPG will continue to pursue new ideas and initiatives to improve collaboration, coordination, and unity of effort among the 3Ds in order to achieve the coherence needed to preserve and advance U.S. national interests.

1. Introduction

Diplomacy, Development, and Defense (3Ds) represent the pillars of U.S. national security. Although other departments and agencies of the U.S. government certainly contribute to the nation's security, these "3Ds," represented by the Department of State (State), the United States Agency for International Development (USAID), and Department of Defense (DoD or Defense), provide the foundation for promoting and protecting U.S. interests abroad. Each represents a critical component of national security with unique roles and responsibilities. The functions performed by each of the 3Ds provide greatest value to the nation when they are complementary and mutually reinforcing. Although cooperation and coordination in planning continues to improve between the 3Ds, that improvement has relied in large part on hard work done on an ad hoc basis by individuals within each organization. There is no single reference that provides clarity on how each organization's planning processes work in practice or the touch points within these processes that 3D professionals can access to conduct planning across organizations in practical ways at the national, regional, or field level in specific countries.

Understanding how each organization conducts planning to achieve its mission is essential to greater mutual understanding and collaboration, and to achieving shared purpose and greater unity of effort. For example, strategic planning for the promotion and execution of ongoing U.S. diplomatic activities is quite different than military contingency planning for combat action against hostile nations. Planning, of course, is a complex subject with different forms and meanings at various levels in the three organizations, as will be discussed in detail throughout this guide.

2. Purpose

This reference guide is designed to help those professionals involved in planning for their respective organizations to better understand the different plans and planning processes of State, USAID, and Defense. It underscores opportunities for ongoing interface between planners as they support their parent organizations and serve as equal stakeholders in U.S. national security. This guide is designed to help planners understand the purpose of plans produced by each organization, the process to generate those plans and, most importantly, the opportunities to coordinate the planning efforts of the 3D organizations.

Purpose:

Support collaboration between State, USAID, and Defense for more informed and effective planning coordination.

3. 3D Planning Fundamentals

In order to help the 3D planning community, this Guide outlines the similarities and differences of planning documents among the 3D organizations, and where possible, new areas of commonality and potential directions for future planning. The sections that follow present the different planning processes currently in use, the plans that result from those processes, integrative planning approaches that include information on country planning (some of the most challenging aspects of planning among 3D organizations), and concludes with a section that describes the next steps in 3D planning.

It is important to acknowledge that the term "planning" connotes something different to each stakeholder. Planning is conducted differently for distinct purposes, and therefore means something different to each agency. The various perspectives and understanding of planning held by individuals in each agency add a dimension of complexity that complicates our ability to hold a common understanding of planning. This Guide seeks to clarify the differences and distinctions in each agency to fill gaps in understanding at a very basic level.

3.1 Types of Planning

Planning is a *process*. In a 3D context, the results of any planning process, documented in a plan,[3] reflect decisions undertaken during the process and communicates unity of purpose and intended actions to stakeholders and implementers. Some processes are designed to produce plans that communicate policy, priorities, and action to stakeholders (*policy and strategy-oriented planning*). Other processes generate plans that also contain detailed resource data which become the basis of agency budgets (*resource-oriented planning*). Note that these different types of planning processes focus on different periods of time; resource-oriented planning tends to occur and reflect the near-term perspectives of an agency (within a 1-4 year time period), while policy-oriented planning captures a mid-term and long-term perspective[4].

Figure 3.1 represents one way to categorize the planning processes that have commonality across the 3Ds.[5] Both policy and strategy-oriented planning and resource-oriented planning establish goals, objectives, end states, and priorities as core components. Both processes are deliberate, meaning they are cyclical, proactive, and are not used to react to a situation.

[3] Plan is used generically to describe the output of a planning process. Some organizations refer to these outputs as "strategies" or "budgets" or "operational plans."

[4] In DoD, the midterm is 5-7 years and the long-term is 7-20 year period (source 2010 QDR, p.43). While USAID shares a similar perspective, at State the midterm is 3-5 years.

[5] A third category, "response planning" is equally important but not addressed in this first version of the Guide.

Figure 3.1: 3D Planning and Guidance

	Policy and Strategy-Oriented Planning/Guidance		***Resource-Oriented Planning/Guidance***	
Characteristics	-Group of processes that generate plans that communicate unity of purpose and intended actions of stakeholders -Deliberate, cyclical, proactive -Core components: Goals, Objectives, Endstates, Priorities -Contains policy direction -Does not contain resource requirements		-Group of processes that generate plans that communicate unity of purpose and intended actions of stakeholders AND contains budget data -Deliberate, cyclical, proactive -Core components: Goals, Objectives, Priorities, Performance Targets, Resource Requirements -Contains policy direction	
	Global / Functional / Capstone	***Geographic***	***Geographic***	***Functional***
State	-Quadrennial Diplomacy and Development Review -State/USAID Joint Strategic Plan -Joint Regional Strategies -Functional Bureau Strategies -Integrated Country Strategies		-Bureau Resource Requests -Mission Resource Requests -Operational Plans -Performance Plans and Reports	
USAID	-Agency Policy Framework -Agency Policies and Strategies	Country Development Cooperation Strategies	-Operational Plans -Performance Plans and Reports	-Presidential Initiative Plans -Performance Plans and Reports
DoD	-Guidance for Employment of the Force -Joint Strategic Capabilities Plan	-Theater Campaign Plans -Theater Posture Plans -Country Plans -Contingency Plans -Global Campaign Plans -Campaign Support Plans	-Defense Planning Guidance -Global Force Management Implementation Guidance	

The most significant difference between the two types of processes is their relationship to the U.S. government (USG) budget process. Resource-oriented planning

produces plans with the resource requirements identified to implement the plan. Those requirements feed the agency's budget development process. Plans that result from policy and strategy-oriented processes do not contain resource requirements, but often help guide a separate budget planning and alignment process.[6]

Dividing the planning processes functionally and geographically by agency, and adding the resultant plans, begins to illustrate the relationship between the most common plans among the 3Ds. Identifying these relationships is an important first step to help the 3D planning community understand the type and purpose of the various plans they may encounter. The plans listed in Figure 3.1 are not all-inclusive, but represent plans addressed specifically in this guide. For other types of plans that planners may encounter, see Appendix 3.

4. 3D Plans, Planning Processes, and Opportunities for Synchronization

4.1 Department of State[7]

The 2010 Quadrennial Diplomacy and Development Review (QDDR) set forth a series recommendations to elevate and improve strategic planning at the Department of State. Their aim was to ensure budgets support strategic priorities; improve monitoring and evaluation systems; and streamline and rationalize planning, budgeting, and performance management processes.

In 2011, the Department began putting into effect the QDDR's recommendations by redesigning its process for planning and budgeting. Under the new design, strategic planning and budget formulation are now separate but closely connected and mutually reinforcing processes. Multi-year State/USAID regional strategies will inform multi-year interagency country ones (top-down). In turn, annual country-level budget requests (informed by the multi-year strategies) will inform yearly bureau-level ones (bottom-up).

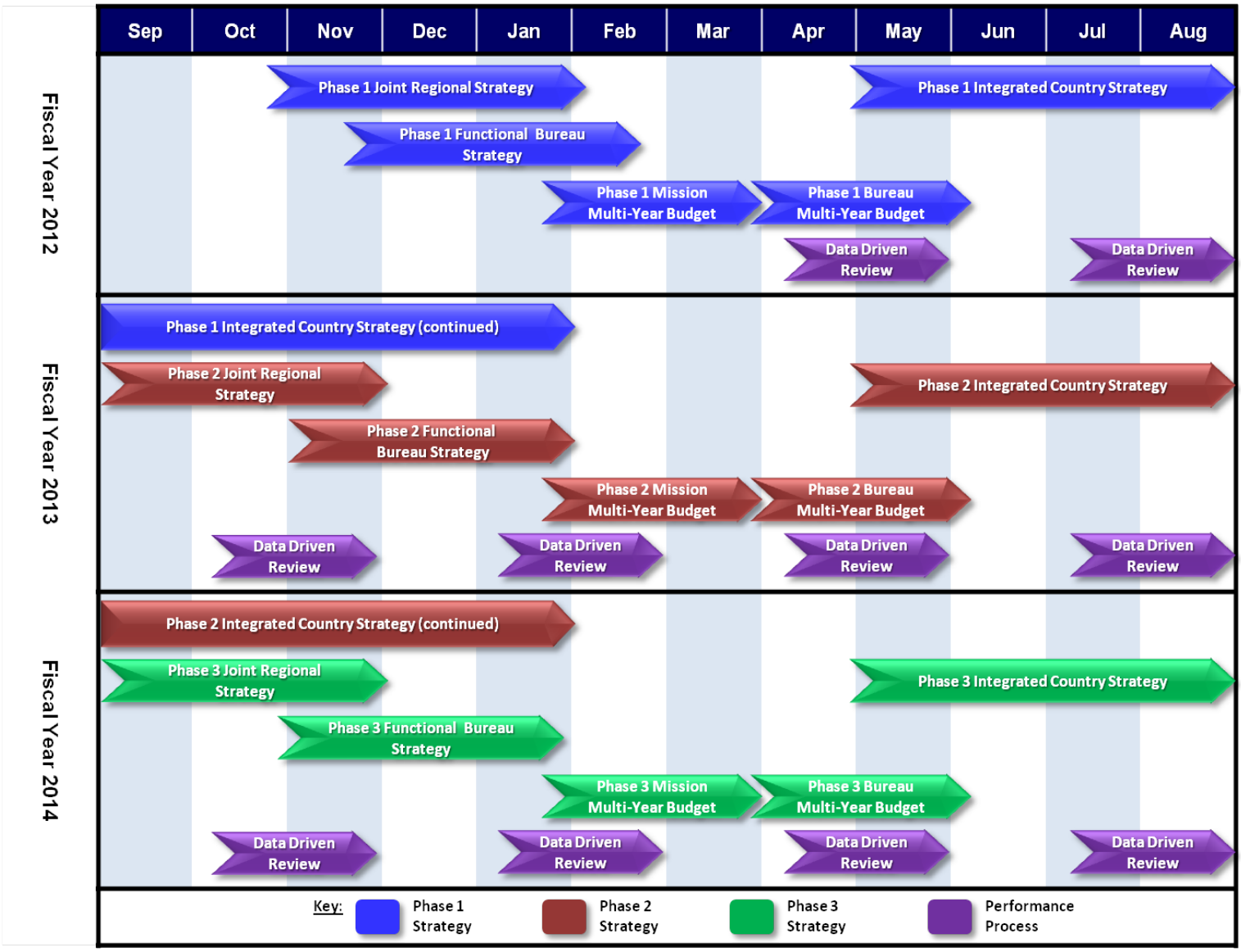
The first phase of implementation of these changes, which began late in 2011 in two regional bureaus each at the Department and USAID, is ongoing in several functional bureaus at the Department, and will begin in selected Missions later in 2012. Over the

[6] DoD's PPBES process requires a view of defense resources of the Future Years Defense Program (FYDP). The FYDP is the program and financial plan for the Department of Defense as approved by the Secretary of Defense. The FYDP arrays cost data, manpower, and force structure over a 6-year period (force structure for an additional 3 years), portraying this data by major force program for DoD internal review for the program and budget review submission. It is also provided to the Congress in conjunction with the President's budget. (Source: DoD Financial Management Regulation 7000.14-R)

[7] Throughout this Guide, the terms Post, Mission, Embassy, and Country Team are used interchangeably to denote U.S. establishments abroad conducting diplomatic relations; they are also referred to as "the field." A Post is any Foreign Service establishment maintained by the United States abroad and designated as a Mission, a Consular Office, or given a special designation for particular purposes. A Mission is any Post designated as an Embassy or a Legation and maintained to conduct normal continuing diplomatic relations. The Country Team serves as an Ambassador's "cabinet" and consists of the senior representative from each State section and each agency represented at Post. (Source: Department of State Foreign Affairs Manual, 2 FAM 111.2).

next two years, two more phases will follow to transition the remaining Department Bureaus and Missions to the new processes. In the interim, Bureaus and Missions awaiting implementation will rely on the annual Mission and Bureau Resource Request process to update their objectives as needed. What follows is an overview of the Department's new strategic planning processes.

Figure 4.1: The Department of State's New Strategic Planning Process



4.1.1 The State/USAID Joint Strategic Plan

Purpose: The Government Performance and Results Act (GPRA) Modernization Act, P.L. 111-352, requires federal agencies to produce comprehensive strategic plans

every quadrennium that look forward no less than four years. Since 2004, State and USAID have produced a joint strategic plan. The State/USAID Joint Strategic Plan (JSP) is the highest-level strategic framework for State and USAID and guides all planning and budgeting throughout both organizations. Currently, the 2011-2016 Strategic Plan Addendum to the 2010 QDDR serves as the new State/USAID JSP. It is available at http://www.state.gov/s/dmr/qddr/185613.htm.

Content: The key components of the current JSP are:

- The Mission Statement;
- The Pillars of Foreign Policy; and
- Joint Strategic Goals

The Pillars of Foreign Policy lay out the foundations of the Secretary's foreign policy vision by describing the ways in which the Department shall pursue it. The Joint Strategic Goals identify the most important aims the Department and USAID will pursue in response to key U.S. foreign policy and national security priorities.

Inputs: The JSP is developed through careful analysis and assessment of national-level strategic guidance – as articulated in documents such as the National Security Strategy and the Presidential Policy Directive on Global Development – by key leadership at the Department and USAID together with input from OMB and other interagency partners and stakeholders.

Outcome: A multi-year, joint State/USAID plan setting out the highest-level strategic framework to guide priority setting and resource allocation in both organizations during the next four years.

Responsible Office: The JSP is the result of close collaboration between the Department's Policy Planning Staff, Office of Budget and Planning, and Office of U.S. Foreign Assistance Resources, working together with USAID's Office of Management Policy, Budget and Performance.

4.1.2 Joint Regional Strategy (JRS)

Purpose: The JRS is a three-year regional strategy developed jointly by the regional bureaus of the Department and USAID for a particular region. It identifies the priorities, goals, and areas of strategic focus within a region. The JRS provides a forward-looking and flexible framework within which bureaus and missions prioritize desired end states, supporting resources, and respond to unanticipated events. The JRS

process is co-led by the regional Department and USAID bureaus for a given region with participation and input from relevant functional bureaus from both organizations. Missions are consulted during JRS development, as the JRS sets the general parameters that guide subsequent planning at the country level. Regional bureaus develop the JRS in the fall so that it can guide Mission-level strategic planning and resource requests during the winter-spring. Bureaus develop a new JRS every three years, but have the ability to adjust it in interim years as circumstances require.

Content: The key components of the JRS are:

- Assistant Secretary/Administrator Executive Statement. The A/S and AA Executive Statement provides a brief overview of the regional context, identifies key U.S. interests in the region, and describes the relevant policy issues to address. It also provides a policy vision for the region by summarizing the ideal conditions the U.S. desires to achieve.

- *Regional Context.* The Regional Context provides a picture of the regional environment and the situation the U.S. faces. It describes key factors, trends, and forces affecting U.S. priorities and choices in the region. It also identifies the root causes of the situation or problems in the environment. The Regional Context consists of the following subsections:

    - Key Issues and Considerations;
    - Assumptions;
    - Challenges and Opportunities; and
    - Past Performance.

- *Regional Goals*. The Regional Goals describe how, given the regional context, the U.S. will prioritize its activities to achieve the desired long-term regional policy end states and vision. They are ambitious statements of the most important long-term (i.e. more than five years) outcomes the U.S. desires to achieve in the region, generally expressed as changes or improvements in the key regional context variables (political, economic, social, informational, environmental, military.) Limited in number and not ranked in relation to each other, the Regional Goals represent the most important U.S. priorities in any given region. Each Regional Goal consists of the following subsections:

    - Description of Goal and Linkage to Higher-Level Policy Priorities;
    - Rationale;
    - Key Partners and Stakeholders;

  - Trade-offs;
  - Measures of Success; and
  - Strategic Focuses.[8]

- *Management and Operational Considerations.* A brief description of any major management considerations for the region that could negatively or positively impact the realization of the vision or goals for the region as a whole, such as important changes to staff or pending reorganizations, interagency communications, operational procedures, management controls, the unveiling or retirement of key information technology systems, or others.

- *Resources*. The Resources section provides a description of planned regional trends in funding over the three year period and potential shifts in funding given the desired regional policy end states and Regional Goals. It also provides guidance to Missions about regional resource priorities to inform their decision making during their development of country-level strategies and annual budget requests.

- *References.* Provides a short, informal bibliography of the most significant policy documents alluded to in the plan.

- *Evaluation*. Provides guidance to target and time evaluations to assess the strategy and help inform future planning.

