

United States Department of State

United States Agency for International Development

# FY 2014 Annual Performance Report

# FY 2016 Annual Performance Plan



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# Department of State and USAID Overview

## Department of State and U.S. Agency for International Development Overview

### *Department of State*

The Department of State is the lead United States foreign affairs agency within the Executive Branch and the lead institution for the conduct of American diplomacy. Established by Congress in 1789 and headquartered in Washington, D.C., the Department is the oldest and most senior executive agency of the U.S. government. The head of the Department, the Secretary of State, is the President's principal foreign policy advisor. The Secretary implements the President's foreign policies worldwide through the State Department and its employees. The Department of State promotes and protects the interests of American citizens by:

- Promoting peace and stability in regions of vital interest;
- Creating jobs at home by opening markets abroad;
- Helping developing nations establish investment and export opportunities; and
- Bringing nations and people together and forging partnerships to address global challenges, such as climate change and resource scarcity, nuclear proliferation, terrorism, gender inequality, human trafficking, the spread of communicable diseases, cross-border pollution, humanitarian crises, nuclear smuggling, and narcotics trafficking.

### *USAID*

The United States Agency for International Development (USAID) is an independent federal agency that receives overall foreign policy guidance from the Secretary of State. In 1961, Congress passed the Foreign Assistance Act to administer long-range economic and humanitarian assistance to developing countries. Two months after passage of the act, President John F. Kennedy established USAID. USAID's mission is to partner to end extreme poverty and promote resilient, democratic societies while advancing U.S. security and prosperity. The Agency accelerates human progress in developing countries by:

- Promoting broadly shared [economic prosperity](#);
- Strengthening [democracy and good governance](#) and protecting [human rights](#);
- Improving [global health](#),
- Advancing [food security and agriculture](#);
- Improving [environmental sustainability](#);
- Furthering [education](#); and
- Helping societies [prevent and recover from conflicts](#) and providing [humanitarian assistance](#) in the wake of natural and man-made disasters.

The head of the agency, the USAID Administrator, is appointed by the President and confirmed by the Senate. USAID plans its development and assistance programs in coordination with the Department of State, and collaborates with other U.S. government agencies, multilateral and bilateral organizations, private companies, academic institutions, and non-governmental organizations.

### Mission Statement

The shared mission of the Department of State and USAID is to shape and sustain a peaceful, prosperous, just, democratic world, and foster conditions for stability and progress for the benefit of the American people and people everywhere.



# Department of State and USAID Overview

## Organizational Structure

**Department of State:** The Foreign Service and Civil Service employees in the Department of State and U.S. missions abroad represent the American people. They work together to achieve the goals and implement the initiatives of American foreign policy. The Department operates more than 270 embassies, consulates, and other posts worldwide staffed by more than 46,000 Locally Employed Staff (which includes Foreign Service Nationals) and almost 14,000 Foreign Service employees. In each embassy, the Chief of Mission (usually an ambassador appointed by the President) is responsible for executing U.S. foreign policy goals and for coordinating and managing all U.S. government functions in the host country. A Civil Service corps of roughly 11,000 employees provides continuity and expertise in performing all aspects of the Department's mission. The Department's mission is supported through its regional, functional, and management bureaus and offices. The regional bureaus, each of which is responsible for a specific geographic region of the world, work in conjunction with subject matter experts from other bureaus and offices to develop policies and implement programs that achieve the Department's goals and foreign policy priorities. These bureaus and offices provide policy guidance, program management, administrative support, and in-depth expertise.

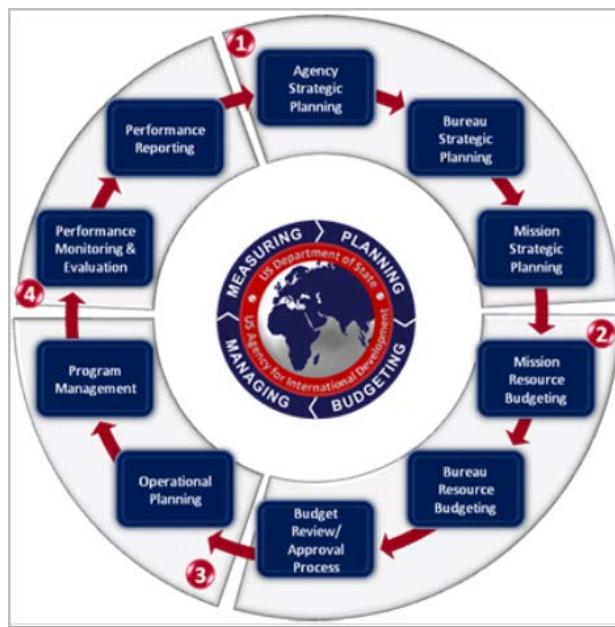
**USAID:** USAID staff work around the world and at home inspired by the same overarching goals that President Kennedy outlined 50 years ago – furthering America's foreign policy interests in expanding democracy and free markets while also extending a helping hand to people struggling to make a better life, recovering from a disaster or striving to live in a free and democratic country. With an official presence in 87 countries and programs in several other non-presence countries, the Agency's mission is supported by more than 1,700 career Foreign Service employees and 1,500 in the Civil Service. Additional support comes from nearly 4,400 Foreign Service Nationals, and approximately 1,200 other employees, including Personal Service Contractors, institutional contractors, political appointees, secundees from other international development agencies, and individuals hired through Blanket Purchase Agreements and Participating Agency Service Agreements.

More information on the organizational structure of the Department of State and USAID can be found at <http://www.state.gov/r/pa/ei/rls/dos/99494.htm> and <http://www.usaid.gov/who-we-are/organization>, respectively.

## Approach to Strategic Planning and Performance Management

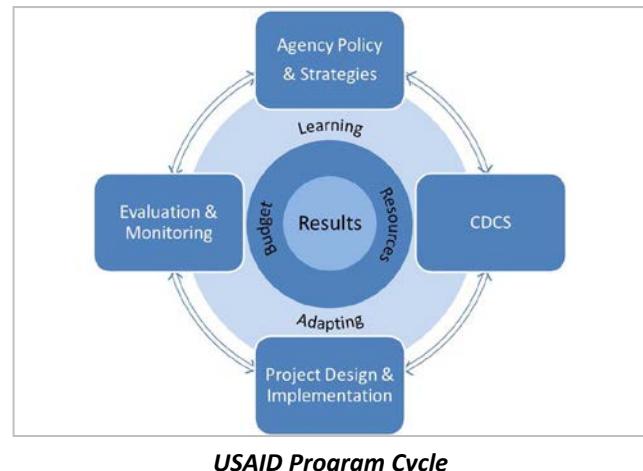
### Performance Management

The “Managing for Results” Framework guides the Department’s approach to planning, budgeting, monitoring and evaluation. The Framework is designed to link strategic, longer-term planning with budget planning; to institutionalize evidence into planning, program and project design, and budget decision-making; to nurture innovative ways to cope with tight budgets; to prioritize resources; and to better inform taxpayers and Congress of our progress in carrying out the Department’s mission and the [FY 2014-2017 Department of State and USAID Strategic Plan](#).



