

APPENDIX D

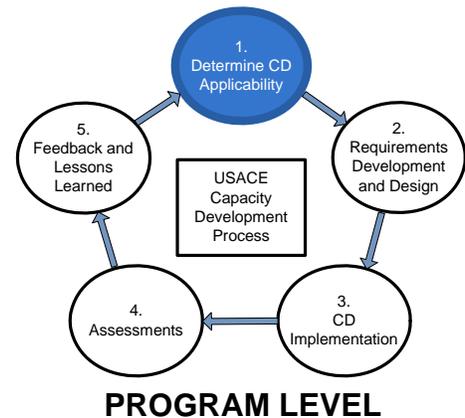
Program Level Planning and Implementation

NOTE: Appendix D applies only to implementation of capacity development (CD) at the “Program Level”. The reader should skip this section and go directly to Appendix E for guidance on implementation of CD at the “Project Level”.

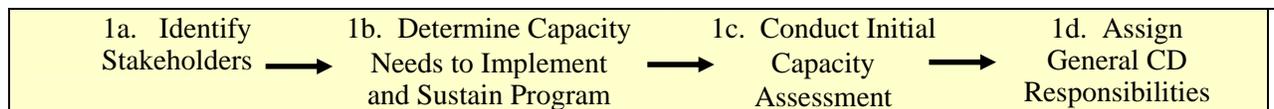
This section describes the five steps for program level implementation of CD.

1. Step 1. Determine Capacity Development Applicability.

The U.S. Army Corps of Engineers (USACE) and other stakeholders determine the extent to which CD should be integrated to achieve short-term objectives and the desired end state. This determination can range from “not applicable” to an extensive level of CD implementation that is critical for success. The CD framework adopted by USACE is described in Section 7 and illustrates the three levels of CD that may require a coordinated effort by various organizations. It is a useful tool to help the organizations identify and integrate levels of responsibility for CD from the programmatic level down to the detailed project level. The CD applicability determination must be made by the stakeholder group. The host nation or service recipient must be directly engaged in the determination as a key stakeholder.



Determining Applicability -- Key Elements



The following are the key elements in determining the appropriate level of CD to be conducted within a program.

a. Identify Stakeholders. The initial step in determining CD applicability is identification of the various organizations or individuals that have a stake in the outcome of the program. These are the “stakeholders”. Each stakeholder has a direct interest in the outcome of the program and should be involved in program planning and execution. Additional information on stakeholder identification, involvement, and coordination is provided in Section 10.

b. Determine Capacity Needs to Implement and Sustain Program. The capacity needs are equivalent to the capacity requirements or capabilities that must be necessary and available to plan, implement, and sustain the program. The Program Manager and stakeholders should consider capacity needs for the program at all three levels of the USACE CD framework (Enabling Environment, Organizational, and Individual) as shown on Figure 2.

(1) Determination of capacity needs is the first step in the capacity assessment process. The capacity assessment process is described further in this section and Appendix F contains specific instruction on how to assess the capacity of the host nation to sustain a program with minimal assistance from external organizations. Appendix F also includes instructions on how to estimate risk to program sustainability due to CD factors and the process of assigning CD mitigation action to the stakeholders to close the capacity gaps identified.

(2) The stakeholders should determine the capacity needs by reviewing the program elements and objectives and listing the capabilities or capacity that will be necessary to plan, implement, and sustain the program. A certain set of capabilities will be essential during the planning and implementation phase and additional capabilities may be necessary during the sustainment phase. Appendix F, Section 1, includes a list of capacity categories that should be considered in determining capacity needs for the program. This list should be viewed as a starting point and should be tailored to meet the unique aspects of the program and the societal values and cultural conditions that exist within the host nation. See Appendix F for a more in-depth discussion of the capacity assessment process.

c. Conduct Initial Capacity Assessment. This evaluation is done by comparing the capacity needs, described above, to the currently available capacity within the host nation or service recipient to meet those needs. This is done through a two-step process to identify and characterize any capacity gaps that maybe present and to determine CD activities, as appropriate for the program.

(1) Review Capacity Needs. The first activity is for the stakeholders to review the capacity needs with consideration of all three levels of the USACE CD framework levels 1, 2, and 3 as shown on Figure 2. Each stakeholder should contribute to this understanding through its expertise on technical issues and on implementation of CD at the framework levels.