- *Optional Sections:*

  - Subregional/Country Guidance. Provides focused guidance for specific subregions and/or countries; and
  - Bureau/Functional/Sector Guidance. Provides function/sector-specific strategic policy guidance.

Inputs: Key national policies, strategies, presidential directives, or other significant articulations of policy direction (e.g. key leader speeches, statements, etc.) setting the parameters for U.S. work in the region.

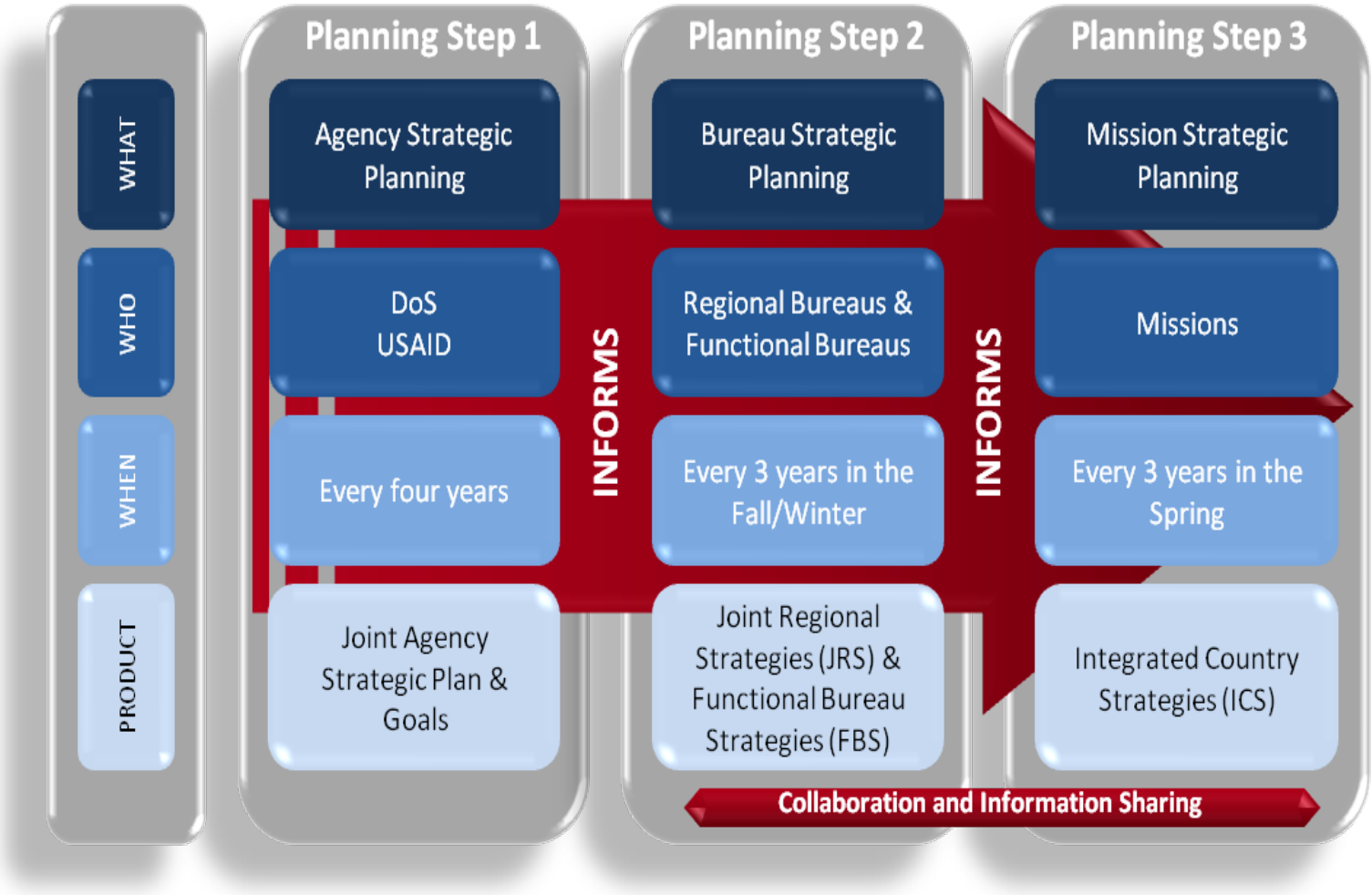
[8] One or more near-term (i.e. up to three years) schema describing concrete sets of changes that will directly or indirectly contribute to achieving the Goal and akin to objectives.

Outcomes: A three-year, joint State/USAID regional plan setting out the highest-level strategic framework to guide priority setting and resource allocation in the region in both organizations during the next three years.

Responsible Office(s): Regional Department and USAID bureaus are responsible for developing a JRS for their region ever three years with updates in the interim years as needed. The regional bureaus collaborate with key functional bureaus and stakeholders in the development of the JRS.

Opportunities for 3D Cooperation on JRS: As the JRS process is fully implemented at the Department and USAID, interested stakeholders may be able to provide input for its development.

Figure 4.2: Timeline for the Department of State Strategic Planning Cycle



4.1.3 Integrated Country Strategy (ICS)

Purpose: The ICS is a three-year country strategy developed by a Country Team for a particular country. It articulates the U.S. priorities in a given country by setting Mission Goals and Objectives through a coordinated and collaborative planning effort among State, USAID, and any other United States Government (USG) agencies under Chief of Mission (COM) authority. The Chief of Mission leads the ICS process and has final approving authority. Specifically, the ICS:

- Articulates a common set of USG priority goals and objectives in the country;
- Provides the basis for the development of the annual Mission Resource Requests (MRR); and
- Provides a tool to coordinate activities throughout the Mission.

Content: The key components of the ICS are:

- *Chief of Mission Priorities.* The Chief of Mission Priorities provides an overview that communicates USG priorities to a broad audience. It identifies the key U.S. interests in the country flowing from any relevant U.S. national strategies and Presidential Directives, agency strategies and policies, the Joint Regional Strategy, and the country team's own assessment. It also describes the conditions the United States wants the country to achieve over the long term as well as provide a concise overview of the Mission's Goals and Objectives.

- *Country Context.* The Country Context provides a picture of the geopolitical environment the Mission will face in the coming years. In a bulleted list, it identifies key planning assumptions, challenges, opportunities, and risks for the U.S. over the planning horizon. The Country Context focuses only on those aspects that are likely to have an impact on the Mission's choice of Objectives or its success in achieving them. It consists of the following subsections:

    - Assumptions;
    - Challenges;
    - New Opportunities; and
    - Risks.

- *Mission Goals.* Two to five long-term broad goals that the U.S. desires to achieve in country. Goals may be based on, or taken directly from, the applicable JRS, USAID Country Development and Cooperation Strategy (CDCS), or other higher level strategy documents.

- *Mission Objectives.* Concrete, realistic statements of desired outcome that a Mission can significantly influence in the mid-term. They reflect the specific priorities identified by the Country and serve as a guide for Mission activities in the coming three fiscal years. The Mission Objectives address areas such as consular engagement, public diplomacy, security, rule of law, development, economic statecraft, donor coordination, and other aspects important to the Mission. Mission Objectives can be cross-cutting or can focus on a single sector or type of activity, such as security. Countries with an approved USAID Country Development Cooperation Strategy (CDCS) must include the CDCS Development Objectives as Mission Objectives in the ICS. Mission Objectives are the building blocks for resource requests, performance reporting and communicating Mission priorities to all organizations under COM authority. They consist of the following subsections:

    - Justification;
    - Primary Link to Joint Regional Strategy;
    - Measures of Success;
    - Mission Objective Team; and
    - Action Plan.

    Comprised of the critical activities needed to achieve the Mission Objective, the Action Plan is the opportunity for the Mission to develop an interagency approach to cross-cutting issues in the Mission Objective and introduce new and innovative ideas for how the Mission wants to bring about positive change.

- *Enabling Objectives and Management Platform Considerations.* Enabling objectives are critical internal management priorities. This section also provides a brief description of major management considerations for the Mission that could positively or negatively impact the realization of Mission Objectives.

Inputs: U.S. national strategies and Presidential Directives, agency strategies and policies, the Joint Regional Strategy, and the country team's own assessment.

Outcomes: A three-year, USG country plan identifying the most significant U.S. national interests in a given country and describing the USG's plan to attain them.

Responsible Office(s): The Chief of Mission leads the development of the ICS. The COM involves the entire Country Team in the effort and outside stakeholders and partners as necessary.

Opportunities for 3D Coordination: The ICS is by definition a 3D document as it involves in its development Department of State, USAID, and DoD representatives in a particular country.

4.2 U.S. Agency for International Development

U.S. foreign assistance has always had the twofold purpose of furthering America's foreign policy interests in expanding democracy and free markets while improving the lives of the citizens of the developing world. USAID has been at the forefront of this effort for five decades, with a history that goes back to the Marshall Plan reconstruction of Europe after World War II and the Truman Administration's Point Four Program. In 1961, the Foreign Assistance Act was signed into law and USAID was created by executive order.

Since that time, USAID has been the principal U.S. agency to extend assistance to developing nations and those countries recovering from disaster, trying to escape poverty, and engaging in democratic reforms. USAID's work advances U.S. foreign policy objectives by supporting:

- economic growth, agriculture and trade;
- global health; and
- democracy, conflict prevention and humanitarian assistance.

USAID maintains Missions in five regions of the world:

- Sub-Saharan Africa;
- Asia;
- Latin America and the Caribbean;
- Europe and Eurasia; and
- Middle East.

It is important to note that USAID "regions" neither align exactly with those of the individual Geographic Combatant Commands of DoD, nor exactly with State regions. See Appendix 6 for a clear delineation of regions among the 3D organizations.

With headquarters in Washington, D.C., USAID's strength lies within its field offices around the world. USAID depends on its country-level Missions and forward-deployed American and local staff for assessment, planning, and implementation of the majority of its programs. Because development programming is tailored to the needs and challenges faced in

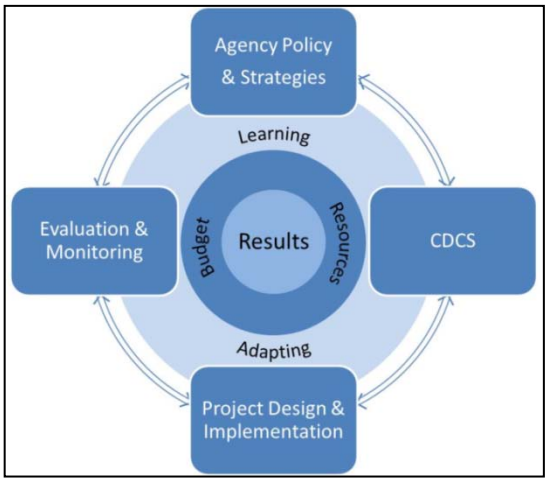
each country, Missions are empowered to develop strategic plans called Country Development Cooperation Strategies (CDCS). Importantly, these strategies are reflective of the development agenda of the host nation itself and work to align U.S., host nation, and international and bilateral donor programs also working in the country.

USAID uses a "Results Framework" for its country-level strategic planning and project design activities that builds from an established goal and development hypothesis. A development hypothesis identifies causal linkages between USAID actions and the intended Development Objectives. Project Goals are linked to Development Objectives as are lower level strategic and design elements.

Figure 4.3: Development Assistance Planning

Documents	Purpose	Frequency and Period Covered
State-USAID Joint Strategic Plan (Joint State-USAID)	Defines the primary aims of U.S. foreign policy and development assistance as well as our strategic priorities within each of those goals.	Every 4 years Period Covered: not less than 4 years
USAID Policy Framework: 2011-2015	Provide core development priorities, operational principles.	Every 5 years Period Covered: 5 years
Agency Policies and Strategies (USAID) / Joint Regional Strategies (State/USAID, as applicable) Terminology: Strategic goals, priorities, themes, regional approaches.	Presents corporate approaches and priorities for USAID's regional bureaus and technical focus areas (e.g., education, violent extremism and insurgency, health, and more).	As needed Period Covered: Generally 5 years (3 years for Joint Regional Strategy)
Country Development Cooperation Strategies (CDCS) Terminology: Development Objectives, Results Framework, Intermediate Results, Performance Management Plan	Sets longer term country-specific development assistance priorities and expected results. Developed by the field; final approval in Washington.	Every 4-6 years Period Covered: 4-6 years
Operational Plan (Joint USG) Terminology: Functional Objectives, Program Areas, Elements, Sub-Elements	Proposes 1) budget allocation below the Program Area level and 2) means of implementation. Budget, higher level narratives and key issue funding reviewed/approved in Washington.	Annual Period Covered: 1 year for budget and performance; 2 out-years for performance targets

4.2.1 USAID Program Cycle



USAID is undertaking a remarkable set of reforms to implement the Presidential Policy Directive on Global Development (PPD-6) and the Quadrennial Diplomacy and Development Review (QDDR), as embodied in USAID's Policy Framework for 2011-2015 (USAID's Policy Framework) and USAID Forward. The USAID Program Cycle embodies these guiding principles and reform efforts. It represents USAID's efforts to link policy development, strategic planning, project design and implementation, monitoring, evaluation and learning into a cohesive process that builds in evidence-based decision-making at every stage. (USAID's Program Cycle is described, and related tools made available to field managers, through the new and evolving web site http://programnet.usaid.gov/) Program Cycle Components include:

- *Agency Policies and Strategies*. Agency Policies and Strategies, which implement broader USG and State/USAID strategies, guide and inform the Program Cycle. The President's Policy Directive on Global Development (PPD-6), approved in September 2010, recognizes that development is vital to U.S. national security and is a strategic, economic, and moral imperative for the United States. The USAID Policy Framework 2011-2015 operationalizes the policy guidance presented in the PPD and QDDR, clarifies our core development priorities, explains how we will apply operational principles across our Agency's portfolio, and presents our agenda for institutional reform, known as USAID Forward.
- *Country Development Cooperation Strategies*. USAID's Country Development Cooperation Strategy (CDCS) is a multi-year, country-specific planning tool designed to make strategic choices based on evidence and analysis while encouraging innovative approaches to achieving development results.
- *Project Design and Implementation*. As part of the USAID Forward reform effort, the Agency is changing the way it approaches project design. The project design process is based on evidence and supported by analytic rigor. It raises management attention to the project level rather than post focus at the individual activity so that multiple activities work together to achieve higher-level results. The process also ensures that projects

define a clear logic and purpose, are based on evidence of what works, and develops detailed plans for evaluation, monitoring, and learning.

- *Evaluation Monitoring and Learning.* With the release of USAID Evaluation Policy in 2011, USAID made an ambitious commitment as directed in USAID Forward for quality program evaluation - the systematic collection and analysis of information and evidence about program performance and impact. USAID uses these program evaluation findings to inform decisions, improve program effectiveness, be accountable to stakeholders, and support organizational learning.

4.2.2 Country Development Cooperation Strategy (CDCS)

Purpose: USAID's primary country-level multi-year strategic plan is the CDCS. A CDCS is a five-year strategy (although it may be shorter for countries in transition) that focuses on USAID-implemented assistance, including non-emergency humanitarian and transition assistance, and related USG non-assistance tools. All bilateral missions and regional platforms are required to develop a CDCS by the end of FY 2013. Each USAID Mission, in consultation with the Chief of Mission (Ambassador), the host country government, other donors (such as the UN and other nations), and local civil society stakeholders submits a draft CDCS to Washington for review, discussion, possible revision, and approval. Once approved by the USAID regional Assistant Administrator (organizationally equivalent to an Assistant Secretary), the CDCS, along with other inputs such as Congressional spending parameters, Presidential Initiatives, and foreign policy considerations, informs USAID's assistance planning, budgeting, and

Country Development Cooperation Strategy Core Principles

- Supports U.S. foreign policy priorities
- Defines a Goal, Development Objectives, Intermediate Results, and Performance Indicators through a Results Framework and supporting narrative based on evidence and analysis
- Advances USAID's Policy Framework for 2011-2015, Agency-level policies and strategies, Presidential Initiatives, and USAID Forward
- Ensures strategic alignment with host country development priorities and promotes mutual accountability
- Takes into account the needs, rights, and interests of the country's citizens
- Focuses on achieving prioritized development results that have clear and measurable impacts
- Communicates Mission needs, constraints, and opportunities
- Defines associated human, budget, and physical resource priorities
- Serves as the basis for the annual Mission Resource Request, Congressional Budget Justification, and other assistance planning, budgeting, and reporting processes
- Represents the first step in USAID's Program Cycle, providing the strategic basis for project design and implementation, monitoring and evaluation, learning, and resource allocations

resource allocation process. Budget levels for individual countries and the sectors that that country works in (health, agriculture) are set in Washington. Those budget levels are then subdivided by Washington and the USAID Mission in-country into various specific projects (grants or contracts with various NGOs and others).