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USAID's Program Cycle reinforces the links between USAID policies and strategies, country-level strategic planning, project design and implementation, performance monitoring and evaluation. USAID's Program Cycle sets the foundational framework for evidence-based development to enable more effective interventions and maximize development impacts. It allows the Agency to provide analysis and data on what is working, determine strategic opportunities and tradeoffs, evaluate projects, and feed knowledge back into programming and future policy development. The Program Cycle provides a strategic and evidence-based approach to justifying resources and serves as the basis for a more integrated budget cycle, enabling resource decisions to be built around strategic plans and priorities and performance and evaluation data. The Program Cycle emphasizes best practices, or "evidence-based" programming to ensure highest impact and sustainability.



**USAID Program Cycle**

## ***Strategic Planning***

Informed by the National Security Strategy, Presidential Policy Directives and the 2010 Quadrennial Diplomacy and Development Review (QDDR), the Department of State and USAID released the Joint Strategic Plan (JSP) in 2014. The JSP covers fiscal years 2014 to 2017 and reiterates the Department and USAID's commitment to joint planning to implement foreign policy initiatives and to invest effectively in foreign assistance programs. A diagram of the Department and USAID's 5 Strategic Goals and 13 Strategic Objectives is shown below.

All Regional and Functional Bureaus and Missions draft three-year strategic plans. Bureaus and missions complete their strategic plans separate from the annual budget process to encourage longer-term strategic thinking, and ensure budgets are informed by strategies. The Department's and USAID's strategic planning documents include the following:

- The Joint Regional Strategy (JRS) – A process that brings together corresponding regional bureaus from State and USAID to develop a combined three-year strategy.
- The Functional Bureau Strategy (FBS) – A parallel process to the JRS for non-regional State bureaus to create three year strategies.
- The Integrated Country Strategy (ICS) – A process through which all U.S. government Missions develop multi-year strategies with a whole-of-government focus. As directed by the Presidential Policy Directive on Security Sector Assistance, the ICS also represents the official U.S. government strategy for all Security Sector Assistance in its respective countries. Additionally, and in line with the whole-of-government scope of each ICS, each USAID mission's Country Development Cooperation Strategy is nested within the ICS. Objectives from each ICS are used to frame the State and USAID foreign assistance request in the Congressional Budget Justification.

The strategic plans serve as the base for Mission Resource Requests and the Bureau Resource Requests, which are foundational documents used to begin the process of building the Department of State and USAID's Congressional Budget Justification (CBJ).

In 2014, Department and USAID staff conducted several training sessions in the Bureau of Near Eastern Affairs (NEA) and the Bureau of South and Central Asian Affairs (SCA) Missions to support the Country Teams in

# Department of State and USAID Overview

their ICS development. This is part of a larger effort, which will continue in the coming year, to strengthen capacity and data analysis in the strategic planning process. The Department also worked with representatives from the Department of Defense, Justice, Treasury, Energy, and Homeland Security to begin implementing the strategic planning components of the Presidential Policy Directive on Security Sector Assistance into the Integrated Country Strategy process.

In 2015, the Department and USAID will work with missions and bureaus to assist them in implementing and reviewing their strategies, a crucial step in transforming the Department's strategies into effective management tools.

## State-USAID Joint Strategic Goal Framework



### Major Management Priorities and Challenges

Strategic Goal 5, Objective 5.1 provides more information on USAID and the Department of State's management priority areas.

Every year, the respective Office of Inspector General for the Department of State and USAID identifies management challenges that affect the ability of the Department and USAID to effectively engage diplomatically or deliver foreign assistance. The Department of State and USAID take immediate remedial actions in response to OIG recommendations. For a full description of the OIG's identified challenges and the responses to them, please see:



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Department of State, pages 118-128 of the Fiscal Year 2014 Agency Financial Report (<http://www.state.gov/s/d/rm/rls/perfrpt/2014/index.htm>)

USAID, pages 133-146 of the Fiscal Year 2014 USAID Agency Financial Report ([http://www.usaid.gov/sites/default/files/documents/1868/USAID\\_FY2014AFR.pdf](http://www.usaid.gov/sites/default/files/documents/1868/USAID_FY2014AFR.pdf))

## Evidence Building

The Department of State and USAID continue to collect and use data to assess program efforts as well as the ongoing performance and impact of State and USAID programs. Ongoing performance monitoring data provide a picture of how the Department's and USAID's programs are doing, and both organizations employ deeper analysis and program evaluation to understand "why" or "what" about them is working.

The program evaluation policies of the Department and USAID provide a key framework for generating evidence to inform decisions. USAID updated its program evaluation policy in 2011 as part of its [USAID Forward](#) Agenda, and in 2015 State updated its [Department-wide evaluation policy](#) and companion implementation guidance.

Some key advances in program evaluation capacity building include:

- USAID bureaus and missions have increased the number of programs under evaluation, producing hundreds of evaluation reports each year. USAID publishes evaluation reports at the Development Experience Clearinghouse available at <https://dec.usaid.gov/dec>.
- The Department has issued policy guidance on the public dissemination of results of evaluations reports. Summaries of results of all foreign assistance-funded evaluations monies will be posted to a searchable state.gov [web page](#) of state.gov beginning in 2015.
- The Department's *Evaluation Community of Practice* meets monthly, featuring presentations on recently completed evaluations and special guests sharing evaluation best practices. The community has more than 400 members.
- The *Evaluation Interest Group* at USAID includes discussions of evaluation methods and practice as well as best practices in managing foreign assistance evaluations. USAID has also developed ProgramNet, an online forum available to USAID staff for learning and discussion about strengthening all USAID Program Cycle components (including strategic planning, project planning, performance monitoring, evaluation and learning).
- The Department has revised its two courses on evaluation – “Managing Evaluations” and “Evaluation Designs and Data Collection Methods” – based on feedback and experience from the implementation to better meet Department needs.
- The Department continues to integrate elements of the *Managing for Results Framework* in its Foreign Service Institute classroom and online curriculum for civil service employees, Foreign Service Officers, and Foreign Service Nationals.
- USAID will update its successful training courses for staff to build capacity for program evaluation – which have already reached about 15 percent of all USAID staff since 2011. The updated courses will include performance monitoring topics as well as evaluation and more of the content will be available through online training courses.
- The Department continues to collect information on evaluations through the evaluation registry and combine this data with the Evaluation Management System to track the number, type, and cost of evaluations as well as reveal trends in regions, topics and other areas as the amount of data grows.



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- USAID has commissioned an independent evaluation of the utilization of evaluations at USAID. The study, to be completed in FY2015, will improve understanding of how evaluations are used and what factors hinder or promote evaluation use.

Below are just a few examples from around the world that highlight how lessons learned through program evaluations and other program assessment activities have informed and improved foreign assistance programs.