(2) Assess Available Capacity. The second activity is determination of whether any gaps in required capacity exist at the program level. A gap in required capacity may be the absence or dysfunction of necessary elements required for success or a gap may be the presence of obstacles to success. The initial capacity assessment requires a systematic approach, because a weakness or gap in capabilities at any critical point may jeopardize the entire system and the success of the program. The USACE Program Manager and stakeholders should consider the gaps in capacity at all three levels of the USACE CD framework levels 1, 2, and 3 as shown on Figure 2 and Figure 3. The capacity needs between these three levels are closely related and highly interdependent. The degree to which CD is planned with a broad focus across all three levels and implemented as a system will have a significant impact on the program outcome and sustainability. Two potential areas to always consider at this point are (1) whether the host nation or service recipient is committed to the program and is willing to actively participate in the program, and (2) whether effective stakeholder coordination exists and will continue to exist throughout the program.

(a) The capacity needs for the program provide the basis for the assessment. The description of each gap may be entered at this time on the capacity assessment worksheet (Appendix F, Table F-1). The stakeholders may wish to wait until Step 2 (Requirements Development and Design) to enter data onto this worksheet. The framework level and the category of the capacity gap are also recorded on the worksheet. A list of proposed capacity categories is provided in

Appendix F, Section 1; however, this should not be considered as a comprehensive list. Additional categories may be necessary and the final categories should be tailored to meet the needs of the program.

(b) The stakeholders will determine the extent, if any, to which the program should address CD, based on stakeholder knowledge and available information at this point in time. Identification of the capacity needs is a very important step and provides the basis for completing the capacity assessment during Step 2 of the CD process (Requirements Development and Design).

(c) The stakeholders should always consider opportunities presented by the program to increase the capabilities and capacity of the host nation or service recipient even if the increased capacity is not required to directly support the program. The program may provide an excellent platform to enhance the capabilities of individuals so they can work more productively and efficiently on other programs and projects.

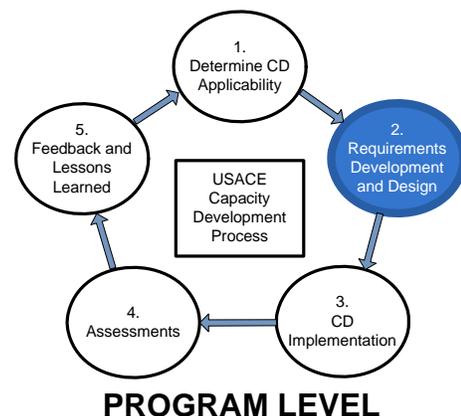
(d) The stakeholders may determine that CD is “not applicable” to certain programs. This determination would be made when the stakeholders agree that the host nation or service recipient already has the necessary capacity to sustain the program elements to be transitioned to the host nation or service recipient. The USACE Program Manager should document this decision in the Program Management Plan or comparable document.

d. Assign General CD Responsibilities. The stakeholders should identify programmatic actions that could be employed to reduce the identified gaps and risks and maximize potential CD opportunities. They should then prioritize the actions and agree on general responsibilities for actions that may be required by the respective organizations with the objective of closing the gaps and reducing the risks. It is important that there be stakeholder consensus on the way ahead for CD at the program level and that this consensus be documented in a manner that establishes a general commitment by each stakeholder to carry out assigned responsibilities. This level of commitment will be necessary in order to proceed in the planning process.

This is the point at which each stakeholder must be able to describe the general authorities and funding sources it has for CD planning and implementation for a specific program. It is also the point at which the stakeholders should identify key authorities or funding deficiencies that could constrain the CD effort. The issue of authority and funding must be clear and, if necessary, resolved, before the stakeholders move to Step 2 (Requirements Development and Design).

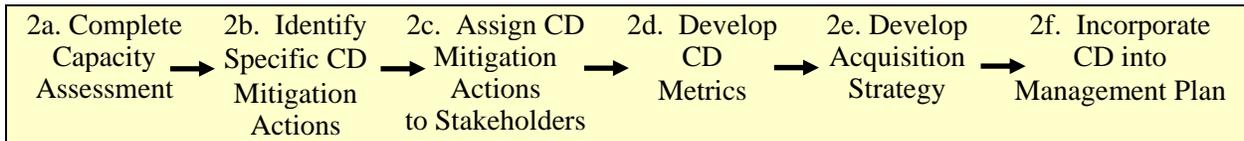
2. Step 2: Requirements Development and Design.