Content: The CDCS is designed to synthesize the basic development challenges that the specific country faces (poverty, corruption, HIV etc.). Then, within the context of those development challenges, it presents U.S. and host government priorities, and the roles and activities of various other donors. The CDCS then lays out the USG objectives and approaches for achieving those objectives. Specific projects are then designed by USAID staff and subsequently implemented by American, international, and local partner organizations, contractor firms, or grantees.

- **Development Context, Challenges, and Opportunities:** The CDCS describes the basic development context and challenges, and outlines the strategic rationale for how the challenges and opportunities will be addressed, reflecting relevance to U.S. national interests and priorities; relationship to country-led plans and priorities; local capacity for achieving development results; the efforts and impact of other development actors; and any regional or transnational dimensions.

- **Development Objectives (DOs)**: Based on an over-arching Goal Statement that articulates the long-term development vision for the country, the CDCS prioritizes two to three high-level development objectives (defined as the most ambitious development result that the USG can materially affect, along with its partners, and for which it is willing to be held accountable) that present an integrated, multi-sector development approach. Supporting each DO should be a limited number of priority program areas, usually implemented through projects. For focus-initiative countries, the CDCS should incorporate initiative goals as part of the development objectives. The DOs should specifically address how USG diplomatic efforts and involvement from other USG organizations or donors support achievement of the DO.

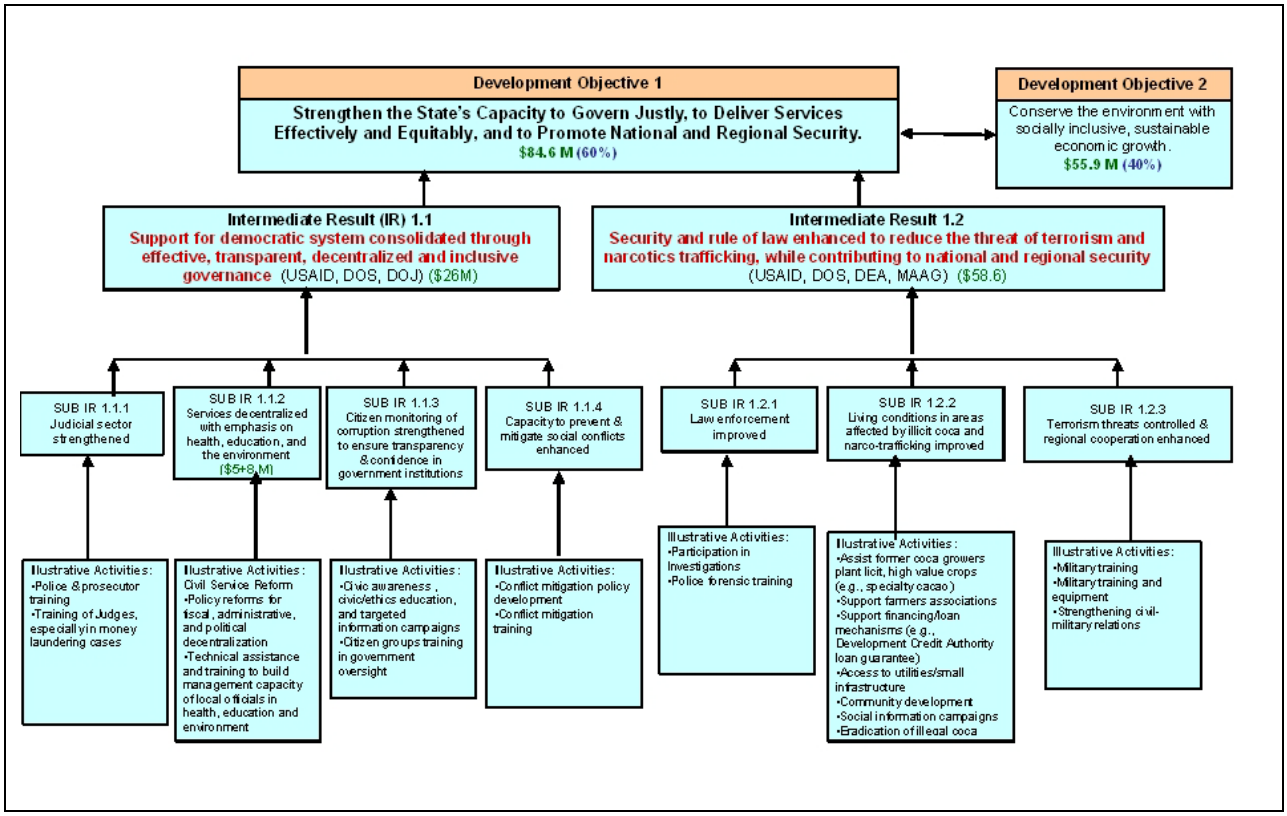
- **Results Framework:** The CDCS provides a Results Framework for each DO that is evidence-based and includes a clear statement of the desired outcomes. The Results Framework is based on an understanding of the nature and determinants of the social and economic conditions of interest (e.g., rural poverty, poor maternal and child health) and the ways in which USG activities can affect those conditions. The Results Framework includes projected intermediate results and illustrative indicators and targets linked to achieving outcomes and impacts.

- **Presidential Initiatives (Global Health Initiative, Feed the Future, and Global Climate Change):** A significant force in USAID's strategic prioritization is a

wide variety of Presidential Initiatives that the Agency is tasked to implement. The CDCS integrates individual country-based Presidential Initiative plans and strategies to ensure that these investments promote sustainable development outcomes. The largest of these is the President's Emergency Plan for AIDS Relief (PEPFAR), which has injected billions of dollars into Africa and other parts of the world where HIV is a significant threat. These are detailed later in Appendix 4 of this document, but are intrinsic to the planning process.

- **Monitoring and Evaluation:** The CDCS results framework lays out a structure for monitoring and evaluation that informs the implementation, management, and achievement of the DOs. This includes functions to review changes to the country and regional context that will affect achievement of the DO, monitor outputs and outcomes to measure program progress, and identify evaluation questions, including attention to assessing whether the critical assumptions were realized and if the development hypothesis was valid.

Figure 4.4: USAID Country-Level Strategic Planning - An Example of a USAID Results Framework as a Part of a CDCS



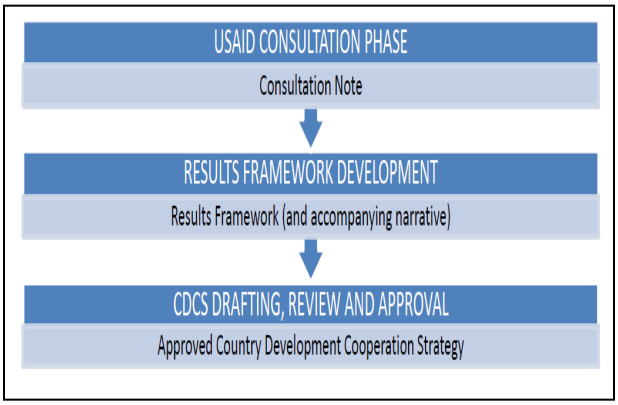
- **Resources and Priorities:** The CDCS includes, for the overall strategy and for each DO, a description of the resources required to implement successfully the proposed strategy. This description includes anticipated overall operating expense funding requirements; program-funded operational costs requirements; and anticipated staffing requirements over the life of the CDCS.

In addition to USAID-implemented assistance, the CDCS refers to other USG resources that target development programs and activities as determined by the Chief of Mission. The CDCS also includes assumptions about non-USG resources (e.g., other donors, multilateral development organizations, private foundations, and local contributions) and describes how efforts will be coordinated and contribute to an efficient division of labor.

Inputs: Current CDCS guidance calls for a three-phase development:

- *Phase 1 – Initial Consultations (estimated 2-3 weeks).* Marking the start of the CDCS process, Phase 1 includes a dialogue between Washington and the Mission to identify and discuss policy, strategy, and resource parameters and the types of analyses that will help Missions produce a strong CDCS grounded in realistic planning assumptions. During the Initial Consultations Phase, Missions determine what research, assessments, and evaluations are needed to inform the CDCS process and what support is needed from Washington to complete this step.

- *Phase 2 – Results Framework Development (estimated 2-3 months).* Phase 2 involves the Mission drafting a RF Paper based on its consultations with a full range of stakeholders and the best available evidence and analysis.



- *Phase 3 - CDCS Preparation, Review and Approval.* The USAID regional bureau planning office leads the CDCS review and approval process. The USAID regional Assistant Administrator (equivalent to an Assistant Secretary) ultimately approves the CDCS

The relevant USAID regional bureau distributes the draft CDCS to other USAID bureaus and concerned offices, to the State Office of Foreign Assistance (F) and the State regional bureau, to OMB, and to other relevant USG organizations for review and comment. Based on

comments received, the regional bureau develops an issues paper for the Mission and engages with Mission staff to discuss and resolve any issues.

The Mission Director then updates the CDCS where appropriate and submits a final strategy for the Assistant Administrator's approval. Once approved, the Regional Bureau prepares and transmits a cable that summarizes the approved CDCS as well as key issues resolved during the CDCS process for USAID staff and the Interagency and a public version of the CDCS is posted on USAID's website: http://www.usaid.gov/results-and-data/planning/country-strategies-cdcs.

Outcomes: Within each USAID Mission, there are a series of technical offices (Health, Agriculture, Democracy & Governance, etc.) responsible for the implementation of elements of the overall plan. Based upon the DOs in the CDCS, the USAID Mission undertakes a process of project design in order to implement the strategy. By developing a series of projects which are then implemented through grants, contracts or other assistance mechanisms, the Mission transfers resources to international or national non-governmental organizations (NGOs), for-profit concerns, or universities through which USAID manages implementation.

Responsible Office(s): Each USAID Field Mission is responsible for developing a CDCS in coordination with the Chief of Mission and other USG and host nation governmental and non-governmental entities.

Planning Process: The CDCS is developed at the country level as a five-year strategy document. If there is a significant shift in country priorities from the USG or a change in country dynamics due to unforeseen circumstances (example: Haiti earthquake), the document may be revised. All bilateral missions and regional platforms are required to develop a CDCS by the end of FY 2013, with the exception of those that are: (1) implementing a single sector program, such as health; (2) phasing-down or closing the Mission by FY 2014; and (3) special-purpose Missions such as those in non-presence countries.

Opportunities for 3D Coordination: The CDCS, as the primary strategic planning tool for development assistance, is flexible and can be used to incorporate assistance programming at the country level from other sources. Indeed, a component of the design process is analysis of other inputs across the development sector. As a result, it is an ideal source document for helping to inform other USG programming efforts involving development. As a result, DoD development-like activities should be designed at the country level taking the CDCS into account as a source document for guidance.

4.2.3 Operational Plans (Joint State / USAID)

Purpose: While USAID seeks to use the CDCS as its primary strategy document, USAID and State Operating Units that implement foreign assistance activities must also prepare Operational Plans (OPs) on an annual basis. An OP is an Operating Unit's programmatic proposal for the use of new foreign assistance resources available to that Operating Unit for a given fiscal year. The purpose of the Operational Plan is to provide a comprehensive picture for one year of how State and USAID foreign assistance resources received by a Mission will be used to support United States' foreign assistance objectives. OPs describe the tactics that an Operating Unit will employ to maximize the effectiveness of USG foreign assistance resources and documents the goals and objectives for the operating unit. These are entered in a database which rolls-up common indicators across country programs and Washington-based implementing offices for reporting to Congress.

4.2.4 USAID Project Design

USAID uses project design and execution as its primary mechanism for achieving its strategic objectives at the country, and at times, the regional or global level. It is important for DoD and other interagency partners to recognize that the project design/development process is a critical extension of strategic planning process embodied in the CDCS. Rigorous analysis and design is vital to USAID field staff to ensure that plans are effectively implemented and in order to ensure mutually reinforcing activities in the field.

A project is a structured undertaking of limited duration. It may consist of many activities and contributes substantively to the achievement of a DO. While projects are usually focused on individual technical areas or "sectors" (e.g., a health or democracy and governance project), multi-sectoral programs that combine efforts across a number of sectors to leverage synergies are also common.

There are multiple mandated steps in the development of a project. While guidance is currently being updated, the process is laid out in the USAID Automated Directives System (ADS) 200 series which is available online at http://www.usaid.gov/who-we-are/agency-policy.

Some of the main design components include the following:

- *Conduct Project-Level Analyses (as needed).* A variety of situational analyses may be needed as a part of the development and approval of individual projects or activities. DO Teams conduct those analyses that they conclude are needed to plan detailed and rigorous activities to achieve the intended results. It should be noted that these analyses are available to other USG organizations, or may even

be conducted by an interagency team, and can contribute to improved alignment of activities.

- **Stakeholder Analysis.** Stakeholders are those who are influenced by, and exert an influence on, those things that take place in a project, directly or indirectly. They can be individuals or organizations, and they can be either for or against a change. A survey of the project's stakeholders and their relationship to the project is an important part of the project planning process, because the different stakeholders' combined knowledge about the situation is a key to the identification of appropriate solutions.

- **Economic Analysis.** Economic analysis helps determine whether a particular development program or activity is a worthwhile investment for the country.

- **Conflict Analysis.** The systematic study of conflict in general and of individual or group conflicts in particular. Conflict analysis provides a structured inquiry into the causes and potential trajectory of a conflict so that processes of resolution can be better understood. For specific conflicts, the terms 'conflict assessment' or 'conflict mapping' are sometimes used to describe the process of identifying the stakeholders, their interests and positions, and the possibility for conflict management.

- **Financial Analysis.** Financial analysis helps determine the adequacy of funding and helps ascertain whether monetary benefits are larger than activity costs. This analysis can be used to judge whether activity results will be produced at the lowest practicable costs, and whether potential activities are financially sustainable.

- **Gender Analysis.** All projects and activities must address gender issues in a manner consistent with the findings of any analytical work performed during development of the Mission's CDCS or for project design. Findings from gender analyses, such as any recommendations to overcome potential obstacles to achieving targeted results, can help to determine how gender can be addressed in the project or activity.

- **Environmental Analysis.** Drawing upon the environmental analysis used previously during strategic planning and the information from the pre-obligation requirement for environmental impact, DO Teams must incorporate the environmental recommendations into project planning.

- *Specify the Role of Partners.* To promote improved aid effectiveness, the DO Team should ensure that it is not duplicating outputs financed by others, and that there are no critical gaps in outputs that might compromise achievement of results. In most contexts, USAID is one of several entities contributing to the achievement of development results. Host country governments, other donors, and private parties play central roles. To clarify the results being achieved and who is responsible for which results, DO Teams should acknowledge in their Results Frameworks any auxiliary or contributing results to be achieved by other donors or host country institutions, even when these are not financed by USAID. To the extent that USAID success is linked to that of other development partners, it is vital to consider whether their planned results are likely to be achieved and how results complement those of USAID.

- *Develop Logical Framework.* The Logical Framework (or "logframe") is a key project design tool that complements the Results Framework developed through the CDCS. Its methodology is based on rigorous analysis, and its end product is a measurable and monitorable design: the objectives are stated, the project hypothesis explicitly described, and indicators (or measures) of performance at each level of the project hierarchy established. When a DO Team properly uses the logframe, the logical discipline imposed by the methodology helps yield a quality project design.

    - The **causal logic** embodied in the logframe indicates that if the lower level is produced, then the level above will be achieved. The logframe extends the causal relationships to the level of inputs and outputs as follows:

    - **Inputs** are the resources the project is expected to consume in order to produce outputs—for example, supplies, equipment, office space, or technical assistance. As in the case of outputs, all the inputs that are necessary and sufficient to achieve the outputs should be identified. A complete identification of inputs is essential to preparing the budget estimate required prior to project approval.

    - **Outputs** are "a tangible, immediate, and intended product or consequence of an activity within USAID's control"—for example, people able to exercise a specific skill, buildings built, or better technologies developed and implemented. All outputs that are necessary to achieve the purpose should be identified. Because project outputs are often among the standard indicators for reporting in the Performance Report, these indicators should be used

whenever they are meaningful so that data collection is built into project design.

- The project **purpose** is the key result to be achieved by the project. It generally corresponds to one of the intermediate results of the Results Framework. It should be stated as simply and clearly as possible, as it is the focal point towards which a project team strives.