## President's Emergency Plan for AIDS Relief (PEPFAR):

- PEPFAR is shifting the way it works to more effectively control the HIV epidemic. This new alignment is anchored in a data-driven approach that strategically targets populations at greatest risk in geographic areas with the highest HIV-burden. As stated in the [\*PEPFAR Blueprint for Creating an AIDS-free Generation\*](#), we must go where the virus is and put our resources where we can achieve the greatest impact. Expanding site-level data collection and analyses across the entire PEPFAR initiative permits much improved geographic mapping of the HIV epidemic at a granular level and supports decision-making to strengthen programmatic impact and efficiency.

## Bangladesh:

- USAID used evaluation findings and recommendations to revise the follow-on local governance activity. For example, the highly successful model of street dramas and community theater events were added to the activity.
- Evaluation findings [from the Mayer Hashi program of Long-Acting and Permanent Methods of Contraception](#) were used to inform strategic changes to improve implementation of a health project. This included addressing inefficiencies in the distribution of Misoprostol tablets at the community level and investigation of options for increasing male involvement in family planning.
- As part of a results-based approach, the Bureau of Counterterrorism (CT) at State conducted an [evaluation of its Anti-terrorism Assistance](#) programming in Bangladesh. One of a series of performance evaluations of ATA, the Bangladesh study looked at program effectiveness, institutionalization and sustainability, strategic objectives, and integration with other counterterrorism efforts. The evaluators found the program to be largely on track in most areas with the exception of integrating with other efforts. CT is addressing nine recommendations, including one on better integration targeted for 2016.

## El Salvador:

- State performed a [mid-term evaluation of the Partnership for Growth \(PFG\)](#) in El Salvador in collaboration with USAID and Millennium Challenge Corporation. The PFG aims to achieve accelerated, sustained, and broad-based economic growth in partner countries, through bilateral agreements between the United States government and the partner's national governments. It requires rigorous, joint analyses of countries' individual constraints to growth before developing joint action plans to address the most pressing constraints and to establish high-level mutual accountability for the goals and activities selected to alleviate them. The evaluation team found the PFG El Salvador initiative to have made great progress in developing a partnership where both governments participate in decision making. Further, the whole-of-government approach in El Salvador succeeded in focusing the initiative and promoting efficiency. Overall, objectively verifiable information was collected within the initiative. While improvements can be made to monitor data more systematically, better leverage a structured bilateral management team and produce goal-level work plans, the progress of several PFG selected interventions provides evidence of the effectiveness of the overall initiative at mid-term.



# Department of State and USAID Overview

## Georgia:

- Findings from a mid-term evaluation of the [Judicial Independence and Legal Empowerment Project](#), especially those related to working on the demand side with civil society organizations, were used by the implementing partner to adjust its course of action during the final year of the project.
- Evaluation findings validated the design of USAID's Restoring Efficiency in Agricultural Production (REAP) activity. The evaluation findings were posted with the REAP solicitation, and contributed substantially to increasing the quality of incoming proposals.

## Guatemala:

- The end-of-project evaluation of the [Program Against Violence and Impunity](#) was timed to inform the new project design process. The findings influenced the choice of performance indicators and validated much of the new project design work that had been done to that point. The evaluation found that the former performance monitoring indicators were not a useful measure of activity success as they were undervaluing the activity of the courts and their successes.

## Iraq:

- Evaluation findings were used to strengthen the sustainability of legal aid clinics and increase their effectiveness in advocacy and strengthen their preliminary efforts to develop a national network of legal aid civil society organizations, law school clinics, and legal associations.

## Malawi:

- The [biodiversity evaluation](#) informed the design of USAID's new biodiversity interventions such as Protecting Ecosystems and Restoring Forests in Malawi (PERFORM), which aims to slow deforestation, and Fisheries Integration of Society and Habitats (FISH), which will improve biodiversity conservation through sustainable fisheries management.

## Sudan:

- An evaluation of [Fixed Obligation Grants \(FOGs\)](#) provided a compelling case for the continued use of FOGs in Sudan to develop capacity of local organizations as appropriate. The evaluation emphasized the need to expand funding to projects that support institutional capacity building, women and youth.

## Uganda:

- State's Bureau of Population, Refugees and Migration (PRM) examined the effectiveness of gender-based violence prevention programming by the bureau and UNHCR with [field-based evaluations](#). The analysis employed standard rapid appraisal methods and found that the primary non-governmental organizations funded by PRM used a variety of strategies that overall were effective. In some cases, basic infrastructure such as medical services and safe houses was inadequate and additional attention is needed to counter the harmful effects of traditional norms. PRM is implementing a number of recommendations including using established local programs and encouraging partners to collect confidential feedback from survivors as well as expanding the use of the GBV information management system in countries of operation.

## West Bank Gaza:

- As a result of an evaluation, several changes were made to project operations including: updating indicators to better align with project objectives; revising the organizational chart to improve communication across project components; streamlining procurement processes; and revising the project's monitoring and evaluation plan to improve monitoring of activities.



# Department of State and USAID Overview

## Data Quality and Validation

The Department of State and USAID obtain and use performance data from three sources: (1) primary collection when data are collected directly by the Department or USAID or collection is funded by the Department or USAID, (2) partner data compiled by Department and USAID implementing partners in the field, and (3) third-party data from sources such as other government agencies, non-governmental organizations, or other development organizations.

Tools and resources are provided for bureaus and field missions to assess and verify the quality of primary and partner data against the standards of validity, integrity, precision, reliability, and timeliness.

- An example of the Data Quality Assessment checklist is provided in Annex II
- Performance indicators used in the field have associated Indicator Reference Sheets that fully define and describe the appropriate use of the indicator
- The Automated Directives System Chapter 203.3.11.2 (<http://www.usaid.gov/ads/200/203>) provides additional details on data verification and validation policies for USAID

For each key performance indicator in the APP/APR, there is an associated Indicator Methodology section that notes the data source and any data limitations.

## Lower-Priority Program Activities

The President's Budget identified the lower-priority program activities, where applicable, as required under the GPRA Modernization Act, 31 U.S.C. 1115(b)(1). The public can access the volume at:

<http://www.whitehouse.gov/omb/budget/>.

## Federal Cross Agency Priority Goals

Per the GPRA Modernization Act requirement to address Cross-Agency Priority (CAP) Goals in the agency strategic plan, the annual performance plan, and the annual performance report please refer to [www.performance.gov](http://www.performance.gov) for the agency's contributions to those goals and progress, where applicable. CAP Goals are a tool used by leadership to accelerate progress on a limited number of Presidential priority areas where implementation requires active collaboration between multiple agencies. The Department of State and USAID contribute to 10 of the 15 mission-oriented and management-focused goals, and continue to make progress on the CAP goals to which they contribute or own through active management, quarterly reporting, and periodic data-driven reviews. Below are the CAP goals and their goal statements to which Department of State and USAID contribute or own, as well as illustrative contributions.

### Job-Creating Investment

*Improve Federal investment tools and resources, while also increasing interagency coordination and encourage direct foreign investment, spurring job growth*

- FY14 Contributions by the Department of State include Memorandums of Intent (MOI) with government trade and investment organizations of Mexico, Brazil and India. Additionally State is focusing on facilitating greater foreign business cooperation and investment in the U.S. For example, in collaboration with SelectUSA, U.S. Ambassadors in select focus markets including Belgium, France, Germany, Italy, Japan, Mexico, and United Kingdom began to promote and recruit investors for the 2015 Investment Summit.