This is a key step that involves all the planning and stakeholder coordination to ensure that CD activities are incorporated into the program specific planning documents. This is the detailed planning phase for CD and ties to the phases 1 and 2 of the program life cycle example as shown on Figure 8. This begins with the output from the initial capacity assessment completed in Step 1, above, builds on the results to estimate the programmatic risks associated with any gaps in available capacity, and results in development of



specific CD mitigation actions to reduce or eliminate the gaps. This step also addresses other CD design elements that may be necessary, such as development of CD metrics and an acquisition strategy. Finally, the CD activities must be priced, scheduled, and added into the Program Management Plan or corresponding document, as appropriate.

Requirements Development and Design -- Key Elements



a. Complete Capacity Assessment. The stakeholders should analyze the results from the initial capacity assessment that was conducted in Step 1 (Determine CD Applicability). This will provide an understanding of the baseline conditions and the general level of capabilities and capacity that will be required of the host nation or service recipient to help develop the program, to participate in the program, and to sustain the program. The list of identified gaps in available capacity within the host nation serves as the starting point for Step 2 (Requirements Development and Design).

(1) The complete capacity assessment will include identification of CD mitigation actions and assignment of mitigation actions to stakeholders. The USACE Program Manager and stakeholders will document their findings and issue recommendations to do one of the following:

- (a) proceed with the program with stakeholder commitment to plan and implement assigned CD activities;
- (b) cancel or defer program until capacity is available;
- (c) restructure program to meet existing host nation capacity;
- (d) proceed with the program as defined without addressing CD, even though CD may be applicable (i.e., USACE directed by customer to undertake program without CD); or,
- (e) proceed with the program without CD, because CD is not applicable or necessary for program success and sustainability (i.e., available capacity in host nation is sufficient).

(2) Appendix F contains specific instructions on how to conduct the capacity assessment and includes a worksheet to record program information, capacity gaps, estimates of risk to the program caused by the capacity gaps, mitigation actions to close the gaps, and the lead stakeholder organization to lead the mitigation actions. The capacity assessment is summarized below and the details are provided in Appendix F.

(3) The process of identifying capacity gaps that may exist is followed by an estimation of the programmatic risks if the capacity gaps are not addressed and mitigated. The baseline risk is estimated for each gap, by capacity category (Appendix F, Section 1). Appendix F provides additional details on how to conduct the risks for probability, consequence, and total risk. This is a qualitative risk assessment process and results in a risk rating of “minimal”, “low”, “medium”, “high”, or “critical” for each capacity gap. The estimated risk for each gap is entered on Table F-1.

(4) An early capacity assessment, before substantial commitment of resources, identifies key risks that could significantly impact program success and sustainability as well as potential CD opportunities that could create long-term capacity benefits for the host nation. It allows time to develop mitigation strategies to close the identified gaps during program planning and execution. Potential mitigation strategies for the “show stoppers” or gaps with the potential to be single points of failure for the program should be a primary focus of stakeholder attention and should later be integrated into the Program Management Plan.

(5) The capacity assessment process described above will result in a baseline risk estimate. Conditions change over time and may require a reassessment of risk presented by capacity gaps. Changes can be due to effective implementation of mitigation actions to reduce or eliminate the gaps or it can be due to other external influences that may increase or decrease the baseline risks. The capacity assessment should be updated as additional information is obtained and as program conditions significantly change. The frequency of reassessments should be driven by the duration of the program and the extent to which conditions are known to be changing.