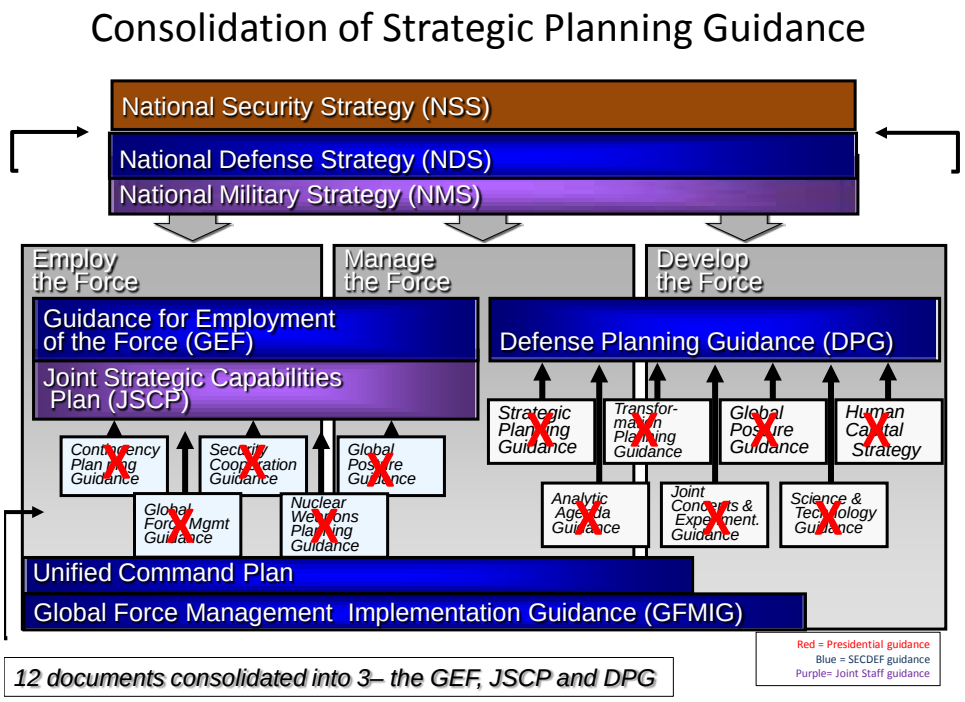
- The **goal** is usually related to the highest level result or desired outcome of a Results Framework, which is the DO, but may be narrowed to indicate more precisely which aspects of that outcome are targeted.

Care must be taken to remember that DOs generally require more than simply a string of USAID-funded activities. The Development Hypothesis and its Results Framework present all results, including those achieved by others (such as the host government, civil society, other donors); while the activities defined by logframes help to achieve important necessary outputs, these are often not sufficient to achieve the DO. For this reason, the Results Framework and the logframe should be seen to be synergistic tools.

4.3 Department of Defense

The Department of Defense (DoD) has institutionalized complex processes and support mechanisms that enable it to prepare, plan for, and conduct military operations on behalf of the nation. DoD engages in different types of planning for different purposes -- from budgeting and resource allocation to military missions. This guide focuses on how DoD generates plans at the regional level via its Theater Campaign Plans, and at country level by Country Plans. These plans are part of a series of strategies and plans that cover differing functions, levels, and degrees of detail. Planning throughout DoD is based on top-down strategic direction, starting with the highest-level authoritative documents: the National Security Strategy (NSS), National Defense Strategy (NDS), Guidance for Employment of the Force (GEF), and the Joint Strategic Capabilities Plan (JSCP). While much of the strategic guidance contained in these documents is classified, DoD's strategic approach is detailed in the NDS, and U.S. defense priorities are also provided every four years in the Quadrennial Defense Review (QDR) (http://www.defense.gov/qdr) report to Congress.

Figure 4.5: DoD Strategic Planning Guidance



The implementation of the 2010 QDR can be seen in the defense budget beginning in the FY 2010 budget cycle, which initiated the changes in various dimensions of planning, budgeting, and management in order to help DoD translate its priorities into prudent activities in an increasingly constrained budget environment. DoD's efforts to reform and rebalance continue through the out-year budget plan and bring renewed focus to preventing and deterring conflict by working with and through allies and partners, including other U.S. government organizations and other organizations.

In its most simplistic form, DoD's approach to planning is guided by the direction of the President and Secretary of Defense. Planning in DoD starts with the National Security Strategy (NSS) issued by the White House and expanded upon in overarching DoD guidance documents. The NDS influences the GEF, which provides the parameters for Combatant Commands (CCMDs) to develop their Theater Campaign Plans (TCPs). The TCPs and country-level plans generally do not contain specific personnel or other resource requirements.

While DoD planning is focused on the strategic and regional levels, the discipline of planning is a part of a complex process that DoD uses to allocate and manage resources across the Military Departments (Army, Navy, and Air Force), the Defense Agencies (Defense Security Cooperation Agency, Defense Threat Reduction Agency, Defense Intelligence Agency, etc.) and other DoD Components. DoD has separate processes for each stage of the Planning,

Programming, Budgeting, and Execution System (PPBES)[9], which is largely run from the Pentagon. Planning is a cornerstone in a dynamic mechanism that supports DoD's activities worldwide and includes input from multiple stakeholders within the DoD—including but not limited to the Office of the Secretary of Defense (OSD), the Joint Staff, Combatant Commands, the Services, and Military Departments.

4.3.1 Guidance for Employment of the Force (GEF)

The GEF provides two-year direction to combatant commands for operational planning (including campaign and contingency plans), force management, security cooperation, and posture planning. OSD uses the GEF to render NSS and NDS strategic priorities into implementable direction for operational activities. It also consolidates and integrates DoD planning guidance related to operations and other military activities into a single, overarching guidance document. The President of the United States approves the GEF-contained contingency planning guidance pursuant to his role as Commander in Chief. The GEF is an essential document for combatant command planners as it provides the strategic end states for the development of campaign and contingency planning efforts. It directs the level of planning detail required, the assumptions that must be considered, and ultimately answers the question of "how should we plan to employ our forces?" The GEF is a classified document, and while developed with input from State and USAID, it distribution is limited both during development and once approved. Like other major documents produced by a high-level headquarters, the GEF reflects efforts to shape the content and insert its priorities into the document. The various objectives, end states, and priorities are a product of the dynamic staffing process within OSD, the Joint Staff, the Military Departments, combatant commands, and other Defense Agencies, with contributions from other USG organizations. For DoD stakeholders, this process highlights key issues and is their first opportunity to synchronize perspectives and goals with 3D counterparts.

4.3.2 Joint Strategic Capabilities Plan (JSCP)

The JSCP provides military strategic and operational direction to combatant commanders (CCDRs) and Service Chiefs for preparation of operation plans (OPLANs), contingency plans, and theater campaign plans (TCPs) based on existing military capabilities. It is the primary vehicle through which the Chairman of the Joint Chiefs of Staff (CJCS) exercises responsibility to provide for the preparation of joint operation plans. Based on policy guidance and

[9] PPBES responsibilities are detailed in DoD Directive 7045.14, http://www.dtic.mil/whs/directives/corres/pdf/704514p.pdf

assignments in the GEF, the JSCP provides the link between OSD guidance and the joint operation planning activities as it details the “who” and “how” for defense planning activities.

4.3.3 Campaign Plans

Global and theater campaign plans "operationalize" combatant commands’ theater or functional strategies. Campaign plans focus on the command's steady-state activities, which include ongoing operations, security cooperation, and other shaping or preventive activities. Campaign plans provide the vehicle for linking steady-state shaping activities to the attainment of strategic end states.

Function: Campaign plans are developed within the context of existing U.S. national security and foreign policies, and are the primary vehicle for designing, organizing, integrating, and executing security cooperation activities and routine military operations, integrating their posture and contingency plans, and synchronizing these DoD plans and activities with U.S. diplomatic and development efforts. Theater campaign plans also reflect each Combatant Commander’s overarching theater strategy.

Structure: While each combatant command commander and staff organize the campaign plan differently to provide critical guidance to subordinate commands and supporting organizations in order to meet the specific needs associated with their area of responsibility, each campaign plan contains certain common elements such as:

- Strategic End States;
- Strategic Assumptions;
- Campaign Plan Priorities;
- Theater Posture; and
- Intermediate Military Objectives (IMOs).

End States: The 2010 NSS and NDS provide the foundation for the prioritized Global Strategic End States (commonly termed “end states”) delineated in the 2010 GEF. These end states are perhaps better characterized as long-term strategic goals that are of an enduring nature, operationalized, and require a sustained integration of U.S. power (e.g., Allies, friends, and partners are assured of U.S. extended deterrence commitments and capabilities).

Combatant commands pursue these end states as they develop over-arching theater or functional strategies, which they translate into an integrated set of steady state activities by means of campaign plans. This requires that Commanders prioritize their efforts across their Areas of Responsibility (AORs) or functional responsibilities. Campaign plans (which DoD is

trying to develop in collaboration with non-DoD organizations) link military engagement and security cooperation activities to current operations and contingency plans as well as broader foreign policy goals. Campaign plans also serve to integrate multiple and varied military activities as a means to improve our ability to execute CCMD contingency plans, if required, while concurrently supporting the command's broader security cooperation activities.

Unlike contingency plans, which are prepared in anticipation of conditions that call for potential combat operations and are implemented only upon high-level execution orders, combatant commands are executing their campaign plans continuously through their numerous security cooperation and other military activities focused on the global strategic end states. Thus, they are most effective when synchronized with other organizations' efforts. A recognized civilian-military challenge, however, is combatant command-U.S. country team (or regional versus country-level) planning and coordination.

Assumptions: In DoD, plans contain a specific section that outlines assumptions approved for the development of that plan. Assumptions are presuppositions on the future course of events, assumed to be true in the absence of positive proof, and necessary to enable the process of planning. The development of a set of assumptions is a critical component of planning and one that must be continually monitored and re-evaluated, as any change in the actual conditions associated with the assumptions may cause major changes in the plan.

Development and Review*:* As part of the development process, top priority plans and Theater Campaign Plans, are reviewed by the Secretary of Defense or the Under Secretary of Defense for Policy, who have Title 10 responsibility to do so. In-Progress Reviews (IPRs) occur at key stages of the plan development process. IPRs are intended to stimulate a disciplined and iterative dialogue between senior civilian and military leaders that will shape the plan, identify and understand risks, and refine or revise the plan as internal or external conditions dictate.

There are four IPRs in the planning cycle: IPR-A, IPR-C, IPR-F, and IPR-R. IPRs A through F apply to a new plan or a significantly new approach to a potential contingency. IPR-Rs facilitate periodic top-level reviews to ensure the plan continues to comport with strategic guidance, and that it remains feasible, acceptable and suitable. At any point in the planning process, the combatant command may reach out to the State Department and other federal agencies to coordinate authorities, activities or resources across the government. This outreach is important to ensuring the DoD considers all aspects of national power in its strategic-level planning documents. Additionally, commands may identify specific items in which they need assistance from another organization.

DoD has sought to incorporate an interagency dialogue into the plan development and IPR process. To date, the most frequently used vehicle for this interaction has been the Promote

Cooperation (PC) series of conferences and discussions (discussed in more detail later) which seek interagency comment – not concurrence or agreement – early in the development of selected plans. The Office of the Secretary of Defense (OSD), specifically the Office of the Deputy Assistant Secretary of Defense for Plans (ODASD(Plans)), and the Joint Staff's Joint Operational War Plans Division (JOWPD), are the primary conduits for interagency engagement with DoD planning.

Assessments: Campaign plan assessments provide the SecDef and the CJCS with the combatant command's evaluations of how past activities have contributed to progress in theater or functional end states. The GEF provides guidelines to the combatant commands for assessing progress toward end states and intermediate military objectives (IMOs), as well as assessment of the changes in the strategic or operational environment that will affect future implementation of the TCP.

4.3.4 Country Plans

The structure, contents, and review of DoD country plans are at the discretion of each combatant command, and are usually developed by the combatant command in-country representative (usually the Office of Defense Cooperation or its equivalent in conjunction with the country desk officers at combatant command headquarters). Like the TCPs, country plans are in the process of maturing to meet the needs of each combatant command theater strategy. The country plans should establish the concepts by which CCMD objectives for each country are to be achieved through integration of the many security assistance and security cooperation authorities and their associated funding streams. In reality, there is a good deal of work that remains to bring country plans to a more integrated level (i.e. the maturity of integration is theater dependent and inconsistent). Efforts are often planned and executed in isolation from one another, as well as other activities such as exercises and ongoing operations. A number of security assistance programs – including Foreign Military Sales (FMS), Foreign Military Financing (FMF), International Military Education and Training (IMET), and Excess Defense Articles (EDA) – are funded and managed by State, but are administered by DoD. Other related activities that may be incorporated into the country plan include the National Guard State Partnership Program (a Title 32 activity) and Global Train and Equip (Section 1206) Program, a DoD Title 10 authority executed in coordination with State. An updated and thorough list of security cooperation and assistance programs is contained in *The Management of Security Cooperation* published by the Defense Institute of Security Assistance Management. This document is available electronically online via http://www.disam.dsca.mil/DR/greenbook.asp. While much has been done to help de-conflict these authorities and lines of effort, there remains

a need to improve the collaborative mechanism(s) that will help leverage all elements of national power in support of U.S. interests.

4.3.5 Theater Posture Plans

The Department of Defense views posture from the global perspective, not solely a regional or country perspective. The aim of DoD's global defense posture is to meet the operational requirements of the combatant commands, while ensuring consistency in the application of defense strategies. The development and execution of Theater Posture Plans (TPPs), as a component of the TCPs, is relatively new in DoD. The purpose of the TPP is to provide a status of current existing posture, the posture demand and how current posture meets demand, identification of gaps between demand and current posture, and potential posture initiatives to address critical gaps. DoD maintains a global defense posture forum to oversee posture process, facilitate senior DoD leadership decision-making, and manage DoD implementation.

4.3.6 Contingency Plans and War Plans

The GEF guides planning within the Department, in particular the development of contingency plans. Contingency plans allow the Department to quickly respond to specific plausible scenarios, whether major theater conflict or a humanitarian disaster. They address significant changes to the assumed status quo – instances in which our steady-state activities are insufficient given an evolving incident or security situation. As such, contingency plans are considered branches to the theater and global campaign plans. War plans are developed to guide military operations in response to major theater conflict with foreign powers or other military activities as directed by the President or Secretary of Defense. These plans are continuously reviewed to ensure assumptions are adequate to meet desired USG end states. Contingency plans are classified and not shared beyond those with a "need to know" whether in DoD or other USG organizations.

The act of contingency planning can be as valuable as having an approved plan on the shelf. The ultimate goal of planning is to develop options for POTUS in advance of crisis. The planning process establishes expectations for senior leader decision making early in crisis, allows deep "what if" analysis of potential conflict scenarios, informs interagency coordination and policy making, and identifies capabilities, authorities, and resources required for execution. DoD has initiated a core interagency planning team construct consisting of regional and functional experts which can be established to support a particular contingency planning effort. The purpose of this "Core Group" is to ensure the same knowledgeable, empowered experts are

available throughout the course of the planning process for dialogue and collaboration in pursuit of resolving coordination and policy issues at the action officer level.

4.3.7 Opportunities for 3D Cooperation

There are a number of areas where 3D collaboration can be enhanced in DoD processes. An area where collaboration has increased is interagency participation at the Deputy Assistant Secretary-level in Promote Cooperation events. Future improvement in 3D integrated planning may need to address how assumptions are developed among the organizations and what actions will be taken should the assumptions become no longer valid, or assessments of starting conditions differ significantly.

Additionally, assessing the progress being made toward achievement of long-term or strategic objectives is a particularly difficult problem for which there is no easy solution, let alone a solution that is widely accepted. Ultimately, progress at the country, regional, and theater level -- whether it be diplomatic, development or defense-focused -- must be linked to the overarching national security and foreign policy strategies. Beyond that important linkage, there should be a mechanism, perhaps different in each of the 3Ds, but understood by each, that provides feedback that has utility and value to senior leaders. Within the loop of assessing, planning, and implementing (variations on this exist within each of the organizations), the lack of common assessment frameworks presents a problem: as each agency uses a different set of tools and lenses to assess problems, there is a potential to plan based upon differing assumptions. This can result in unsynchronized activity and divergent goals at the country level. This lack of synchronization can seriously dilute the overall effectiveness of the U.S. Government effort.

5. 3D Integrative Planning Opportunities and Tools

In addition to the earlier-identified opportunities for collaboration on specific planning documents, there are several mechanisms available for improving transparency and promoting greater understanding between planners and their plans. The following examples illustrate the trust, knowledge, and improved results gained from side-by-side activities around the globe.

5.1 Crisis Response, Stabilization, and Conflict Transformation

The Bureau of Conflict and Stabilization Operations (CSO) within State has been given unique responsibilities for integrated planning for crisis response, stabilization, and conflict

transformation.[10] Integrated interagency planning is intended to create unity of purpose and effort in part by providing unified decision-making and execution processes to better combine a whole of government approach for conflict transformation efforts. This approach is based on three key concepts:

- Unity of effort, based upon four principles:
    - A common understanding of the situation;
    - A common vision or goals for the mission;
    - Coordination of efforts to ensure continued coherency; and
    - Common measures of progress and ability to change course if necessary;
- Integrated interagency decision-making; and
- Engaging with the host nation and international partners.