# Department of State and USAID Overview

## Efficiency: Benchmark and Improve Mission-Support Operations

*Improve administrative efficiency and increase the adoption of effective management practices by establishing cost and quality benchmarks of mission-support operations, and giving agency decision-makers better data to compare options, allocate resources, and improve processes.*

- The Department of State contributes to this goal through a number of fronts, including acquisition, financial management, human capital, IT management, and real property. State continues to work closely with OMB through the FedStat review process to improve business processes for mission support services and to seek opportunities for service improvement.
- As of FY 2014, USAID is the most efficient utilizer of space, with an average of 166 square feet per person as opposed to the Federal Government's median of 266 square feet. USAID has one of the lowest annual costs for desktop services at \$323 per end user, \$527 below the U.S. government median.

## Effectiveness: Customer Service

*Deliver world-class customer services to citizens by making it faster and easier for individuals and businesses to complete transactions and have a positive experience with government.*

- As one of the Department of State's Agency Priority Goals, the Department focuses on improving external customer service related to passport and visa processing services. State's successful practice of weekly monitoring of wait times and continual analysis of worldwide workload helps it exceed goal standards, remain aware of, and respond to, developing trends. Performance Goal 5.1.1 provides additional details on the Department's performance on this goal.
- USAID continues to work to improve customer service with internal and external audiences. For example, in FY 2014, the Agency implemented its new internal collaboration platform, MyUSAID, and launched an annual internal customer satisfaction survey. USAID also hosted a series of meetings designed to further communication and collaboration between the Agency and partner organizations.

## People and Culture

*Innovate by unlocking the full potential of the workforce we have today and building the workforce we need for tomorrow.*

- The Department of State regularly reviews and analyzes the feedback through the Federal Employee Viewpoint Survey (FEVS) to identify opportunities for improvement.
- USAID has undertaken a multi-year strategy to build a year-round FEVS cycle as well as the Agency-wide structure to support employee engagement efforts. USAID created the Leadership Effectiveness Index (LEI) based on the Office of Personnel Management's Diversity and Inclusion IQ Score—both snapshots of the FEVS questions categorized by key areas for leadership effectiveness, a central vehicle for employee engagement and satisfaction. The LEI was the focus of action plans created by each operating unit's leadership in partnership with that unit's action planning point of contact and operating unit staff. The Agency also held a series of focus groups with some operating units to further dissect results and inform action plans.

## Efficiency: Strategic Sourcing

*Expand the use of high-quality, high-value strategic sourcing solutions in order to improve the government's buying power and reduce contract duplication across government.*

- The Department of State has successfully begun a series of enterprise software licensing strategic sourcing efforts intended to lower cost and improve operational efficiencies both for domestically and for posts worldwide.



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- USAID examines new contracts for potential duplication with existing Federal Strategic Sourcing Initiative (FSSI) solutions. For example, the Agency established a phone/service blanket purchase agreement which did not duplicate existing FSSI wireless contracts.

## Insider Threat and Security Clearance

*Mitigate the inherent risks and vulnerabilities posed by personnel with trusted access to government information, facilities, systems and other personnel.*

- The Department of State recently reached initial operating capability for the new Federal Investigative Standards and implemented a new public records Continuous Evaluation pilot program.
- In FY 2014, USAID developed the Insider Threat Program. The Agency aligned the training curriculum for new employees with national standards, and aligned standard operating procedures with guidance from the National Insider Threat Task Force program assessment.

## Cybersecurity

*Improve cybersecurity performance through ongoing awareness of information security, vulnerabilities, and threats impacting the operating information environment, ensuring that only authorized users have access to resources and information, and the implementation of technologies and processes that reduce the risk of malware.*

- The Department of State addresses this goal through a number of initiatives, including Information Security Continuous Monitoring, Identity Credential and Access Management and Anti-Phishing and Malware Defense.
- USAID has a dedicated program underway to implement the Homeland Security Presidential Directive-12 requirement of Personal Identification Verification (PIV) usage across USAID. One hundred percent of Microsoft desktops and laptops are now equipped with PIV card readers inside Washington facilities. All Washington personnel will soon be required to log on using a PIV card.

## Climate Change

*More than double Federal government consumption of electricity from renewable sources to 20 percent by 2020 and improve energy efficiency at Federal facilities as part of the wider strategy to reduce the Federal Government's direct greenhouse gas emissions by 28 percent and indirect greenhouse gas emissions by 13 percent by 2020 (2008 baseline).*

- State Department and USAID have made progress on Greening Diplomacy Initiatives to reduce greenhouse gas emissions.

## Economic Growth: Open Data

*Fuel entrepreneurship and innovation and improve government efficiency and effectiveness by unlocking the value of government data and adopting management approaches that promote interoperability and openness of this data.*

- The Department of State continued its work on the Open Data Initiative to further unlock the value of government data. In FY 2014, the Department successfully expanded 72 datasets, enriched 36 datasets, and released 18 datasets to the Public Data Listing.
- In FY 2014, USAID drafted a new policy on development data which advances a coordinated 21<sup>st</sup> century approach to guide the Agency's engagement with the public, entrepreneurs, and innovators worldwide. It also ensures that USAID's partners are providing the Agency with all quantitative data collected, which USAID will in turn publish to facilitate open source engagement in finding solutions to the world's most intractable development issues. USAID was among the first U.S. government agencies to appoint a Chief Data Officer to oversee the process of inventorying and releasing its data to the public. At the end of FY



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2014, USAID was one of only two U.S. government agencies that are 100 percent compliant in all eight metrics related to open data.

## Efficiency: Shared Services

*Strategically expand high-quality, high value shared services to improve performance and efficiency throughout government.*

- In FY 2014, USAID completed its Federal Data Center Consolidation Initiative. USAID is a leader in the U.S. government in moving its infrastructure to the cloud.

## **Agency Priority Goals**

Per the GPRA Modernization Act, the Department and USAID identified five Agency Priority Goals (APGs) for FY 2014 – FY 2015 in the following areas:

- Food Security
- Global Health
- Climate Change
- Consular Service Delivery
- USAID Procurement Reform

Progress updates on each of these APGs are included in the applicable Performance Goal update sections in the report and on [Performance.gov](#).



# Strategic Goal 1: Strengthen America's Economic Reach and Positive Economic Impact

## Strategic Objective 1.1: Expand Access to Future Markets, Investment, and Trade

### Strategies for Achieving the Objective

Today's increasingly competitive global environment compels the U.S. government to strengthen its advocacy for free, transparent, and open markets; promote equal legal and regulatory treatment for American and local companies in foreign markets; expand support for U.S. companies looking overseas for customers and partners; broaden access to the United States for foreign students and leading researchers; and intensify international collaboration on innovation and technology. Our diplomatic missions are on the front-line in achieving these goals advocating for U.S. exporters, pushing to eliminate impediments for our companies, and promoting job-creating foreign direct investment in the United States.