(6) The stakeholders should seek consensus on the risks and the associated impacts, considering which risks can be effectively mitigated through programmatic adjustments and which risks may be most effectively reduced through direct CD implementation. There may be cases in which the stakeholders decide that CD is not required to support the particular program or that additional CD activities beyond those already undertaken are unnecessary. The stakeholders should document their decision to take no further action regarding CD.

b. Identify Specific CD Mitigation Actions. The stakeholders should develop a mitigation action(s) to close each capacity gap and to reduce the overall capacity risk to the program. More than one mitigation action may be appropriate for a single gap. The stakeholders share the responsibility for developing the CD activities for the program. Each stakeholder should identify candidate activities, based on areas of expertise and authorities, for consideration by the group. The CD activities should be focused on filling the gaps identified in the capacity assessment and should be integrated to meet specific needs and to obtain specific results. The host nation or service recipient must fully participate and agree to the final CD mitigation actions for the program.

c. Assign CD Mitigation Actions to Stakeholders. USACE and every other stakeholder must work within their authorities, areas of expertise, and established budgets as they implement CD in support of a program. The CD objectives should be refined into specific CD tasks and each task should be assigned to a stakeholder that has the legal authority to accomplish the task, the necessary funding to accomplish that task, and the willingness to serve as the lead for design and implementation of the mitigation action. Each mitigation action should be assigned to a stakeholder that will assume the lead role for implementation of the mitigation action. This information, along with a date for completion of each mitigation action is recorded on Table F-1.

(1) The methods by which each stakeholder carries out its CD responsibilities should be developed by the stakeholder and resources should be assigned to support the program objectives and schedule. One method for documenting roles, responsibilities, and commitments is a Memorandum of Understanding (MOU). The MOU templates on the Headquarters (HQ) USACE Website provide examples of how an MOU between multiple stakeholders can be developed and maintained for CD responsibilities

(<http://www.usace.army.mil/CEMP/iis/Pages/ModelAgreements.aspx>). Other methods of documenting consensus can be used, and the lead agency within the stakeholder group should determine the best method for the circumstance.

(2) The stakeholders should address the potential secondary CD opportunities not directly related to sustainability of a specific program when considering mitigation actions. This could include partnering with the host nation during program design and implementation which would result in knowledge transfer that would benefit the host nation when undertaking future programs and projects.

d. Develop CD Metrics. Metrics provide a method by which CD activities can be assessed during program implementation and, in some cases, after program completion. Metrics are pre-determined, measurable elements that are necessary as part of any assessment and are used to determine the effectiveness of the CD activities in meeting program goals. A metric(s) should be established for each major CD activity that is considered key to program success. Each metric should be accompanied by a schedule so the CD activity can be evaluated against the program timetable. A contingency plan may be appropriate for certain critical CD activities to provide a pre-determined pathway for immediate corrective action in the event the assessment indicates the CD activity is insufficient. Metrics should be based on quantifiable outputs and outcomes wherever possible.

(1) Monitoring triggers are those specific elements that serve as warning signs to identify a risk that is not being addressed by a current mitigation strategy. The purpose of monitoring the trigger is to allow adequate preparation for the initiation of the risk mitigation strategy. Monitoring triggers also provide valuable information from which the USACE Program Manager can prepare routine progress reports. The USACE Program Manager and stakeholders have the responsibility to define the monitoring triggers most applicable to the capacity needs identified for the program. Each monitoring trigger should be scheduled to ensure a review is done at the appropriate time. Monitoring triggers are assigned to the mitigation strategy at the time the strategy is identified.

(2) Monitoring triggers are specific to the mitigation strategies selected to fill identified gaps and could be based on external and internal factors or conditions such as:

- (a) enabling environment takes longer time than anticipated to mature;
- (b) host nation is not able to sustain program after transition;
- (c) stakeholders, including host nation, disagree on a technical basis to address a critical activity;
- (d) significant operations and/or maintenance issues are identified;
- (e) schedule and/or budget gaps remain despite implementation of mitigation strategy; and
- (f) shortfalls are identified in available funding to implement mitigation strategy due to changes in priorities by stakeholders or inaccurate forecasts.

e. Develop Acquisition Strategy. The USACE Program Manager should consider CD when establishing the contract acquisition strategy for the program. Knowledge of local capabilities and commitments will help guide the Program Manager in developing the right balance between

self-performing work, assigning work to other stakeholders, contracting to major firms, hiring local residents for various types of work, and contracting to local businesses. USACE should develop strategies for how and when it will access private sector organizations to obtain their capabilities and support. This may include the need to develop or update a MOU directly or through other partner agencies to allow USACE to rapidly activate and fund CD initiatives conducted by these entities.