CSO applies these principles specifically to conflict transformation planning with interagency partners in support of integrated USG efforts or integrated approaches, normally at the request of a Chief of Mission or State Department bureau. Conflict transformation focuses on countries or regions at risk for violent conflict and has included both conflict response and prevention. The integrated planning process may produce recommendations that can be integrated into existing USG planning processes, such as the State Department's Integrated Country Strategies (ICSs), USAID's Country Development Cooperation Strategies (CDCS), and the Defense Department's Combatant Theater Campaign Plans (TCPs). CSO planning also includes interagency contingency/scenario-based planning, such as the Libya Arab Spring planning efforts, which allowed the USG to examine likely challenges and solutions in crisis response efforts. This improves response effectiveness and identifies key factors to be addressed and capabilities required if the potential conflict were to occur in the future.

CSO developed an interagency process to conduct conflict transformation planning that ultimately resulted in the *Principles of the USG Planning Framework.* This framework aides senior policymakers by laying out the key principles, decision points, and processes for planning conflict and stabilization activities. The framework attempts to ensure that:

- The USG is working toward a common strategic objective;
- Whole of Government resources are applied to lines of effort that provide synergy and support desired outcomes;
- Organizations do not duplicate efforts;

[10] Formerly the Office of the Coordinator for Reconstruction and Stabilization (S/CRS).

- Gaps in planning are identified and closed;
- USG efforts are coordinated with the host-nation government, non-governmental organizations and international organizations; and
- Lessons learned are applied, especially in ensuring that assistance is targeted to mitigate drivers of conflict and to build local institutional capacity.

For more information on CSO's planning efforts, including examples, see Appendix 5.

5.2 Promote Cooperation

One established forum for interagency collaboration on DoD campaign and contingency plans is Promote Cooperation (PC). The PC events, in existence since 2000, are sanctioned by the Chairman of the Joint Chiefs of Staff.

Promote Cooperation events bring together the Department of Defense with other USG departments and agencies to influence the Joint Strategic Capabilities Plan (JSCP) directed plan development. This is achieved with focused interagency engagement through simulations, workshops, and/or facilitated events which results in closer coordination that advances broader collaborative USG plan development and eventual plan integration. The PC events tend to be most productive

The Impact of PC Events [State/PM – PC Successes]

PC events provide CCMD representatives with direct interaction with their 3D counterparts, thereby fostering a common understanding of military plans and the shared equities in those plans – particularly within the realm of steady-state operations. The utility of PCs has been demonstrated through the following outcomes:

- A PACOM PC event that focused on Noncombatant Evacuation Operations (NEOs) highlighted State's activities to track the internal situation within a country, inform and alert U.S. citizens of potential crisis, and to affect a "drawdown" of citizens and State representatives from a country prior to the need for a NEO to be conducted by the U.S. military. Military planners determined that there was a need to track, integrate with, and support these efforts in order to preclude the need for a NEO executed by the military.
- A CENTCOM Promote Cooperation event on the Iraq Country Plan (ICP) brought to light significant assumptions on the part of CENTCOM concerning the requirements for follow-on military forces post-2014 and the handover of responsibility to State Department civilian control. These assumptions were contrary to both OSD and State planning efforts and timelines. Validating/invalidating the combatant command's planning assumptions has been a key benefit derived from the PC events.
- A EUCOM Promote Cooperation focused on a regional campaign plan identified the need to conduct a separate meeting for a high profile contingency plan which the combatant command, OSD, and State all saw as potentially affecting not only the region being discussed but also other regions within EUCOM and potentially other combatant commands. The difference between State and DoD in their geographic alignment of responsibilities was compensated for by having the regional bureaus and the military combatant command in the same room, discussing common challenges.

early in the planning cycle as CCMDs begin to develop activities that correspond to GEF-directed end states.

The events are hosted by Joint Staff/J-5 in close coordination with the Office of the Deputy Assistant Secretary of Defense for Plans. In order to maintain consistency, support the chain of command internal to DoD, and so as not to overwhelm non-military organizations, the Joint Staff plans PC events on an annual basis, ensuring they are evenly distributed. The events are requested by CCMD planners and are generally held at the action officer level, with the option of holding a Deputy Assistant Secretary (DAS)-level outbrief at the conclusion of the event. Beyond networking, PC events provide an important opportunity for collaboration on planning.

5.3 Three-D Planning Group (3DPG)

State, USAID, and DoD have established a policy forum committed to strengthening and expanding comprehensive planning efforts. This body has both a standing working group and a standing steering committee of senior officials from each agency. Its charter was ratified by the principal representatives from State, USAID and DoD in February 2011. The 3DPG is focused on educating stakeholders on 3D planning, promoting dialogue among 3D planners, and improving the quality of planning processes among the 3Ds to create the conditions for collaborative 3D planning. As the foremost forum for the 3D planning community, the 3DPG will work to reduce the seams among its elements.

5.4 Country Team: Locus for Interagency Planning

At the country level, the Chief of Mission (COM) is the President's direct representative and has oversight of all U.S. Government organizations active in the country through Chief of Mission Authority. In certain circumstances, some U.S. personnel may operate in a country under Combatant Command authority, normally involving active conflict or other special considerations. Combatant Command authority is exercised in coordination with the COM. The COM relies on a "country team" made up of the senior representative from each of the U.S. Government organizations present in the country, as well as senior diplomatic and security staff from within the embassy itself. Dependent upon the size and characteristics of the U.S. presence in country, the country team will vary in size and composition. However, it is normal for USAID and DoD senior representatives in country to play a prominent role on this team.

The basic function of the country team is to advise the ambassador on bilateral relations, activities, and diplomatic priorities at the country level. In addition, coordination of the various organizations and oversight of activities is a natural function of this group. As a starting point

for 3D planning at the country level, the country team facilitates routine communication and interaction between the senior leadership of the 3Ds. At the ambassador's behest, this may be a starting point for more robust interagency planning.

For State and USAID, planning is ordinarily coordinated at the country team level; this is the level at which a substantial portion of their agency functions are performed. However, for DoD, the bulk of activities at the Department are focused on organizing, training, equipping, and supporting military forces and other defense-related entities in the execution of their assigned missions or in preparation for future combat and noncombat missions. DoD planning at the country level is constrained by a variety of challenges:

- Much of the country level planning is heavily influenced by CCMD-level considerations, as well as resource allocation decisions made by the military departments and other defense organizations that weigh priorities across all CCMDs;
- DoD country- level representation varies significantly from a single representative, such as a Defense Attaché, to a large Security Cooperation Office, e.g., Office of the Defense Representative – Pakistan (ODR-P), Military Groups ("Milgroups") in U.S. Southern Command, and the U.S. Military Training Mission (USMTM) in Saudi Arabia; and
- DoD representatives in country need to balance a number of tasks whose objectives may not necessarily be congruent, including security assistance, preparation of host nation forces to support US-led contingency operations, coordination of National Guard-sponsored State Partnership Program activities, and other DoD reporting requirements.

As a result, the development of DoD country plans and alignment of DoD country-level planning into an overall USG country plan can be difficult and quite different from one country to another.

6. Key Challenges in 3D Planning

In an ideal world, various USG organizations concerned with national security in the international arena would operate from an overarching joint strategic plan at the global, regional, and country-level to ensure alignment of the various USG efforts to support our national interests. The reality is that State, USAID, and DoD face significant hurdles to ensuring that their individual plans are based on shared assessments of conditions and appropriately aligned to account for each other's priorities and plans. There are a variety of practical factors that make aligned planning an ongoing challenge. These challenges range from differences in organizational culture and resources, to issues of communication, to incompatible timelines, to

variations in personalities. While each agency shares a common interest in promoting U.S. national security, the planning perspectives and approaches of each of the 3D organizations are derived from their distinct missions, roles, legal authorities, congressional interests and oversight, and associated responsibilities. Since the organizations have differing histories and organizational missions, the manner in which each agency exercises its responsibilities has created unique frameworks, processes, and terminology through which career professionals work to meet the demands of their respective agency.

Much of what planners do has significant consequences at the country, regional, and theater level. Those consequences, whether positive or negative, can be affected in part by the success of individual planners in communicating across agency boundaries in an informed, diplomatic manner. Successful coordination in planning results in the goals of each agency becoming mutually reinforcing – to the extent appropriate and practicable. At the very least, planners from all organizations would be well served to understand how their plans affect other organizations' plans and activities.

Assessment, Monitoring & Evaluation

All 3D organizations recognize the critical role that analysis plays throughout a planning and plan implementation/execution cycle. Some level of analysis takes place at the beginning of the planning process as well as during and after plan implementation. State and USAID refer to each of these points in time as "assessment," "monitoring," and "evaluation," respectively. DoD refers to each simply as "assessment."

This particular bit of lexicon divergence is important to highlight because the need for analysis throughout a plan's development and implementation is undisputed. But the methods and labels currently in place vary, and all planning professionals must understand these differences to be effective.

Within each organization, differences in organizational priorities result in critical differences in planning. These organizational differences can pose challenges to ensuring the alignment of the various plans.

- **Geographic focus**: While DoD emphasizes regional plans through the Theater Campaign Plans, USAID and State place a much greater emphasis on country-level planning. This can result in frustration as GCC planners have difficulty identifying State and USAID regional priorities while, conversely, State and USAID have difficulty understanding DoD's activities at the country level. The success of Integrated Country Strategies (ICSs), which are now being phased in, will depend on the robust input from all members of the Country Team.

- **Organizational understanding**: A lack of understanding by counterparts of how each of the 3Ds is structured and approaches its responsibilities can result in

misunderstandings and communication failures.

- **Resources**: Whether human, financial, or physical, the resource disparities between the 3Ds are substantial. State and USAID have far fewer people than DoD, and they are in many cases deployed at the country level. These resource disparities in quantity and location can pose challenges in communication and coordination.

- **Interagency framework**: The U.S. Government lacks a comprehensive, multi-level, institutionalized interagency framework under the authority of the National Security Council and mandated across all departments and agencies for interagency communication and collaboration in planning. For the 3Ds, this means that interagency communication and coordination may have an uneven character from one situation to another. Success may rely on a variety of exogenous factors such as personality of key players, or the size and seniority of the team at the country level.

- **Timelines**: Alignment of various planning processes relies, to a degree, on plans being developed in concert. In many circumstances, planning cycles of different organizations may not align or the plans themselves may have differing periodicity. Some are tied closely to the annual federal budget cycle, while others are essentially independent of it (e.g., strategic end states can span over a decade or more to achieve).

- **Terminology**: Among the 3Ds, there are frequently important differences in the way that basic planning terms are used. For example, one agency's "strategy" is another agency's "plan," or one agency's "goal" is another agency's "intermediate objective." Appendix 2 is a limited glossary of key terms to assist the 3D planning community in understanding and using various terms.

- **Communication**: There are two dimensions of communication that present challenges--one is human and the other technical.

    - Each of the 3D organizations communicates in different ways and with different audiences (within its organization, with other USG departments and agencies, with Congress, with its counterpart organizations in allied and friendly nations, and with other audiences, including the populace of the nations in which they are operating). 3D counterparts must be aware of the different messages that are developed and broadcast by their partner organizations as part of the programs, activities, and operations being planned.

This human factor cannot be ignored; consistency and clarity are key to successful engagement with interagency and international partners.

- Another basic difficulty faced by individuals attempting to work across the 3Ds is the lack of interoperability between the basic technical communication systems. Each of the 3D organizations handle classified documents in different organizational environments. While State and USAID personnel are able to access ClassNet (which can communicate with DoD's SIPR) for classified communications, much more of their work is accomplished on unclassified systems. While there has been increased openness and inclusiveness in DoD planning activities, many DoD plans remain closely held and classified to ensure potential and future military operations are not compromised. Alternatively, State and USAID plans are usually unclassified or "Sensitive but Unclassified" (SBU) and are more broadly available. Thus, at times, the differing systems can complicate interagency communications.

Because planning is essentially a "people process," the ability of people to successfully interact across agency boundaries is critical to the success of the process. Individual and organizational personalities, communications skills, training and education, and diplomatic abilities can play a significant role in our ability to work together. Individuals naturally reflect their own organizational bias and culture, particularly as each of the 3Ds attempt to promote and advance those programs and plans they believe to be of greatest value to their respective organization and the nation. It is incumbent on planners in each of the 3Ds to come to know and understand their counterparts and how their organizations work.

7. Conclusion

While awareness of efforts among the 3D organizations has improved over the past five years, much remains to be done to ensure that collaboration is institutionalized and coordination occurs well before difficulties arise at the country team or disconnects become apparent in the field. This Guide is just one step in an ongoing effort to bridge the gaps in the planning community – both between interagency counterparts at headquarters and their components – to the extent possible in accordance with the responsibilities and authorities of each agency.

This reference guide seeks to summarize and rationalize the complex planning environment as it currently exists in the 3D organizations. There is still much work to do in building understanding and integrating plans to improve collaboration, coordination, and unity of effort. Through the 3D Planning Group, planners will work to collaborate on integrated, country-level products that can better inform each organization's planning. Key to this effort

will be expanding the work already accomplished by the individual organizations. The 3DPG will remain focused on educating stakeholders, promoting dialogue, and improving the quality of planning processes to create the conditions for collaborative 3D planning.

Appendix 1: 3D Planning Group Points of Contact

Department of State

Bureau of Political-Military Affairs, Office of Plans, Policy, and Analysis

Office line 202 647-7775

Bureau of Conflict and Stabilization Operations

Office line 703 875-4191

U.S. Agency for International Development

Bureau of Democracy, Conflict and Humanitarian Assistance Bureau (DCHA), Office of Civilian-Military Cooperation

Office line 202 712-0332

Department of Defense

OUSD(P), Office of the DASD for Plans

Office line 703 697 5235

Joint Staff, J5

Office line 703 614-3071

Appendix 2: Key Terms / Acronyms

This section offers definitions, in some cases showing the variance between organizations for key terms like Planning and Assessment. It is not meant to be a comprehensive list, instead highlighting certain concepts and definitions that warrant further explanation.

Assessment:

1. (DoD): 1. A continuous process that measures the overall effectiveness of employing joint force capability during military operations. 2. Determination of the progress toward accomplishing a task, creating an effect, or achieving an objective. (JP 1-02)
2. (USAID): The analysis and critical evaluation of pre-existing environmental, political, sociological, cultural or other conditions or situations which would have an effect upon or influence the success of a program or achievement of a Development Objective.

Assumption: (DoD): A supposition on the current situation or a presupposition on the future course of events, either or both assumed to be true in the absence of positive proof, necessary to enable the commander in the process of planning to complete an estimate of the situation and make a decision on the course of action. (JP 1-02)

> **Critical Planning Assumption:** (State): A supposition or perception about the conditions within the country, behavior of other regional and international actors, resources or causality that, should it prove false, would dramatically change the overall strategy or impede progress towards the desired outcome. (CSO[11])

Building Partnership Capacity (BPC): (DoD): Targeted effort to improve the collective capabilities and performance of the Department of Defense and its partners. Partnership capacity includes the capability to defeat terrorist networks, defend the U.S. homeland in depth, shape the choices of countries at strategic crossroads, prevent hostile states and non-state actors from acquiring or using WMD, conduct irregular warfare (IW) and stabilization, security, transition and reconstruction (SSTR) operations, conduct "military diplomacy", enable host countries to provide good governance and enable the success of integrated foreign assistance.

Capacity Building: (Common Usage): Enabling people, organizations, and societies to develop, strengthen, and expand their abilities to meet their goals or fulfill their mandates. Capacity is strengthened through the transfer of knowledge and skills that enhance individual and collective abilities to deliver services and carry out programs that address challenges in a sustainable way. It is a long-term and continuous process that focuses on developing human resources,

[11] Whole of Government Planning and Execution Process for Reconstruction and Stabilization (1st Edition), the basis for the Level I Planner's Course.

organizational strength, and legal structures, and it involves all stakeholders including civil society. Related terms include capacity development and capacity strengthening. The latter term emphasizes the need to build upon existing capacity as much as possible. (USIP)

Civilian-Military (Civ-Mil): (Common Usage): Describes a relationship between U.S. uniformed military forces and U.S. governmental and nongovernmental civilian organizations and authorities, and the government and civilian populace of a foreign nation; most often applied at the tactical/country level and used frequently at the operational/regional level.