The Department of State, together with the Departments of Commerce, Agriculture, and USAID, support the Office of the U.S. Trade Representative as it negotiates bilateral and multilateral trade, investment, and transportation agreements that reduce barriers to trade and foster a more open, transparent, inclusive, and rules-based international economic environment. Moreover, USAID and State deliver targeted trade capacity building and technical assistance to foster adoption of agreed trade and investment rules. USAID further facilitates improvements in country trading systems and helps build capacity for trade, working with developing countries and countries in transition to identify and reduce trade and other barriers that inhibit business formation and growth. Assistance also encompasses reforming laws and regulations, reducing compliance costs for businesses and individuals, and ensuring implementation and enforcement capacity. The Department and USAID also promote regional economic integration as a way to reduce tensions among states, promote growth, and create larger common markets for U.S. exporters.

The Department partners with the Department of Commerce to advocate for U.S. companies bidding on foreign government tenders, to help U.S. companies find new markets for exports, to continue policies that open markets to trade and investment, and to encourage investment in the United States. The ability of U.S. companies to bid successfully on foreign government tenders is a measure of U.S. government success working with other governments to negotiate market-opening agreements and resolve regulatory issues, and in ensuring fairness for our companies in the face of aggressive foreign competition.

U.S. industries and operators are at the forefront of information and communication technology development and innovation. The State Department, in collaboration with the Federal Communications Commission, the Department of Commerce, other executive branch agencies, and industry, actively promotes the regulatory and policy environment necessary for market confidence and economies of scale for a global information and communications technology sector. U.S. engagement with organizations such as the International Telecommunication Union (ITU), the Organization for Economic Cooperation and Development (OECD), and the Asia-Pacific Economic Cooperation (APEC) enables agreement on the technical standards and policies that drive this sector, facilitating scientific advancement, expansion of affordable broadband Internet access, and the evolution of wireless devices.

The Department of State promotes educational and professional exchanges and links between the United States and foreign educational, non-profit, and private sectors; promotes U.S. educational exports such as study in the United States through student advising centers; and prioritizes the visa applications of students, scholars, and exchange visitors, regularly expediting appointments and maintaining short appointment queues for these



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priority travelers. These efforts, and the people-to-people connections they foster, advance research and collaboration while building respect for the United States.

USAID assistance to strengthen foreign markets makes other countries better trade and investment partners for the United States. USAID tailors programs for individual countries. Some need assistance in broad-based economic policy reforms; others need help developing market-supporting institutions such as improved commercial law, industrial relations systems, trade regimes, banking structures, stock exchanges, or tax collection systems.

USAID has prioritized support for the World Trade Organization Agreement on Trade Facilitation (TFA), which is aimed at streamlining borders, including enhancing technical assistance and capacity building for developing countries. Implementation of this seminal agreement is expected to provide cost and time savings for companies trading goods regionally and internationally. Programming will focus on reforms that boost trade by reducing costs and delays for traders, and increase the predictability, simplicity and uniformity in customs and other border procedures. USAID is working with the private sector as an important partner in this work, involving U.S. and local business communities on public-private partnerships that expand and deepen bilateral trade and investment opportunities.

The intersection between economic growth and competitiveness, rapidly advancing technology, and the complexity of critical issues such as climate change require the Department of State and USAID to integrate traditional economic policy approaches with our support for entrepreneurship, environmental stewardship, innovation, and scientific collaboration. Expanding international collaboration on science, technology, and knowledge-based industries, facilitating fair access to emerging markets for U.S. companies, and fostering the free flow of goods, services, and ideas, while protecting intellectual property rights, have a powerful impact on growth and innovation.

Throughout all these efforts, the Department and USAID seek to increase the positive impact of economic growth. This means promoting gender and ethnic equality; increasing access to and defending a free, open Internet; advancing human rights and labor rights; encouraging responsible business practices; and protecting the environment. Gender activities are guided by the *Presidential Memorandum on Coordination of Policies and Programs to Promote Gender Equality and Empower Women and Girls Globally*.

## Strategic Objective Progress Update

The Departments of State and Commerce collaborated to improve the President's National Export Initiative, launching the new version, NEI/Next. NEI/Next is a new customer service-driven strategy with improved information resources that will ensure American businesses are fully able to capitalize on expanded opportunities to sell their goods and services abroad. NEI/NEXT will help more American companies reach more overseas markets by improving data, providing information on specific export opportunities, working more closely with financing organizations and service providers, and collaborating with states and communities to empower local export efforts.

Progress has been demonstrated on SelectUSA, a program created at the federal level to showcase the United States as the world's premier business location and to provide easy access to federal-level programs and services related to business investment. SelectUSA is designed to complement the activities of our states—the primary drivers of economic development in the United States. This effort is driving the creation of major policy conferences like the Investment Summit and the Summer Forum, taken economic development organizations

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(EDOs) on Road Shows throughout the world to connect them with investors, and facilitated seminars at industry trade shows in the United States and overseas.

The Department of State also demonstrates progress in Strategic Objective 1.1 with the Business Information Database System (BIDS). BIDS is a portal built to help U.S. businesses learn about significant international commercial opportunities. The BIDS website features an interactive map that displays descriptions and locations of projects that represent potential contract or tender opportunities for U.S. businesses. The site also connects U.S. business to detailed information about each project as well as information to contact U.S. embassies overseas. BIDS is an open data platform; developers can use BIDS data to support other applications including the development of websites and apps. Over the long-term, BIDS is also designed to create an archive of projects that can be used to analyze development and procurement patterns.

In addition to responsibility for maintaining the Trade Capacity Building (TCB) Database, which serves as a primary source for TCB information for many U.S. government agencies, USAID is also the lead U.S. government agency for implementation of the TFA. During 2015-2017, USAID will continue support for Trade Facilitation reforms with a focus on partnerships with the private sector and international like-minded donors. Partnering with the private sector will capitalize on real world experience and insights to ensure real savings in time and cost of trade.

On another front, the Department of State is monitoring a positive trend in the number of foreign students studying in the U.S. and note progress is on track to meet goal of a 50 percent increase in high-level science and technology and innovation engagements.

In addition to these efforts, the U.S. Global Development Lab (Lab) launched in April 2014 is making strong progress to bring game-changing solutions to global scale and drive innovation. The Lab serves as a hub and intellectual center for those focused on evidence around development impact, cost effectiveness, and scalability.

USAID, through the Lab, identified four promising innovations ready to reach millions of people: drought and disease tolerant maize in Africa; chlorhexidine, a simple antiseptic that reduces the incidence of infant illness and death from umbilical cord infection; electronic payment systems; and real-time data systems. These solutions, along with others being tested and scaled by universities, researchers, nongovernmental organizations, and private sector partners, via private sector routes, are on a path to reach more than five million people. Over the next five years, the Lab is taking 10 percent of solutions in its pipeline of innovations to at least one million people each, and 10 percent of those to global scale, improving 200 million lives around the world.

The main challenge is the ambition of the Lab's planned impact and its reliance upon collaborative partnerships to achieve targets. In collaboration with a wide range of external actors to leverage one dollar in external funding for every one dollar in Lab investment, success depends upon an ability to create and sustain partnerships to take solutions to developing countries and communities.