(1) USACE performs much of its international program work through contractors. Funding for CD should be maintained as a distinct element and the prime contract statement of work and deliverables should address CD, as applicable. This identity and prominence will ensure that CD does not get overlooked as budgets, including contingency budgets, and schedules become stressed during the term of the contract.

(2) The objective is to improve the level of CD performance which leads to improved program results. USACE may consider the following in the process of developing private sector contracts when CD is an important factor in program success:

(a) determination of the types of contract vehicles most suitable for the program as a whole and for CD;

(b) model language, with clear incentives and disincentives related to CD delivery that is appropriate for the type of contract (e.g., award fee, cost plus fixed fee, fixed price, etc.); and

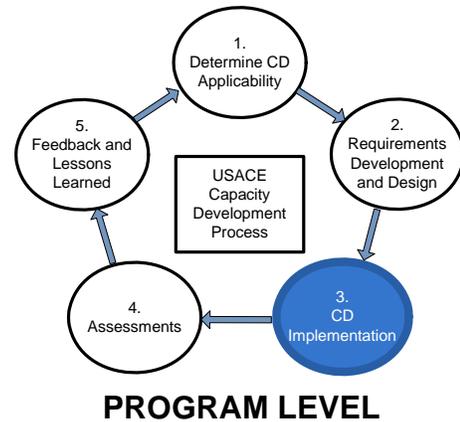
(c) model language related to employment/hiring goals and subcontracting goals aimed at increasing the competence and viability of the local workforce, local or regional businesses, small businesses, and women-owned businesses, where authorized and appropriate.

f. Incorporate CD into Program Management Plan. The Program Management Plan describes the basic elements and components of the USACE program. This Plan provides important guidance on how the program will be managed and should include a description of activities to be completed under each of the five steps of CD. Stakeholder recommendations from the capacity assessment regarding programmatic risk should be documented in the Program Management Plan or similar document, as appropriate. The Program Management Plan should include provision for broad CD activities to occur within the scope of the program, but should not include detailed activities that are planned and implemented by the stakeholders at the project level. The process for planning and implementing project-level activities is addressed in Appendix E.

(1) CD should be inserted into the Program Management Plan as early as possible so the CD requirements and activities can be managed along with other program elements. This prevents the possibility that CD may be overlooked during program development and then either added late in the process or eliminated due to budget and schedule constraints.

(2) The outputs and recommendations from each of the preceding activities in this section (i.e., complete capacity assessment, develop specific CD mitigation actions, assign CD mitigation actions to stakeholders, develop CD metrics, and develop CD acquisition strategy) should be summarized and contained in the Program Management Plan. This will document the responsibilities, agreements, and assignments of each of the stakeholders in relation to CD implementation.

3. **Step 3: Implementation.** This is the step in which CD activities and mitigation actions are conducted by USACE, the stakeholders, and their representatives. Implementation of CD activities is done as part of overall program implementation, since CD has been planned and integrated into the program planning documents. Final resource planning and assignment of specific resources is the first step of implementation. The responsible parties then conduct the CD activities consistent with the program plans and schedules. It may be necessary to make mid-course adjustments to CD activities based on on-the-ground conditions, so flexibility for such adjustments is an important element of successful implementation. Finally, documenting and tracking the CD activities is necessary for easy retrieval of information to support internal management requests, external requests and audits, and to support the lessons learned program.



Implementation – Key Elements

3a. Finalize CD Planning and Assign Resources	→	3b. Conduct CD Activities	→	3c. Make Mid-course Adjustments To CD Approach	→	3d. Track and Report Progress
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a. **Finalize CD Planning and Assign Resources.** USACE and other stakeholders with a program level CD responsibility conduct their final planning and coordination activities to support implementation. This includes final alignment of resources, making minor schedule adjustments, finalizing contracts, and interfacing with other stakeholders. Close communication is required with the host nation or service recipient to ensure their full participation and support.