Civil-Military Cooperation: (Common Usage): A broad term that covers a variety of collaborative relationships between civilian and military actors in a conflict environment. Civilian actors may include government officials, staff from international organizations, and representatives of nongovernmental organizations. Civ-mil cooperation ranges from occasional informational meetings to comprehensive programs where civilian and military partners share planning and implementation. Cooperation can be controversial, as the military may see civilians as unduly complicating their mission, and civilians—especially in the humanitarian field—may think that any association with the military will compromise their impartiality and threaten their personal safety. However, most experts see civ-mil cooperation as necessary to provide the security, knowledge, and skills needed to help transform a conflict into an enduring peace. (USIP)

Civil-Military Operations (CMO): (DoD): The activities of a commander that establish, maintain, influence, or exploit relations between military forces, governmental and nongovernmental civilian organizations and authorities, and the civilian populace in a friendly, neutral, or hostile operational area in order to facilitate military operations, to consolidate and achieve operational U.S.objectives. Civil-military operations may include performance by military forces of activities and functions normally the responsibility of the local, regional, or national government. These activities may occur prior to, during, or subsequent to other military actions. They may also occur, if directed, in the absence of other military operations. Civil-military operations may be performed by designated civil affairs, by other military forces, or by a combination of civil affairs and other forces. (JP 1-02)

Conflict Prevention: (State/USAID): Civilian conflict prevention efforts identify and focus on a community, tribe, population, or country's underlying grievances and seek to address the root causes of conflict. The goal of Conflict Prevention is the promotion of sustainable, responsible, and effective security and governance in fragile states. Based on the QDDR, the mission of State and USAID with regard to crisis and conflict in fragile states is to reduce or eliminate short, medium, and long-term threats to American security and to help create opportunities for governments and their citizens to address domestic challenges themselves. (QDDR)

Conflict Response: (State/USAID): USG response to an imminent (within six months) or existing conflict in a country with stabilization and/or conflict transformation implications. The goal of Conflict Response is fostering security and reconstruction in the aftermath of conflict as a central national security objective. Based on the QDDR, the State Department has the lead on conflict response in political and security crises, with USAID leading humanitarian crises. (QDDR)

Conflict Transformation: (State): The two-pronged approach of seeking to diminish the factors that cause violent conflict and instability while building the capacity of local institutions so they can take the lead role in national governance, economic development, and enforcing the rule of law. The goal of this process is to shift the responsibility for providing peace and stability from the international community to local actors, who can sustain their roles with minimal support from external actors. Moreover, this process seeks to build capacity to move from humanitarian assistance through a transitional period to a steady state and long-term development. (CSO)

Evaluation: (USAID): Answers the "why" or "why not" of performance, as well as the "what else" question. It is used on a periodic basis to identify the reasons for success or lack of it, to assess effects and impacts, or to indicate which, among a range of program or project/activity alternatives, is the most efficient and effective. It may also be used to draw lessons for future interventions.

Foreign Disaster Relief: (DoD): Prompt aid that can be used to alleviate the suffering of foreign disaster victims. Normally it includes humanitarian services and transportation; the provision of food, clothing, medicine, beds, and bedding; temporary shelter and housing; the furnishing of medical materiel and medical and technical personnel; and making repairs to essential services. (JP 1-02)

Foreign Humanitarian Assistance (FHA): (DoD): Department of Defense activities, normally in support of the United States Agency for International Development or Department of State, conducted outside the United States, its territories, and possessions to relieve or reduce human suffering, disease, hunger, or privation. (JP 1-02)

Foreign Military Sales: (DoD): A government-to-government program managed by State's Bureau of Political-Military Affairs (PM) through which the U.S. Government sells conventional military weapons, equipment, and services to allied and friendly nations to assist them in meeting their legitimate defense requirements. Although the Department of Defense, through the Defense Security Cooperation Agency (DSCA), is responsible for implementing individual FMS cases, the Department of State must first review and approve them. DSCA forwards all FMS cases to PM, which is responsible for ensuring that they are properly reviewed within the Department for consistency with U.S. foreign policy and national security objectives.

Humanitarian Assistance:

1. (USAID): Assistance rendered to a country or population in an emergency or crisis context. This could include natural or manmade disaster response or complex humanitarian emergency.
2. (DoD): Programs conducted to relieve or reduce the results of natural or manmade disasters or other endemic conditions such as human pain, disease, hunger, or privation that might present a serious threat to life or that can result in great damage to or loss of property. Humanitarian assistance provided by U.S.forces is limited in scope and duration. The assistance provided is designed to supplement or complement the efforts of the host nation civil authorities or organizations that may have the primary responsibility for providing humanitarian assistance. (JP 1-02)

Humanitarian and Civic Assistance (HCA): (DoD): Assistance to the local populace provided by predominantly U.S.forces in conjunction with military operations and exercises. This assistance is specifically authorized by Title 10, United States Code, Section 401, and funded under separate authorities. (JP 1-02)

Indicator: (USAID): A particular characteristic or dimension used to measure intended changes defined by a Results Framework.

Instruments of National Power: (DoD): All of the means available to the government in its pursuit of national objectives. They are expressed as diplomatic, economic, informational, and military. (JP 1-02)

Interagency Coordination: (DoD): Within the context of DoD involvement, the coordination that occurs between elements of DoD, and engaged USG organizations for the purpose of achieving an objective. (JP 1-02)

Letter of Offer and Acceptance (LOA): (DoD): U.S. Department of Defense letter by which the U.S. Government offers to sell to a foreign government or international organization U.S. defense articles, defense services, and training pursuant to the Arms Export Control Act, as amended. The LOA lists the items and/or services, estimated costs, and the terms and conditions of sale; it also provides for the signature of an appropriate foreign government official to indicate acceptance.

Letter of Request (LOR): (DoD): The term used to identify a request from an eligible FMS participant country for the purchase of U.S. defense articles, services, and training. The request may be submitted in a variety of formats.

Military Departments (MILDEPS): (DoD): The departments within the Department of Defense created by the National Security Act of 1947, as amended. The Military Departments are: the Department of the Air Force, the Department of the Army, and the Department of the Navy.

Monitoring: (USAID): Reveals whether desired results are occurring and whether Development Objective (DO) outcomes are on track. It addresses the "what" of performance. Performance monitoring uses preselected indicators to measure progress toward planned results at every level of the Results Framework continuously throughout the life of an AO.

Nongovernmental Organization (NGO): (Common Usage): A private, self-governing, nonprofit organization dedicated to advancing an objective or objectives such as alleviating human suffering; promoting education, health care, economic development, environmental protection, human rights, and conflict resolution; and encouraging the establishment of democratic institutions and civil society. Some people use the term international nongovernmental organization (INGO) to differentiate those organizations that transcend national boundaries from local NGOs. Also known as private voluntary organizations, civic associations, nonprofits, and charitable organizations. (USIP)

Objective: (Common Usage): Something that one's efforts or actions are intended to attain or accomplish; purpose; goal.

> **Development Objective:** (USAID): The most ambitious result that a USAID operating unit, along with its partners, can materially affect, and for which it is willing to be held accountable. A DO is a results statement, in other words, it is a problem solved.
> **Intermediate Military Objective (IMO):** (DoD): The measurable objectives that directly contribute to the achievement of theater or functional end states. They reflect objectives achievable by the command within the 5 year timeframe of a campaign plan. (GEF 2010)

Phase Zero: (DoD): Encompasses all activities prior to the beginning of Phase I (deter/engage) of a military campaign—that is, everything that can be done to prevent conflicts from developing in the first place. Executed properly, Phase Zero consists of *shaping* operations that are continuous and adaptive. Its ultimate goal is to promote stability and peace by building capacity in partner nations that enables them to be cooperative, trained, and prepared to help prevent or limit conflicts. For the United States, this approach is typically non-kinetic and places heavy emphasis on interagency support and coordination. In many instances, Phase Zero involves

execution of a broad national strategy where the Department of Defense (DOD) is not the lead agency and its programs are only one part of the larger U.S. Government effort.[12]

Planning: (Common Usage): The process to identify appropriate results, develop approaches to reach them, assign needed resources, organize to achieve results, and identify the means to measure progress.

Integrated Planning[13]**:** (State): A systematic, iterative process for understanding a situation, identifying goals and objectives, developing courses of action, allocating resources, integrating activities in space and time, and evaluating progress towards goals. Effective planning requires assessment, coordination among stakeholders, and evaluation and adjustments during the implementation process.

Whole-of-Government Planning:

1. (State): WOG planning is an ongoing and iterative process to support decision makers in coordinating and unifying the actions of disparate actors in a given situation from the policy level down through implementation. (CSO) [14]
2. (DoD): Whole-of-government planning refers to NSC/HSC-sponsored processes by which multiple USG departments and agencies come together to develop plans that address critical challenges to U.S.national interests. The Department supports and is helping to develop the USG's whole-of-government planning capabilities. (GEF 2010)[15]

Political-Military (Pol-Mil): (Common Usage): Refers to the broad discipline of integrating diplomacy with military power to foster a stable and secure international environment; generally applied at the strategic/global level.

Public Diplomacy: (State): Programs, policies, and actions supporting the achievement of U.S. foreign policy goals and objectives, advancing national interests, and enhancing national security by informing and influencing foreign publics and by expanding and strengthening the relationship between the people and government of the United States and citizens of the rest of the world. (see also Strategic Communications)

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[12] Quoted from General Charles F. Wald, USAF, (then) Deputy Commander, U.S.European Command, "New Thinking at EUCOM: The Phase Zero Campaign," *Joint Forces Quarterly*, 4th Quarter, 2006.

[13] Source: Civilian Response Corps Functional Essential Task list, an interagency-approved document, approved December 2010 by the sub-Interagency Policy Committee for Training, Education, Exercises and Experiments (TE3 sub-IPC).

[14] Source: CSO Level I Planner's Guidebook (2nd Edition, draft for training purposes only), used as a discussion material in a whole-of-government planning course.

[15] (U) Whole-of-government planning is distinct from the contributions of USG departments and agencies to DOD planning, which remains a Departmental responsibility.

Results Framework: (USAID): A planning, communications, and management tool, which conveys the development hypothesis implicit in the DO, illustrating the cause-and-effect linkages between outputs, Intermediate Results (IR), and the DO (the final result or outcome) to be achieved with the assistance provided. A Results Framework includes the IRs necessary to achieve the outcome, whether funded by USAID or its partners. It includes any critical assumptions that must hold for the development hypothesis to lead to the relevant outcome. Typically, it is laid out in graphic form supplemented by narrative.

Risk: (DoD): Probability and severity of loss linked to hazards. (JP 1-02)

Security Assistance: A group of programs authorized by [Title 22], as amended, or other related statutes by which the United States provides defense articles, military training, and other defense-related services by grant, loan, credit, cash sales, or lease, in furtherance of national policies and objectives. State's Bureau of Political-Military Affairs (PM) develops military assistance policy and manages security assistance funding for Foreign Military Financing (FMF), International Military Education and Training (IMET), and Peacekeeping Operations (PKO). Those security assistance programs that are administered by DoD are a subset of security cooperation.

Security Cooperation: (DoD): Activities undertaken by DoD to encourage and enable international partners to work with the United States to achieve strategic objectives. It includes all DoD interactions with foreign defense and security establishments, including all DoD-administered security assistance programs, that: build defense and security relationships that promote specific U.S. security interests, including all international armaments cooperation activities and security assistance activities; develop allied and friendly military capabilities for self-defense and multinational operations; and provide U.S. forces with peacetime and contingency access to host nations. (DoDD 5132.03, 24 Oct 2008)

Security Force Assistance (SFA): (DoD): The DOD activities that contribute to unified action by the U.S.Government to support the development of the capacity and capability of foreign security forces and their supporting institutions. (JP 1-02)

Security Sector Assistance (SSA): (Common Usage): The set of policies, programs and activities the U.S. uses to engage with partners and help shape their policies and actions; help partners build and sustain capacity for security, safety and justice; and enable partners to help address common security challenges.

Security Sector Reform: (Common Usage): The set of policies, plans, programs, and activities that a government undertakes to improve the way it provides safety, security, and justice. The overall objective is to provide these services in a way that promotes an effective and legitimate public service that is transparent, accountable to civilian authority, and responsive to the needs of the public. From a donor perspective, SSR is an umbrella term that might include integrated

activities in support of: defense and armed forces reform; civilian management and oversight; justice; police; corrections; intelligence reform; national security planning and strategy support; border management; disarmament, demobilization and reintegration (DDR); and/or reduction of armed violence.

Stabilization: (Common Usage): The process of bringing about stability; or the process by which underlying tensions that might lead to resurgence in violence and a break-down in law and order are managed and reduced, while efforts are made to support preconditions for successful longer-term development.

Steady State Activities:

1. (DoD): Foundational activities, which include ongoing operations, security cooperation and other shaping or preventive activities. (GEF 2010)
2. (Common Usage): Those day-to-day activities executed overseas by United States Government entities to create conditions favorable to the United States exclusive of combat activities.

Strategic Communication: (DoD): The focused USG efforts to understand and engage key audiences to create, strengthen, and preserve conditions for the advancement of USG interests, policies, and objectives through the use of coordinated programs, plans, themes, messages, and products synchronized with the actions of all instruments of national power. (JP 5-0; see also Public Diplomacy)

Strategic End States: (DoD): Broadly expressed conditions designed to guide the Department's employment of the force in pursuit of National Security Strategy and Defense Strategy aims. Strategic end states assist planners in determining how to apply resources (forces, time, funding and level of effort). In most cases, strategic end states reflect long term goals that cannot be achieved during the life of the 2010 GEF or a single campaign plan. Additionally, most end states exceed a command's capability to achieve alone and can only be achieved through integrated USG effort. (GEF 2010)

Strategy:

1. (DoD): A prudent idea or set of ideas for employing the instruments of national power in a synchronized and integrated fashion to achieve theater, national, and/or multinational objectives. (JP 1-02)
2. Views of where strategy ends and tactics begin differ between organizations. USAID views its basic strategic planning unit to be at the country level through the CDCS.

Unity of Command:

1. (DoD): The vesting of a single commander with the requisite authority to direct and coordinate the actions of all forces employed toward a common objective. Unity of command obtains the unity of effort that is essential to the decisive application of all available combat power. Subordinates are then focused on attaining the overall objectives as communicated from a single commander. In turn, this fosters freedom of action, decentralized control, and initiative. (MCWP 3-1)[16]
2. (Common Usage): Hierarchical organization principle that no subordinate should report to more than one boss.[17]

Unity of Effort:

1. (DoD): 1. Coordination and cooperation toward common objectives, even if the participants are not necessarily part of the same command or organization - the product of successful unified action. (JP 1-02)
2. (State): A cooperative concept, which refers to coordination and communication among USG organizations toward the same common goals for success; in order to achieve unity of effort, it is not necessary for all organizations to be controlled under the same command structure, but it is necessary for each agency's efforts to be in harmony with the short- and long-term goals of the mission. (CSO)[18] Unity of effort is based on four principles:

1. **Common understanding** of the situation
2. **Common vision or goals** for the R&S mission
3. **Coordination of efforts** to ensure continued coherency
4. **Common measures of progress** and ability to change course if necessary (CSO)[19]

Unity of Purpose: (Common Usage): 1. Coordination and cooperation among civilian and military actors from one or more nations toward mutually agreed, common objectives or outcomes. 2. Authorities, institutions, processes, and other means that can be used to direct all elements of national power in pursuit of a common understanding of the situation and common vision or goals for the mission.

[16] MCWP 3-1: Ground Combat Operations.

[17] http://www.businessdictionary.com/definition/unity-of-command.html

[18] Whole of Government Planning and Execution Process for Reconstruction and Stabilization (1st Edition).

[19] Whole of Government Planning and Execution Process for Reconstruction and Stabilization (1st Edition).

APPENDIX 3: Types of Planning

Other Types of Planning

Type of Plan	*Description of Output*	*Examples*	*Approval*	*Level*
Functional/Topical Plans	Major strategic guidance documents that define U.S.national interests in a specific functional or topical area, describe roles and responsibilities of agencies and organizations, and prioritize global and regional objectives	Counterterrorism, homeland security, maritime security, pandemic prevention/ containment	Cabinet Secretary	National Strategic
Geographic Plans	Plans that define departmental/agency goals and objectives in a region or country, provide a concept for how activities and programs will be used to achieve those goals and objectives, and prioritize the application of resources to support those activities and programs	CCMD Theater Campaign Plans and Country Plans, State/USAID Joint Regional Strategies, Integrated Country Strategies, USAID Country Development Cooperation Strategies	Cabinet Secretary, Senior Regional Official	Regional and Country
Conflict Prevention and Stabilization Plans	Plans for conflict prevention and stabilization in political and security crises. Plans define USG goals and objectives in a region or country, provide a concept for activities and programs to achieve those goals and objectives, and prioritize the resources to support the activities and programs	National Strategic Plans, Civil-Military Plans, Country Stabilization Plans (e.g., Bangladesh, Democratic Republic of Congo, Haiti, Afghanistan, etc.)	NSC, Principals Committee (PC), Deputies Committee (DC), Chief of Mission (COM) in country	National Strategic, Regional and Country
Crisis Management and Response Plan	Plans developed on short- or no-notice to deal with emergency situations, such as natural disasters, humanitarian crises, regime collapse, and unforeseen conflicts, of high priority to USG leadership	Coup d'états, Indian Ocean tsunami, Hurricane Katrina, Haiti earthquake	Lead USG agency chief	Regional and Country

APPENDIX 4: Presidential Initiatives

A variety of presidential initiatives, across administrations, have had significant influence on development assistance. Many Executive branch organizations share responsibility for implementation at the field level. For example, in the case of the President's Emergency Plan for AIDS Relief (PEPFAR) program, State, USAID and DoD have all been involved in joint planning and programming these funds.