The Lab's Action Plan is to build business plans for each of the four principal solutions we will support reaching scale, and to engage USAID bureaus, missions, other U.S. government agencies, international organizations, host country counterparts, foundations, corporations, nongovernmental organizations, and other donors to join in taking these proven solutions to scale. Additionally, the Lab will draw attention to other solutions in the



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innovation pipeline so that hundreds of other solutions may find paths to scale independently, for example, through private sector and nongovernmental channels.

## Performance Goal 1.1.1: Advocacy to Support U.S. Export of Goods and Services

**Performance Goal Statement:** By September 30, 2017, using 2013 baseline data, support increased exports of U.S. goods and services by: (1) doubling appropriate commercial advocacy for U.S. businesses by ambassadors and Assistant Secretary or higher officials and; (2) increasing the number of international students studying in the United States by an average of five percent per year.

### Performance Goal Overview

Expanding access to future markets, investment, and trade involves formal trade agreements, setting international standards that enable fair competition and allow for a transparent trade environment, and working level collaboration to create demand for U.S. products and services. Agreements are important, but only open the door. U.S. firms still have to win contracts. Through economic and diplomatic work, the Department sets the stage for U.S. companies to enter new markets and then highlight the attributes of U.S. firms; promote technical, scientific and innovation cooperation that can lead to common or mutually accepted standards, and heighten interest in U.S. technology and services.

One of the clearest indicators of success in these activities that facilitate increased investment and trade is the ability of U.S. firms to win foreign-sponsored projects. When an American supplier is selected, it shows that required elements are in place: market opening agreements; a functioning foreign economy capable of purchasing U.S. goods and services; receptiveness to U.S. suppliers; and effective U.S. government advocacy on behalf of U.S. firms.

The Department of Commerce's Advocacy Center manages the U.S. government's advocacy process and works with other agencies to coordinate high-level U.S. government engagement. This support helps U.S. exporters win public-sector contracts with foreign government agencies. Department of State ambassadors and senior officials raise advocacy cases in meetings with foreign counterparts to assist U.S. firms. Senior level advocacy on these premier cases is the pinnacle of the Department's advocacy efforts and requires close coordination between the Departments of State and Commerce in support of the National Export Initiative, economic growth, and jobs at home. Senior level advocacy interventions with foreign governments include points raised in meetings, letters sent, and calls made regarding premier advocacy cases where senior State officials intervened.

The new World Trade Organization (WTO) agreement on Trade Facilitation (TFA) contains provisions to streamline the movement of goods across borders. In order to improve transparency and reduce the time it takes to move goods across borders, USAID will provide technical assistance to developing countries to assist them in meeting their commitments to the TFA. For example, USAID works with developing countries by facilitating self-assessments which helps a country identify what it will need in order to implement the TFA; the time it will take to implement each provision, as well as the country's technical assistance needs. Implementation of the TFA is expected to provide cost and time savings for companies associated with trading goods regionally and internationally, potentially creating new trade opportunities worldwide.

The American higher education sector is an engine for American innovation and growth, providing opportunities for international students to partner with Americans in collaboration that furthers market access and increased



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trade in a global marketplace expected to grow by 43 percent from 2012 levels to \$6.4 trillion in 2017. With their enrollment at higher education institutions alone, international students contribute economic value to our nation as the fifth largest U.S. service sector export. In 2013-2014, international students contributed \$27 billion to the U.S. economy, according to the Commerce Department, in tuition, living expenses including room and board, books and supplies, transportation, health insurance, and support for accompanying family members. About 74 percent of all international students receive the majority of their funds from sources outside of the United States, including personal and family sources as well as assistance from their home country governments or universities. Students from around the world who study in the United States also contribute to America's scientific and technical research and bring international perspectives into U.S. classrooms, helping prepare American undergraduates for global careers, and often lead to longer-term business relationships and economic benefits. The Department encourages their enrollment through more than 400 EducationUSA centers worldwide, where trained advisers provide accurate, current, and comprehensive information about studying in the United States. Foreign students are particularly important to U.S. colleges and universities' advanced science and engineering research and coursework, driving U.S. innovation.

## Performance Goal Progress Update

**Key Indicator: The number of State Department high-level commercial advocacy efforts to support U.S. export of goods and services**

	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target	N/A	28	34	40	48
Actual	24	35			

## Indicator Analysis

Advocacy wins are often multi-year efforts. The indicator tallies advocacy efforts when a win is recorded (e.g. contract signed); the annual value is thus subject to rise and fall with global economic trends and underlying business opportunities available for U.S. government advocacy. As facilitators and not decision makers, U.S. government advocacy may not result in wins for U.S. companies. Secretary Kerry launched the Shared Prosperity Agenda in 2014 which includes efforts to improve and expand Department high-level advocacy. FY 2014 results illustrate that the Department is making meaningful progress towards doubling the Department's high-level advocacy efforts by 2017, in support of U.S. exports and job creation.

## Indicator Methodology

The indicator tracks interactions by senior State Department officials (Ambassador or Assistant Secretary level) reported in Advocacy Center Premier List wins in FY 2014. The Department of Commerce's Advocacy Center maintains a list of "premier" cases approved for U.S. government advocacy, which typically take the form of phone calls, meetings, and/or letters to foreign government officials in support of a U.S. company or business unit.



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## Key Indicator: Time to export (in days)

	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target	N/A	28	28	27	27
Actual	29	28			

## Key Indicator: Time to import (in days)

	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target	N/A	34	33	32	31
Actual	35	34			

## Indicator Analysis

Greater engagement in international trade can increase a country's per capita income, often dramatically. Developing countries that successfully integrated into the global economy enjoyed per capita income increases, while countries that limited their participation in the global economy in the 1990s experienced economic decline. Research confirms that countries can boost the ability of their companies to compete more effectively in trade if they promote efficient export/import procedures that reduce the cost of doing business. Reducing the time it takes to export and import goods improves the price competitiveness of traded goods on average one percentage point for each day saved and as much as four percentage points per day. Efficient movement of inputs and timely delivery of exports to clients are key determinants of private sector competitiveness, productivity, and wage growth.

The data in the table above represent the aggregate average time to comply with export and import procedures (in days) by lower and lower middle income countries receiving U.S. foreign assistance. The FY 2013 actual of 29 days to export and 35 days to import are set as the baseline for selected countries. Because the average refers to results for lower and lower middle income countries, average progress is unlikely to be large unless many countries within these categories take actions designed to improve performance at the same time. Since FY 2010, the time it takes to fulfill export procedures has fallen from 31 to 28 days, and to import from 35 days to 34 days respectively, indicating progress in the Trade and Investment program area. The countries monitored for this indicator include lower and lower middle income countries across all regions.

## Indicator Methodology

Data Source: These data come from the World Bank, Doing Business Report. Countries monitored for this indicator are: lower and lower middle income countries, as defined by the World Bank. The values are the



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average time to comply with export procedures (days) and the time to comply with import procedures (days). Global reporting of this data started in FY 2005.