b. **Conduct CD Activities.** Everything done thus far has been part of the planning and preparation that leads up to CD implementation. Implementation is the stage at which CD activities or mitigation actions are carried out, as appropriate for the program. USACE and each of the other stakeholders conduct their work in an integrated manner, coordinating with other stakeholders and other engaged parties as necessary to support the program. A high degree of interaction is required between the stakeholders during the implementation stage to optimize the CD process. The role of the host nation or service recipient during the planning and implementation of CD activities is critical to success and cannot be overstated. This is a lesson that has been learned by the United States Government (USG), international organizations (IO), non-government organizations (NGO), and foreign governments on numerous programs around the world. The level of involvement by the host nation or service recipient will vary, depending on the scale and complexity of the CD activities, the extent to which capacity gaps exist, the security environment, and other factors that must be considered on a case-by-case basis. The USACE Program Manager should work closely with other stakeholders in an effort to engage the host nation or service recipient in a meaningful way throughout the implementation process.

c. Make Mid-course Adjustments to CD Approach. The planning activities leading up to CD implementation will rarely be implemented without some degree of mid-course adjustment. The on-the-ground conditions will be dynamic and it is important that USACE and the other stakeholders have sufficient flexibility to alter the CD approach as necessary to meet the program objectives. Mid-course adjustments may be based on real-time information and feedback obtained during program implementation or on the results of formal assessments conducted during implementation.

d. Track and Report Progress. USACE will be expected to track and report on the CD activities undertaken. A method of tracking and reporting will be required to allow the USACE management chain to view the status of CD planning and implementation at any time. Progress should be tied to the metrics (see Step 2, Requirements Development and Design) whenever possible. Previous experience has shown that it is necessary to have readily available information to enable managers to reinforce or change direction and to establish priorities for future actions. Experience has also shown that USACE Program Managers can expect to receive information requests from USACE Senior Leadership and from outside organizations on the number and type of CD activities being conducted and on the efficacy of the USACE CD activities as a whole.

(1) The need to document CD activities and to track and report on progress is driven by multiple requirements, including the following:

(a) The USACE Program Manager must understand the extent of CD activities that have occurred or will occur in the program, because CD is a program element.

(b) Contractors will be reporting on CD activities and accomplishments, because their fee may be dependent on completion of CD elements.

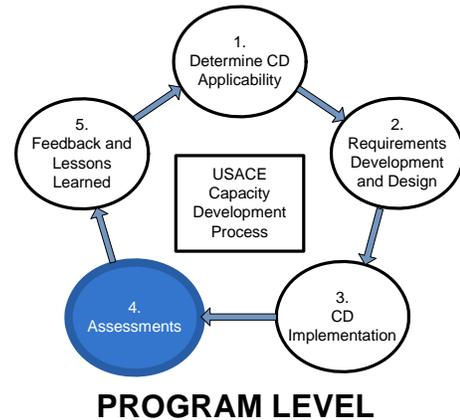
(c) Progress and issues associated with CD planning and implementation will be used to support the USACE lessons learned program.

(d) Internal or management assessments of CD activities will depend on accurate information regarding completion of CD activities over a time period, as well as the quality issues associated with the activities. The term “quality” is a measure of how effective the CD activity was in achieving its objective.

(e) USACE Senior Leadership and external parties (e.g., Congress, Government Accountability Office (GAO), Army, special investigative organizations, or news media) will have an interest in program efficacy and the extent to which CD has had a positive influence in the outcome. Proper documentation of CD activities will be critical in supporting formal external program assessments.

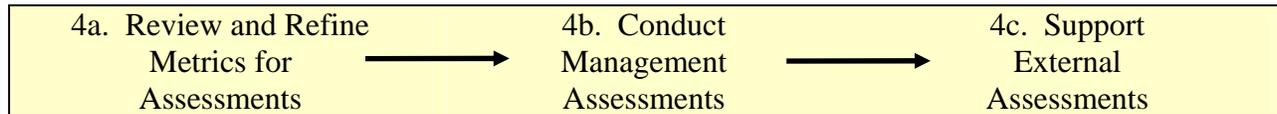
(2) HQUSACE CD business practice staff will have the responsibility to maintain the tracking and reporting system and will interface with USACE Program Managers to assist them in entering new information into the system. Existing methods and systems within USACE will be used for tracking and reporting to the extent practicable. Information could consist of tabulated data and narrative reports such as training session summaries and After-Action Reports for emergency response exercises or contingency events.