Feed the Future (FTF): A global food security initiative, FTF calls for increased investment in agriculture and rural development as a proven lever for combating food insecurity and as an engine for broader economic growth, prosperity, and stability.

Global Climate Change Initiative (GCCI): GCCI and other climate-related USG programs will integrate climate change considerations into foreign assistance to foster low-carbon growth, promote sustainable and resilient societies, and reduce emissions from deforestation and land degradation. The Administration is working to make climate financing efficient, effective, and innovative, based on country-owned plans, and focused on achieving measurable results.

Global Health Initiative (GHI): Through the Global Health Initiative (GHI) the United States will invest to help partner countries improve health outcomes through strengthened health systems, with a particular focus on improving the health of women, newborns and children through programs including infectious disease, nutrition, maternal and child health, and safe water. The GHI aims to maximize the sustainable health impact the United States achieves for every dollar invested. The GHI will deliver on that commitment through a business model based on: implementing a woman- and girl-centered approach; increasing impact and efficiency through strategic coordination and integration; strengthening and leveraging key partnerships, multilateral organizations, and private contributions; encouraging country ownership and investing in country-led plans; improving metrics, monitoring and evaluation; and promoting research and innovation. GHI incorporates the activities of several previously independent presidential initiatives including:

President's Emergency Plan for AIDS Relief (PEPFAR): *PEPFAR* has been a major driver of health programming for USAID, State, DoD and the Centers for Disease Control for the past eight years. As a source of significant funding for a specifically-identified set of high HIV burden countries (particularly in Africa) the joint efforts of the 3Ds has been a major focus of joint, in-country programming.

President's Malaria Initiative: Launched in 2005, the President's Malaria Initiative (PMI) is a five-year expansion of U.S. Government resources to reduce the intolerable burden of malaria and help relieve poverty on the African continent. The goal of PMI is to reduce malaria-related deaths by 50 percent in 15 focus countries with a high burden of malaria by expanding coverage of four highly effective malaria prevention and treatment measures to the most vulnerable populations: pregnant women and children under five years of age.

APPENDIX 5: CSO Planning Framework & Examples

In 2005-2006, CSO (then S/CRS) developed a four-step Planning and Execution Process designed to reduce agency stove piping and support integrated interagency decision-making. This process was tested in civilian and civ-mil exercise and crisis responses between 2007 and 2008. CSO sponsors a Level I Planning Course to train civilian planners on this framework. This Planning & Execution Process presents planners with a common method and terminology to work together with their partners in different USG departments, agencies, and State bureaus to support conflict transformation efforts.

- *Initial Guidance & Parameter Setting* – frames the problem, understands that planning task and organizes the planning effort.
- *Situation Analysis & Assessment* – develops a common understanding of the environment in-country that serves as the unifying starting point for further planning and execution, and continues to maintain and update that analysis and assessment during execution of conflict transformation efforts.
- *Strategy & Operational Plan Design* – develops the strategy to address the problem, defines the overarching concept for what the USG is seeking to achieve, and provides the necessary guidance and direction to execute that concept.
- *Execution* – the process of coordinating and monitoring implementation of the plan.

Since its inception in 2004, CSO has adapted and applied this process to meet the needs of multiple Missions across the globe. Two examples of successful applications of CSO's interagency processes aimed at an integrated approach in conflict transformation planning are Bangladesh (2008-2011), a steady-state, permissive environment, and Afghanistan (2007-2012), an environment with active violent conflict. Both instances have benefited from strong, ongoing support and engagement from senior leadership, who empowered CSO members and motivated their already on-site personnel to take advantage of expeditionary and planning capabilities.

CSO planning can be conducted along the spectrum of conflict, before, during, and after. These can involve *conflict* prevention planning before a potential outbreak of violence occurs, an example of which is CSO's work on the Central African Republic. CSO can support *contingency planning* and/or *crisis response* before and during a conflict. CSO conducted these sorts of planning in the cases of Libya and in response to the Haiti earthquake. Then during and after a conflict, CSO can provide *stabilization planning*, such as in Afghanistan or Sudan. These CSO plans are predicated on a strong, locally driven analysis of the drivers and mitigators of violent conflict.

CSO has conducted additional integrated planning engagements at Secretary of State, State bureau or Chief of Mission (CoM) request for the following countries: Cote d'Ivoire, Democratic Republic of Congo, Haiti, Georgia, Kosovo, Kyrgyzstan, Lebanon, Nepal, Pakistan, Sri Lanka, Timor Leste, Uganda, Yemen, and others.

Conflict Response Planning: USG Integrated Civilian-Military Campaign Plan for Support to Afghanistan

On February 7, 2011, Ambassador Eikenberry and General Petraeus signed the first annual revision to the Integrated Civ-Mil Campaign Plan (ICMCP) for Afghanistan and a second revision is underway. Building on the original August 2009 ICMCP, the revised plan provides strategic direction from the U.S. Chief of Mission and the Commander of U.S. Forces-Afghanistan (USFOR-A) to American personnel in Afghanistan, integrating joint and interagency priorities and strategies towards a common mission. The ICMCP also informs and provides strategic guidance to other mainstream Embassy and USAID mission planning processes, such as Embassy Kabul MSRP, Afghanistan CDCS and the USAID/State Afghanistan Operational Plan.

Strategic planning at Embassy Kabul, including the ICMCP, is led by the Civilian-Military Plans and Assessments sub-section (CMPASS) of the Political-Military section of the Embassy. CSO planners lead and staff the CMPASS team as well as support implementation of the ICMCP both in Kabul and in the field. In the Interagency Provincial Affairs (IPA) office, CSO planners focus on operational planning to synchronize the interagency civilian uplift with operational priorities of ISAF Joint Command (IJC) and USAID stabilization programming. In the field, CSO planners fill permanent civ-mil planner positions at three regional platforms: RC-East, RC-South, and RC-Southwest. Afghanistan remains the longest and largest CSO engagement; since 2007, CSO has deployed over 100 personnel from six different agencies in support of over 20 missions, as requested by Embassy Kabul and the International Security Assistance Force.

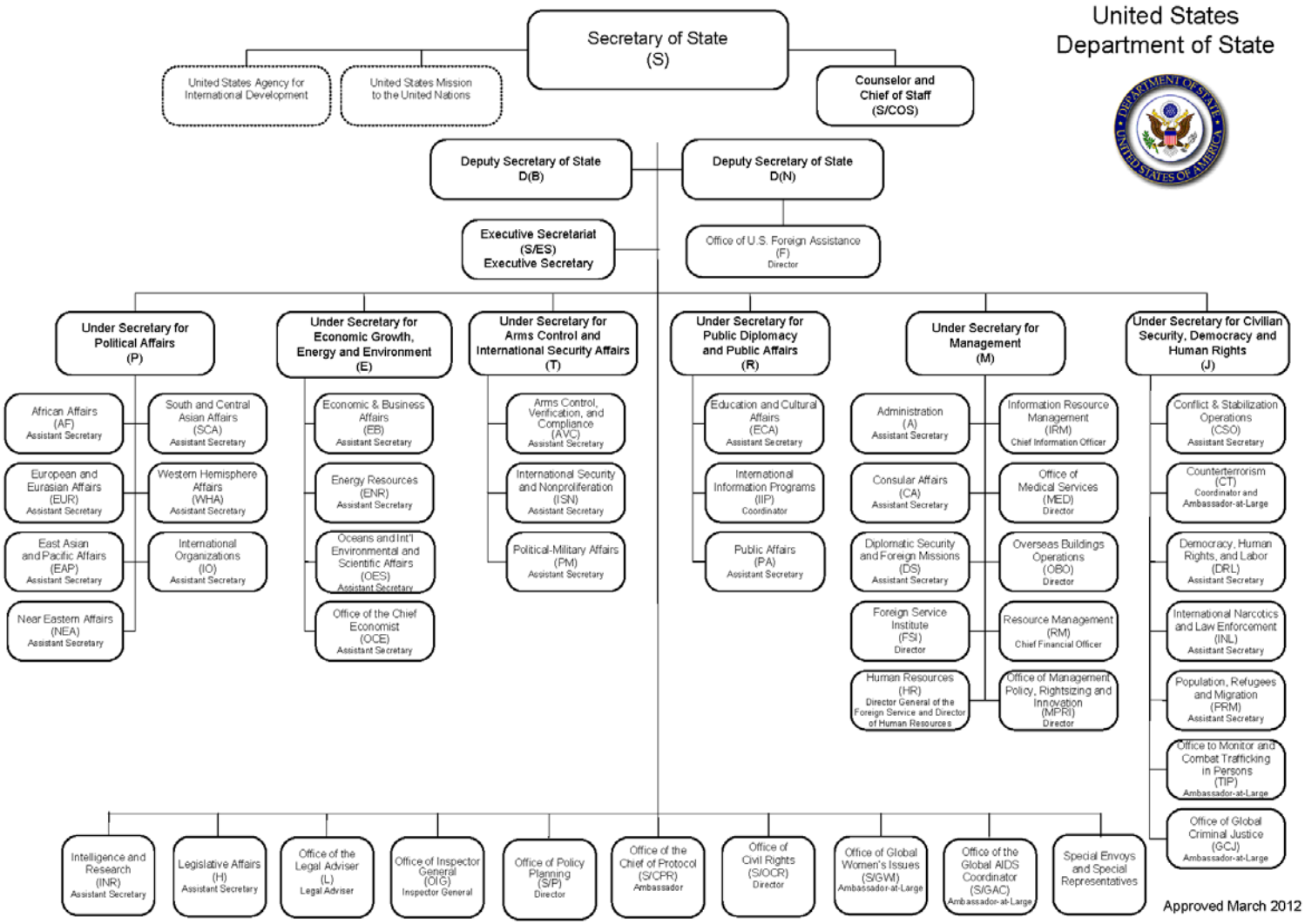
Conflict Prevention Planning: Interagency Three-Year Strategic Plan for Bangladesh

In January 2009, the U.S. Ambassador to Bangladesh requested CSO support in facilitating an interagency strategic planning process during a critical time when the country faced risks of instability surrounding the transition from a military-supported caretaker government to a democratically-elected administration. CSO deployed a team to facilitate a strategic planning and assessment process with all the agencies/departments at the embassy (including DoS, DoJ, DoD and USAID). The process resulted in an integrated Three-Year Strategic Plan for Bangladesh, which aimed to create a whole of government approach to support long-term stability and advance other U.S. foreign policy objectives. The Plan informed and continues to inform the Embassy's MSRPs.

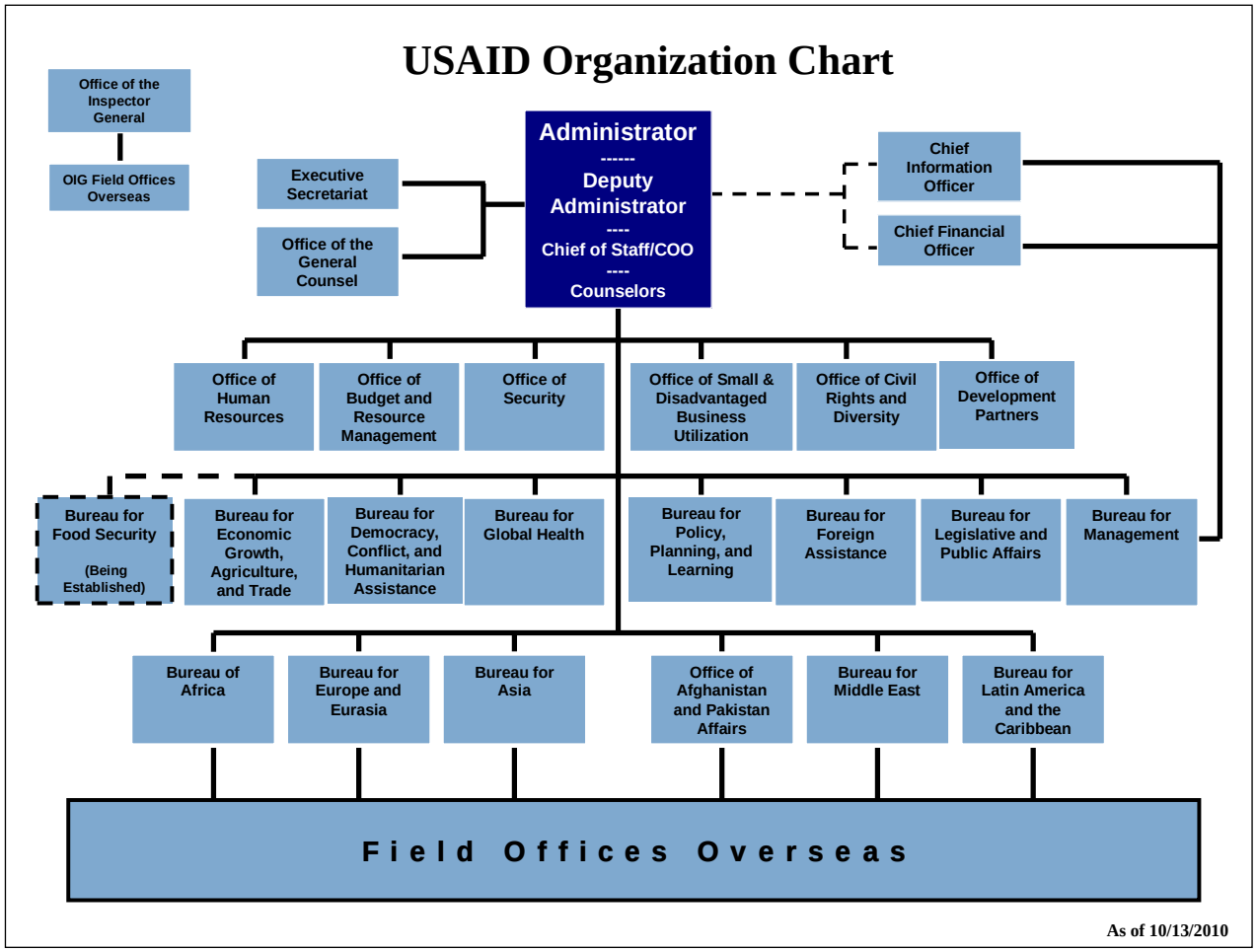
In late 2009 and again in 2010, Embassy Dhaka requested that CSO return to lead a reassessment of the Strategic Plan and assist in making any necessary adjustments. During this process, CSO worked with the Embassy's interagency working groups responsible for carrying out the Plan's strategic objectives. These working groups meet on a regular basis, periodically assessing changes in the environment and critically evaluating strategic-level progress. The Bangladesh case is an example where an effective CSO-led assessment and planning process has been fully-adopted by the embassy, resulting in enhanced interagency coordination and a more proactive approach to conflict prevention.