**Data Quality:** The World Bank Doing Business Project provides objective measures of business regulations and their enforcement across 183 economies. Before publication, the data undergo a rigorous review and validation process by World Bank technical staff. The USAID Economic Analysis and Data Service Project examine the data after public release and notify the World Bank if erroneous data are published. Prior year numbers are often updated/corrected post publication.

## Key Indicator: The number of foreign students studying in the U.S.

	FY 2011	FY 2012	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target	N/A	N/A	N/A	860,626	903,657	948,840	996,282
Actual	723,277	764,495	819,644	886,052			

## Indicator Analysis

In 2013-2014, international students contributed \$27 billion to the U.S. economy, according to the Commerce Department, in tuition, living expenses including room and board, books and supplies, transportation, health insurance, and support for accompanying family members. About 74 percent of all foreign students enrolled in American universities and colleges received funding from sources outside the U.S.

## Indicator Methodology

The *Open Doors Report on International Educational Exchange* is published by the Institute of International Education (IIE), the leading not-for-profit educational and cultural exchange organization in the United States. IIE has conducted an annual statistical survey of campuses regarding the international students in the United States since 1919, and with support from the Department of State's Bureau of Educational and Cultural Affairs since the early 1970s. The census is based on a survey of approximately 3,000 accredited U.S. institutions.

## Performance Goal 1.1.2: Science, Technology, and Innovation Cooperation

**Performance Goal Statement:** By September 30, 2017, expand by 50 percent the number of senior-level science and technology innovation dialogues with key foreign governments using the eight 2013 dialogues as the baseline, and enable one percent of U.S. Global Development Lab innovations/technologies to reach more than five million people and 10 percent to reach more than one million people, using 2013 as the baseline.

## Performance Goal Overview

The United States has tremendous expertise and comparative advantage in harnessing the power of science, technology, innovation, and entrepreneurship through world-class universities and research institutions. Moreover, Science, Technology, Engineering, and Mathematics companies have promoted a culture of



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innovation and entrepreneurship that has created new economic sectors and opportunities for growth. Science and technology, coupled with greater connectivity and partnerships, can change the reality of what is possible. Today the United States has new tools and approaches to achieve progress that was simply not imaginable in the past. Breakthroughs pioneered for the developing world, such as low-cost health diagnostics, can benefit the United States. Over the next forty years, the developing world is expected to be the largest source of product and services growth, which will directly translate to economic growth both in the U.S. and globally.

The Department of State and USAID are integrating new approaches to support innovation and scientific collaboration. These initiatives, such as the Lab, are partly in response to overwhelming requests from many countries to collaborate on science, technology, and innovation with the United States, which enhances the United States' ability to influence key policies, regulations, and investments of these countries. The Department and USAID also recognize that engaging science and technology will result in more efficacious, faster, cheaper, and sustainable solutions to key global challenges, and will allow the U.S. to better address problems such as food security, energy demands, environmental change, and the spread of infectious diseases.

The initiatives encompass expanding international science and technology partnerships; developing and scaling transformational innovations and technologies; collaborating with universities, private sector businesses, non-governmental organizations, and entrepreneurs; crowdsourcing ideas from an unlimited global solver audience; facilitating fair access for U.S. companies and others with cutting edge technology to emerging markets; and fostering the mutually beneficial exchange of goods, services, and ideas while protecting intellectual property rights.

The United States can utilize its unrivaled global science and technology leadership to further the development of foreign partners' domestic innovation ecosystems to promote knowledge-based economies and support sustainable, inclusive growth. The United States can lead the international community in harnessing the global spread of science and technology and the ability to translate those advances into innovations that improve the efficacy, speed, cost, and sustainability of solutions. Open data, good governance, and partnerships are key to achieving these objectives.

As the world's challenges are increasingly shared in a globalized world, these interventions can have a powerful impact on U.S. growth and global prosperity. By helping other countries develop their innovation ecosystems, we are developing potential markets and infrastructures that can benefit the U.S., our entrepreneurs and businesses, while increasing our access to the best ideas, wherever they are, and improving their prospects for success.



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## Performance Goal Progress Update

**Key Indicator: Number of senior-level science and technology innovation dialogues with key foreign governments**

	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target	N/A	9	10	11	12
Actual	8	10			

### Indicator Analysis

Formal innovation dialogues allow the Department to address a lack of capacity and the regulatory frameworks that are essential to achieve innovation. They also allow the sharing of best practices. The Department participated and organized science, technology, and innovation (STI) dialogues with ten countries in 2014, exceeding the FY 2014 target. These included Joint Committee Meetings with Argentina, China, Colombia, India, Indonesia, Japan, Korea, New Zealand, Philippines, and Uzbekistan. Two of these events represent new bilateral STI relationships (Uzbekistan and Philippines). Several of these events included the participation of the Under Secretary for Economic Growth, Energy, and the Environment, as well as the President's Senior Science Advisor. The Department is on target to meet its FY 2015 goal. Efforts to broaden STI engagement in the MENA region, if successful, may lead to a higher number of dialogues in 2015.

### Indicator Methodology

The indicator data only includes the Bureau of Oceans and International Environmental and Scientific Affairs (OES) and the Bureau of Economic and Business Affairs (EB) bilateral dialogues with a focus on science and technology innovation including entrepreneurship and public-private partnerships. Achievement of this goal will be measured by the number of dialogues headed by an Office Director or more senior official with foreign governments on science and technology innovation, including entrepreneurship and public-private partnerships. Such dialogues will increase the opportunities for significant multi-year collaborations between U.S. and foreign institutions. To qualify, an Office Director or more senior official must head the dialogue and it should be at least one-half day in length. It may be part of a broader bilateral dialogue.

**Key Indicator: Percent of U.S. Global Development Lab innovations/technologies that reach more than 1 million people.**

	FY 2014	FY 2015	FY 2016	FY 2017
Target	10%	10%	10%	10%
Result	N/A			

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## Indicator Analysis

FY 2014 results will be available from the Lab starting in FY 2015. In FY 2014, the Lab was formed by combining the Office of Science and Technology and the Office of Innovation and Development Alliances and creating a new expanded mission. One part of the Lab's two-part mission is now focused on accelerating the pace at which development technologies reach and improve the lives of people. The Lab created new programs for this purpose and some existing programs are shifting their emphasis. It will take at least a year to start to see meaningful results for this indicator.

## Indicator Methodology

The Lab will collect data from grantees on beneficiaries reached, and the total number of innovations the Lab is supporting is being tracked. As part of the reorganization, the Lab is standardizing, wherever possible, metrics and indicator definitions across programs so that more reliable data for the Lab on the whole is available.

### **Key Indicator: Percent of U.S. Global Development Lab innovations/technologies that reach more than 5 million people.**

	FY 2014	FY 2015	FY 2016	FY 2017
Target	1%	1%	1%	1%
Result	N/A			

## Indicator Analysis

FY 2014 results will be available from the Lab starting in FY 2015. In FY 2014, the Lab was formed by combining the Office of Science and Technology and the Office of Innovation and Development Alliances and creating a new expanded Mission. One part of the Lab's two-part Mission is now focused on accelerating the pace at which development technologies reach and improve the lives of people. The Lab created new programs for this purpose and some existing programs are shifting their emphasis. It will take at least a year to start to see meaningful results for this indicator.