4. Step 4: Assessments. Assessments of CD effectiveness at the program level will be valuable tools contributing to the goal of continuous improvement. Assessments or audits can be done in a variety of ways and can focus on specific elements of a program or can serve as a review of an entire program. Appropriate metrics will be developed during the program planning stage (i.e., prior to program implementation, to the extent possible) and will serve as benchmarks for future assessments. Adjustments to metrics can be made during program implementation to reflect the dynamic nature of the program.



Internal program level assessments will be performed internally by USACE staff, with contractor support as appropriate. These assessments will focus on the extent to which (1) CD was built into the program during the requirements development stage and whether adequate funding for CD was provided; (2) USACE conducted the CD activities as planned; and (3) the completed CD activities achieved the desired outcomes.

Assessments -- Key Elements



a. Review and Refine Metrics for Assessments. Assessments of CD performance should be based on a combination of output metrics and outcome metrics that are tailored to the program under assessment. Output metrics are readily available during and immediately following the CD implementation and can be directly compared to the planned CD activities.

(1) Output metrics may consist of elements such as:

- (a) number of training sessions held;
- (b) number of people trained;
- (c) number of emergency exercises conducted;
- (d) out-of country training completed;
- (e) number and dollar value of U.S. small business contracts;
- (f) number of host nation workers hired;
- (g) number of host nation women hired;
- (h) prime contracts contain CD provisions; and

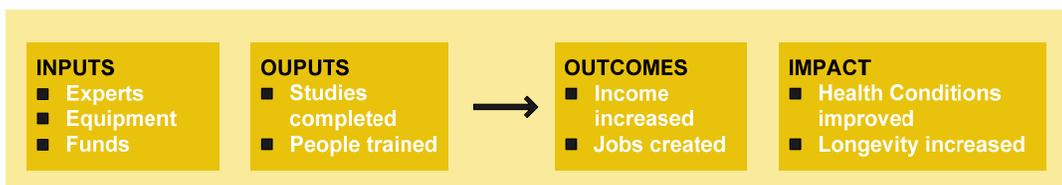
(i) number and dollar value of local contracts issued, to include small businesses and woman-owned businesses.

(2) Output metrics should be quantified, with benchmarks established during the program planning process so there is a clear understanding of expectations during program implementation and a clear record of activities to support any assessments or inquiries regarding program accomplishments. A program plan, for example, might include a provision for training 300 host nation workers on a particular topic within the first year of the program. An assessment can readily determine whether that provision was met through evaluation of training records.

(3) USACE implementation of CD at the program level will eventually be measured by outcomes, rather than outputs. Measurable outcomes provide a more comprehensive picture of the long-term effectiveness of CD and its contribution toward sustainability, increased self-reliance, knowledge, skills, and abilities of host nations and other service recipients. Outcomes, by their nature, are more qualitative than outputs and typically require a much longer period before a reasonable assessment of effectiveness can be made. Desired outcomes should be identified as the program is developed and they should be included in the Program Management Plan, as stated in Step 2, Requirements Development and Design. Examples of outcome metrics related to CD include the following:

- (a) sustained management of program by host nation with minimal support from external resources;
- (b) reduction in occurrence of worker-related injuries over first three years of the program;
- (c) infant mortality caused by infantile diarrhea and related diseases significantly reduced by provision of potable drinking water; and
- (d) qualified host nation emergency response teams able to respond to event scenes anywhere in large urban area within specified time limit.

(4) The United Nations Development Programme (UNDP) developed the following general diagram to show how inputs and output metrics lead to outcomes that have eventual impacts that lead toward the desired results. The UNDP refers to this as the “results chain”.



Source: Handbook on Monitoring and Evaluating for Results, UNDP 2002

(5) Demonstration of success through outcome measurements will require time, perhaps several years or a generation, before trends change in a consistent manner and become the new baseline. This pattern is typical for any similar program (e.g., a safety training program) in which the extent of an outcome is realized through acquisition of knowledge, stability of the work force, and modification of behavior.

b. Conduct Management Assessments. Management assessments of CD effectiveness will be valuable tools toward the goal of continuous improvement. Assessments or audits can be

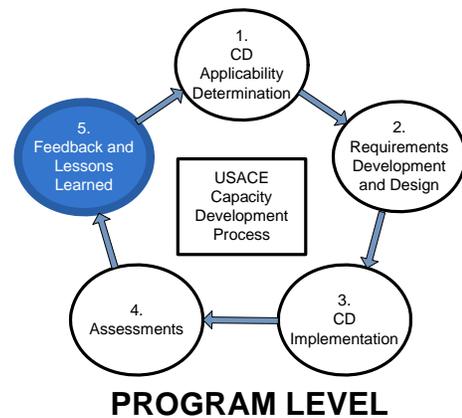
done in a variety of ways and can focus on specific elements of a program or can serve as a review of an entire program.