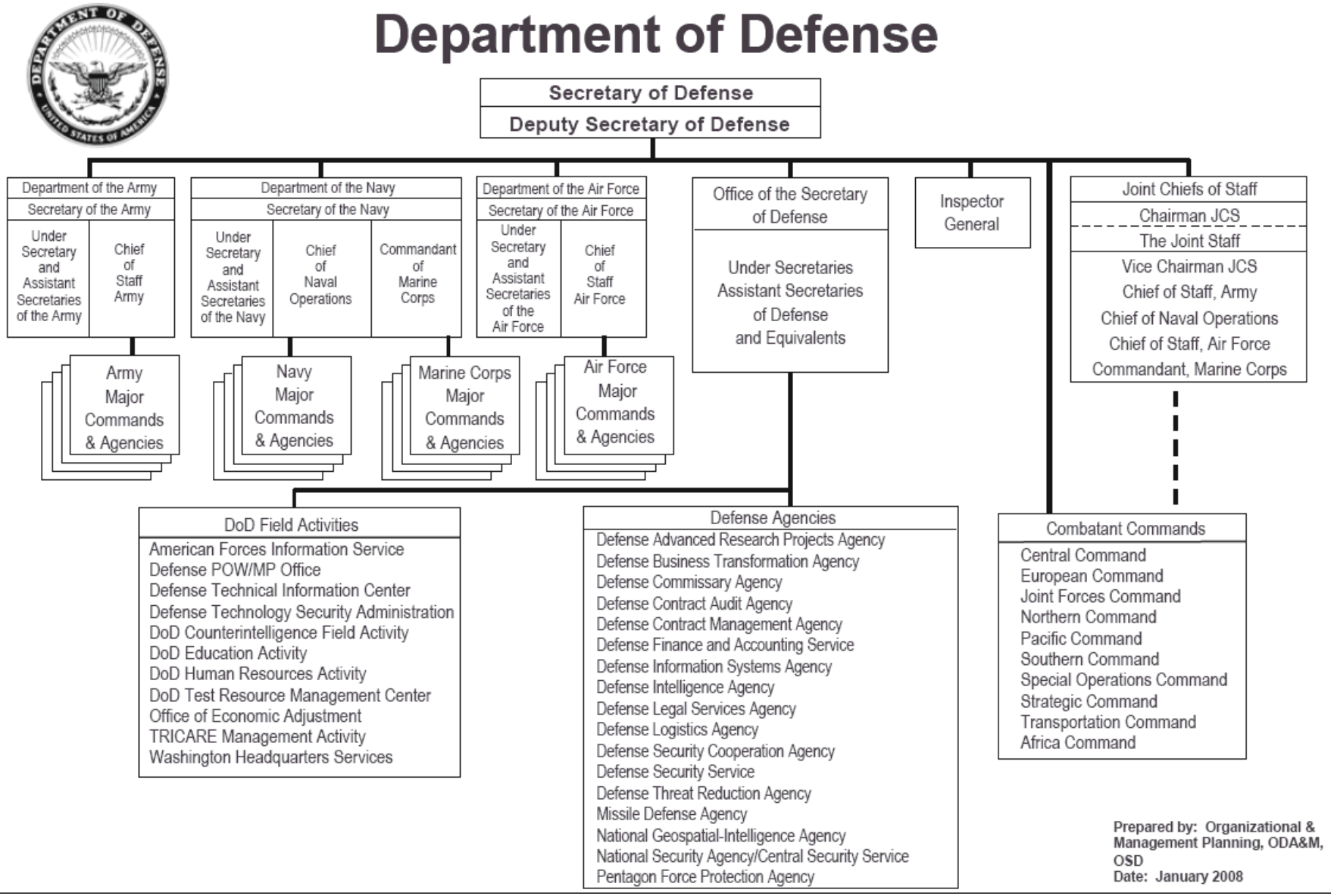
Appendix 6: Organizational Charts / Maps

- Department of State
- U.S. Agency for International Development
- Department of Defense
- CCMDs' and Regional Bureaus' Geographic Areas of Responsibility


United States Department of State
Secretary of State (S)
United States Agency for International Development
United States Mission to the United Nations
Counselor and Chief of Staff (S/COS)
Deputy Secretary of State D(B)
Deputy Secretary of State D(N)
Executive Secretariat (S/ES) Executive Secretary
Office of U.S. Foreign Assistance (F) Director
Under Secretary for Political Affairs (P)
Under Secretary for Economic Growth, Energy and Environment (E)
Under Secretary for Arms Control and International Security Affairs (T)
Under Secretary for Public Diplomacy and Public Affairs (R)
Under Secretary for Management (M)
Under Secretary for Civilian Security, Democracy and Human Rights (J)
African Affairs (AF) Assistant Secretary
South and Central Asian Affairs (SCA) Assistant Secretary
European and Eurasian Affairs (EUR) Assistant Secretary
Western Hemisphere Affairs (WHA) Assistant Secretary
East Asian and Pacific Affairs (EAP) Assistant Secretary
International Organizations (IO) Assistant Secretary
Near Eastern Affairs (NEA) Assistant Secretary
Economic & Business Affairs (EB) Assistant Secretary
Energy Resources (ENR) Assistant Secretary
Oceans and Int'l Environmental and Scientific Affairs (OES) Assistant Secretary
Office of the Chief Economist (OCE) Assistant Secretary
Arms Control, Verification, and Compliance (AVC) Assistant Secretary
International Security and Nonproliferation (ISN) Assistant Secretary
Political-Military Affairs (PM) Assistant Secretary
Education and Cultural Affairs (ECA) Assistant Secretary
International Information Programs (IIP) Coordinator
Public Affairs (PA) Assistant Secretary
Administration (A) Assistant Secretary
Consular Affairs (CA) Assistant Secretary
Diplomatic Security and Foreign Missions (DS) Assistant Secretary
Foreign Service Institute (FSI) Director
Human Resources (HR) Director General of the Foreign Service and Director of Human Resources
Information Resource Management (IRM) Chief Information Officer
Office of Medical Services (MED) Director
Overseas Buildings Operations (OBO) Director
Resource Management (RM) Chief Financial Officer
Office of Management Policy, Rightsizing and Innovation (MPRI) Director
Conflict & Stabilization Operations (CSO) Assistant Secretary
Counterterrorism (CT) Coordinator and Ambassador-at-Large
Democracy, Human Rights, and Labor (DRL) Assistant Secretary
International Narcotics and Law Enforcement (INL) Assistant Secretary
Population, Refugees and Migration (PRM) Assistant Secretary
Office to Monitor and Combat Trafficking in Persons (TIP) Ambassador-at-Large
Office of Global Criminal Justice (GCJ) Ambassador-at-Large
Intelligence and Research (INR) Assistant Secretary
Legislative Affairs (H) Assistant Secretary
Office of the Legal Adviser (L) Legal Adviser
Office of Inspector General (OIG) Inspector General
Office of Policy Planning (S/P) Director
Office of the Chief of Protocol (S/CPR) Ambassador
Office of Civil Rights (S/OCR) Director
Office of Global Women's Issues (S/GWI) Ambassador-at-Large
Office of the Global AIDS Coordinator (S/GAC) Ambassador-at-Large
Special Envoys and Special Representatives
Approved March 2012

United States Agency for International Development

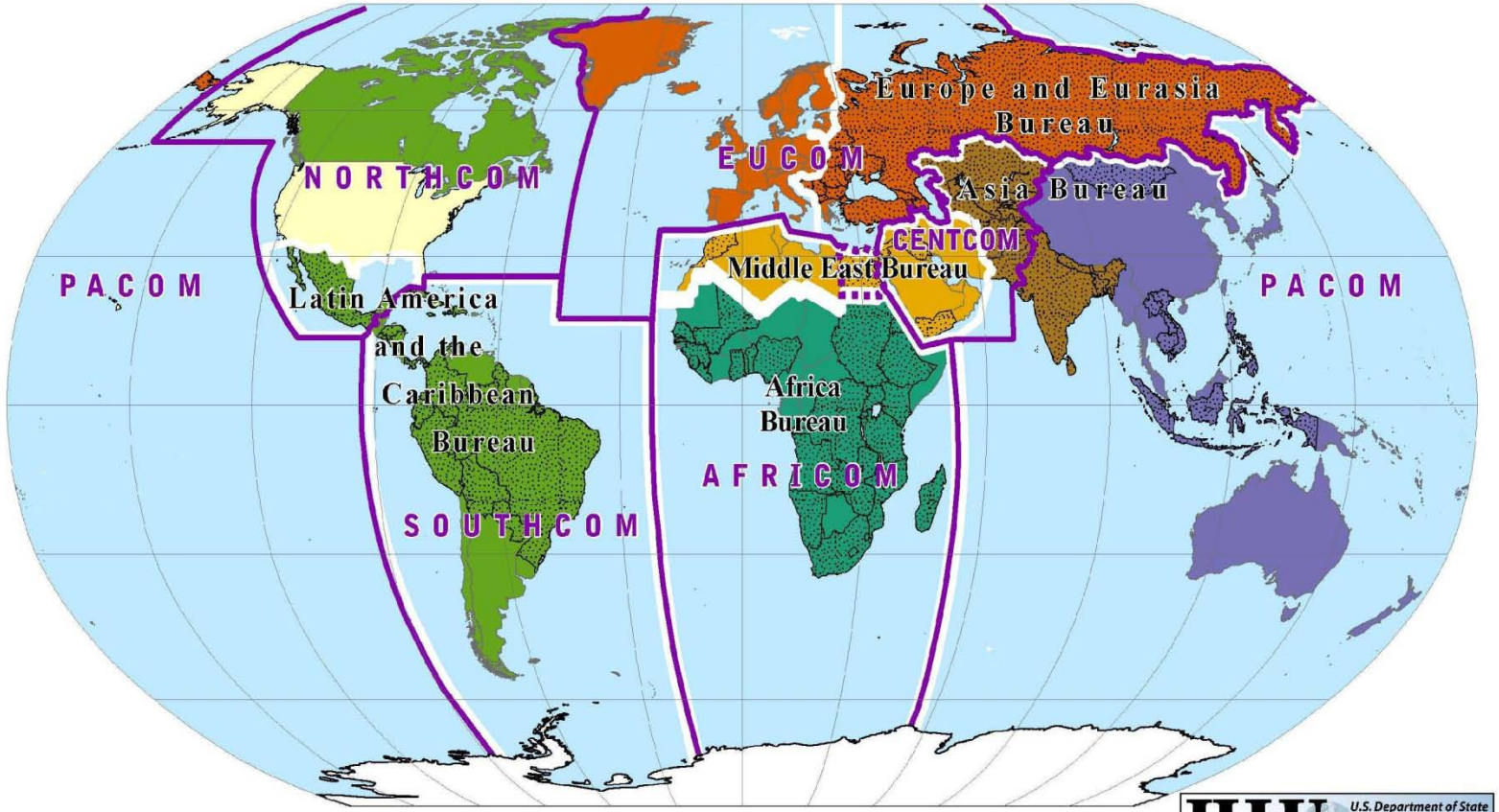



Department of Defense
Secretary of Defense
Deputy Secretary of Defense
Department of the Army
Secretary of the Army
Under Secretary and Assistant Secretaries of the Army
Chief of Staff Army
Army Major Commands & Agencies
Department of the Navy
Secretary of the Navy
Under Secretary and Assistant Secretaries of the Navy
Chief of Naval Operations
Commandant of Marine Corps
Navy Major Commands & Agencies
Marine Corps Major Commands & Agencies
Department of the Air Force
Secretary of the Air Force
Under Secretary and Assistant Secretaries of the Air Force
Chief of Staff Air Force
Air Force Major Commands & Agencies
Office of the Secretary of Defense
Under Secretaries
Assistant Secretaries of Defense and Equivalents
Inspector General
Joint Chiefs of Staff
Chairman JCS
The Joint Staff
Vice Chairman JCS
Chief of Staff, Army
Chief of Naval Operations
Chief of Staff, Air Force
Commandant, Marine Corps
DoD Field Activities
American Forces Information Service
Defense POW/MP Office
Defense Technical Information Center
Defense Technology Security Administration
DoD Counterintelligence Field Activity
DoD Education Activity
DoD Human Resources Activity
DoD Test Resource Management Center
Office of Economic Adjustment
TRICARE Management Activity
Washington Headquarters Services
Defense Agencies
Defense Advanced Research Projects Agency
Defense Business Transformation Agency
Defense Commissary Agency
Defense Contract Audit Agency
Defense Contract Management Agency
Defense Finance and Accounting Service
Defense Information Systems Agency
Defense Intelligence Agency
Defense Legal Services Agency
Defense Logistics Agency
Defense Security Cooperation Agency
Defense Security Service
Defense Threat Reduction Agency
Missile Defense Agency
National Geospatial-Intelligence Agency
National Security Agency/Central Security Service
Pentagon Force Protection Agency
Combatant Commands
Central Command
European Command
Joint Forces Command
Northern Command
Pacific Command
Southern Command
Special Operations Command
Strategic Command
Transportation Command
Africa Command
Prepared by: Organizational & Management Planning, ODA&M, OSD
Date: January 2008

Diplomacy, Development and Defense

The United States Department of State, United States Agency for International Development and United States Department of Defense

Areas of Responsibility



United States Department of State Regional Bureaus

- African Affairs
- East Asian and Pacific Affairs
- European and Eurasian Affairs
- Near Eastern Affairs
- South and Central Asian Affairs
- Western Hemisphere Affairs

United States Agency for International Development (USAID)

- USAID regional boundaries
- Countries with USAID missions

United States Department of Defense

- Regional command boundary
- CENTCOM AOR/ AFRICOM interest

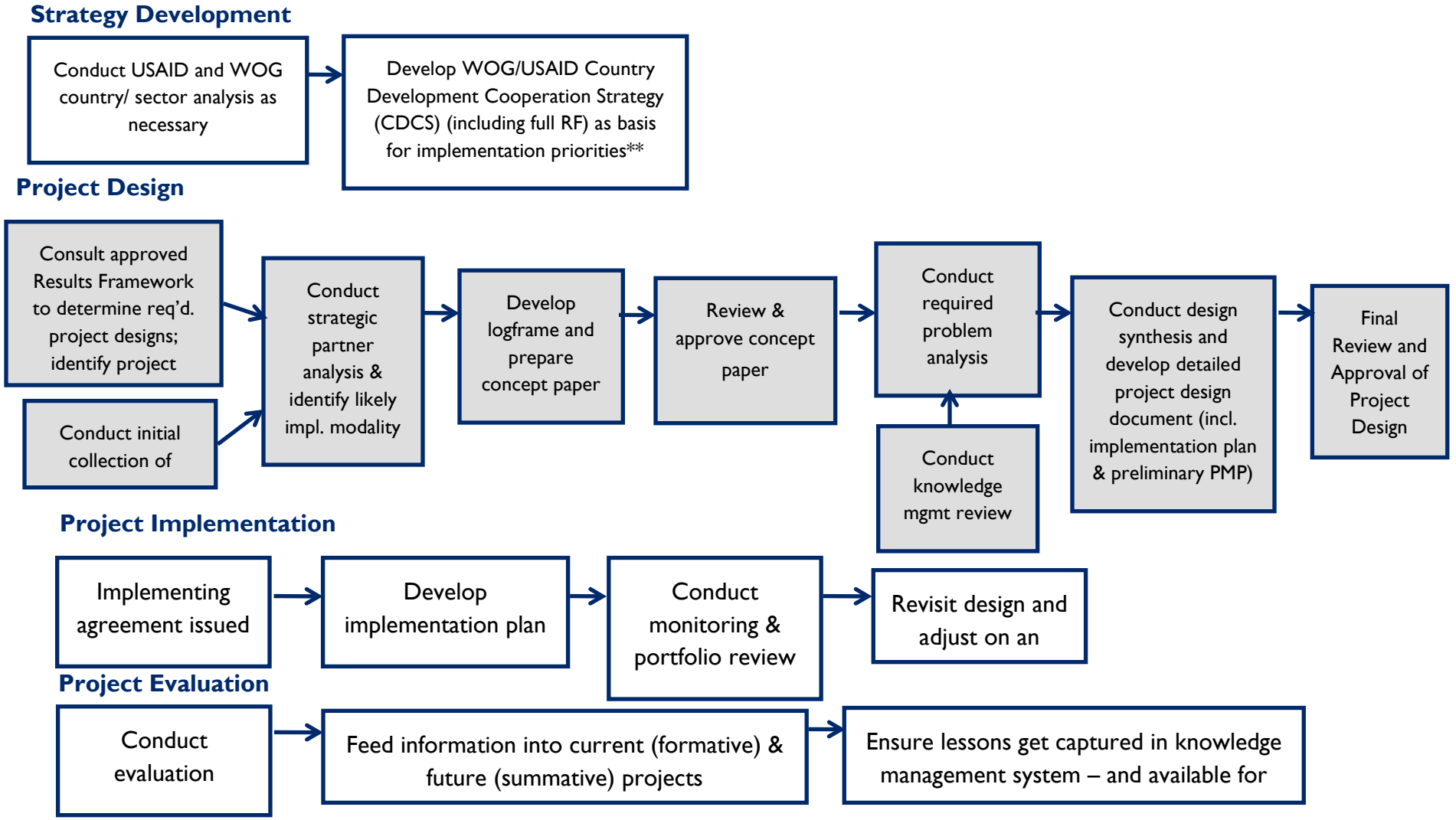
Names and boundary representation are not necessarily authoritative.

As of 3/14/2008

Appendix 7: USAID Project Design

- Standard Project Design Process
- Logical Framework for Project Design

STANDARD PROJECT DESIGN PROCESS (IN THE CONTEXT OF THE PROGRAM CYCLE)



**Conduct annual review and validation of critical aspects of the CDCS Results Framework development hypotheses linked to the IR/project in question, as well as the underlying country conditions which could affect achievement of DO to which the project contributes.

Logical Framework for Project Design

Project Title: _____ **Date:** _____

		Narrative Summary	Objectively Verifiable Indicators	Means of Verification	Important Assumptions
Development Hypothesis	If purpose, then goal	**Goal:** The highest-order objective to which this project contributes	Measures of goal achievement (from the RF/PMP)		
	If outputs, then purpose	**Project Purpose:** Central result to be produced by and attributable to the project	Conditions that will indicate that the purpose has been achieved (from the RF/PMP)		Affecting purpose to goal link
Manageable Interest		**Outputs:** The project's tangible achievements	Performance standards for the outputs necessary and sufficient to achieve the purpose		Affecting output to purpose link
	If inputs, then outputs	**Inputs:** Activities and types of resources	Level of effort/expenditure for each activity/resource		Affecting input to output link