(1) Management assessments of the program will be performed internally by USACE staff, with contractor support as appropriate. Management assessments can be performed by any combination of USACE staff, including USACE leadership, CD business practice staff, or field office staff, depending on the situation. Stakeholders may also participate in these management assessments, as appropriate. The purpose of management or self-assessment is to identify and document ways in which CD can be planned and carried out more effectively.

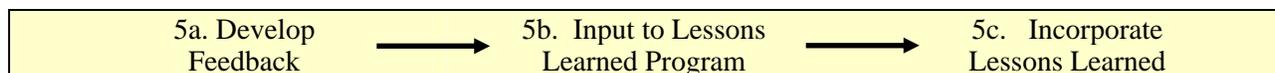
(2) Each CD management assessment should be staffed appropriately for the scope of the assessment, to include USACE staff with expertise in (1) assessment processes; (2) CD activities; and (3) functional or program area being assessed. Other specialized disciplines, such as training, data management, or contracting, should be included on the assessment teams, as necessary.

c. Support External Assessments. External or independent assessments are conducted by other organizations or third parties that specialize in assessments and audits (e.g., GAO, Army Audit Agency, or Inspector General). USACE will assign a cognizant staff member from either the Major Support Command unit or the USACE CD business practice to serve as liaison to any external agency staff conducting an audit or assessment of USACE CD activities. The USACE assessment liaison will have access to other USACE resources, as needed, to support the assessment.

5. Step 5: Feedback and Lessons Learned. Gaps or deficiencies noted during assessments and the associated recommendations for improvement will be incorporated into the USACE lessons learned system, as appropriate, to further improve the effectiveness of CD planning and implementation. Positive findings or noted best practices also will be used to document and reinforce specific CD activities that add value. The USACE Program Manager is responsible for providing feedback to the CD Community of Practice (CoP). The HQUSACE National Program Manager for CD is responsible for entering this feedback into the USACE Enterprise Lessons Learned Program (ELLP) on behalf of the CD CoP. These lessons will then be incorporated into current and future practices to ensure the USG investment is not lost or sub-optimized and that local citizens are supplied with the essential services necessary to support a sustainable economy, government, and infrastructure.



Feedback and Lessons Learned -- Key Elements



a. Develop Feedback. Development of a record of CD implementation steps, along with findings from formal and informal program assessments, provides the information necessary to make program improvements. The USACE Program Manager or designate assembles and records positive and negative program impacts that are related to CD. The Program Manager obtains this information or feedback from USACE staff involved in the program, host nation or service recipient personnel, contractor staff, and other stakeholders. Formal and informal assessment findings also provide a valuable resource for feedback on the effectiveness of CD activities. The USACE Program Manager submits this feedback to the USACE National Program Manager for CD any time significant feedback is obtained.

b. Input to Lessons Learned Program. The USACE National Program Manager for CD has the responsibility to enter the feedback obtained from the Program Manager into the USACE ELLP. The National Program Manager for CD serves as the CD CoP gatekeeper for the ELLP, in accordance with the Enterprise Lessons Learned Program (ELLP) Users Guide (see Appendix A, reference A-7). The National Program Manager for CD may draw from the expertise of the CD CoP members as subject matter experts in determining whether specific input should be added to the ELLP.

c. Incorporate Lessons Learned. Each USACE Program Manager should access the ELLP at the beginning of a program and at key decision points in the program to determine if there are any CD lessons learned that would add value to the program, increase program effectiveness, and support sustainability. The USACE Program Manager should bring such lessons learned to the attention of the stakeholders for consideration and possible incorporation into the program, other similar programs, or future programs.