## Indicator Methodology

The Lab will collect data from grantees on beneficiaries reached and the total number of innovations the Lab is supporting is being tracked. As part of the reorganization, the Lab is standardizing, wherever possible, metrics and indicator definitions so that more reliable data for the Lab on the whole is available.

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## Strategic Objective 1.2: Promote Inclusive Economic Growth, Reduce Extreme Poverty, and Improve Food Security

### Strategies for Achieving the Objective

The world is coalescing around a goal to end extreme poverty by 2030, with growing optimism that this remarkable goal is within reach. The U.S. role is critical to ensuring continued global progress. American ingenuity is essential to solving the most complex development challenges that stand in the way of a world without extreme poverty.

The Department and USAID are making critical contributions toward achieving this goal. Ending extreme poverty requires enabling inclusive growth and promoting free, peaceful, and self-reliant societies that build human capital and create social safety nets for the poorest members of society, including women and other marginalized groups, such as people with disabilities, Lesbian, Gay, Bisexual and Transgender (LGBT) people, and members of indigenous or ethnic minority groups. Engagement can open doors for development by resolving conflict, fostering political stability, and advocating development-friendly policies. U.S. government initiatives that increase food security, reduce deaths from preventable illness, and improve energy access address fundamental causes of poverty. USAID's work on education and resilience in the face of recurrent crisis is reaching millions in extreme poverty, and cross-cutting efforts on gender, governance, and climate are key to sustainability. USAID is also strongly positioned in the countries - many of them fragile - where extreme poverty affects the most people.

The Department and USAID promote inclusive growth through initiatives such as the African Women's Entrepreneurship Program (AWEP), which provides professional networking, business development, and trade capacity building opportunities for prominent women entrepreneurs across sub-Saharan Africa. AWEP includes an export readiness program, technical assistance, and access to capital. It empowers small-and-medium-sized African enterprises to capitalize on the Africa Growth and Opportunity Act, increasing trade regionally and with the United States. USAID's Women's Leadership Incentive Fund is also used annually to leverage Mission funding in support of women's economic empowerment and female entrepreneurs are key participants in USAID's worldwide economic growth projects. For example, using Leadership Funds, women in Bangladesh will be empowered to lead on employment and labor reform in the apparel sector, a crucial arena for promoting inclusive economic growth.

USAID's Policy Framework features eight interrelated development objectives: (1) increase food security; (2) promote global health and health systems; (3) reduce the impact of climate change and promote low emissions growth; (4) promote sustainable, broad-based economic growth; (5) expand and sustain the ranks of stable, prosperous, and democratic states; (6) provide humanitarian assistance and support disaster mitigation; (7) prevent and respond to crises, conflict, and instability; and (8) improve lives through learning and education. Poverty is multi-dimensional, and elements of each of these eight objectives are essential to address the causes and consequences of extreme poverty and promote inclusive growth.

USAID is establishing a new development model that focuses on creating public-private partnerships and harnessing science, technology, and innovation to deliver measurable results. The new model is grounded in the reality that political leadership and policy reform are essential preconditions to driving investment to the regions and sectors where it has the biggest impact on reducing extreme poverty and ending the most devastating consequences of child hunger and child death. This approach requires integrated diplomatic and development

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efforts as we seek policy reform and promote investment and responsible business conduct in complex and transitional environments.

## Strategic Objective Progress Update

In his 2013 State of the Union Address, President Obama laid out a challenge—to governments, organizations and individuals—to end extreme poverty in the next two decades. Feed the Future has made strong progress toward this goal, including leading a global reinvestment in agriculture, designing and implementing modern development assistance programs aligned to country-led strategies in focus countries, establishing a rigorous analytical base, developing a research strategy, and launching innovative public-private partnerships. The [2014 Feed the Future Progress Report](#) demonstrates that we are starting to see results from this work.

Even with these successes, the U.S. government has encountered challenges. The Feed the Future Results Framework is ambitious and has raised the bar on the rigor agencies expect from themselves, their implementing partners, and partner countries. To be sustainable, the monitoring and evaluation framework must use data from partner country sources for certain indicators; however, the quality and availability of data vary widely across countries. To address this, the U.S. government is engaging in capacity-building efforts with partner government institutions and supporting the implementation of the United Nations Global Strategy to Improve Agricultural and Rural Statistics.

Achieving widespread adoption of modernized farming practices and agricultural technologies in Feed the Future-focus countries is particularly difficult among the most resource-poor farmers. Higher poverty levels tend to correlate with higher risk aversion among smallholders, making it less likely that they will use new methods and invest in new technologies. Therefore, Feed the Future is building an evidence base on what works and identifying how we will support partner country policymakers in advancing policy reforms critical to increasing technology use. These actions support the country-led processes in Feed the Future-focus countries and, in Africa, will advance the efforts of the New Alliance for Food Security and Nutrition (for additional information on the progress of the New Alliance for Food Security and Nutrition, see the [2013-2014 Progress Report](#)).

Recognizing that inequalities between men and women farmers' access to productive inputs constrain agricultural productivity, Feed the Future strives to ensure greater gender equality and women's empowerment through its programming. Although there has been progress in reaching individual female farmers and in developing a robust monitoring framework, the data in the Progress Report show uneven success in empowering women's organizations and creating policy change.

As the U.S. government addresses these and other challenges, the current test is not only to sustain progress, but to improve and accelerate our efforts. To get there, the U.S. government must continue to work smarter—challenging assumptions and building our evidence base, pursuing innovative partnerships, breaking down ineffective organizational boundaries, linking relief to development, and scaling up innovation and private investment to spur agricultural growth.

## Strengthening Gender Integration in Development Programming:

In July 2014, Secretary Kerry issued policy guidance on "Promoting Gender Equality and Advancing the Status of Women and Girls" which, along with existing Department guidance and USAID's Gender Equality and Female

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Empowerment Policy (GE/FE), provides direction on promoting gender equality in service of national security and foreign policy objectives. Complimentary in scope, both policies require that gender equality be incorporated into U.S. foreign policy and assistance development, strategic and budget planning, implementation of policies and programs, management and training, and monitoring and evaluation of results. In addition, the U.S. National Action Plan on Women, Peace, and Security, the U.S. Strategy to Prevent and Respond to Gender-based Violence Globally, and Ending Child Marriage and Meeting the Needs of Married Children: The USAID Vision for Action all provide additional strategic direction for engagement. USAID also issued Automated Directives System (ADS) Chapter 205, a standalone chapter on gender integration that operationalizes and provides concrete direction on how to carry out the mandates of the GE/FE Policy. Both the Department and USAID have made significant progress in overall efforts to integrate gender in all aspects of diplomatic, development, and operational efforts, including:

## **Integrating a focus on gender across all diplomatic and development engagement:**

The Department of State and USAID work to ensure that gender equality and women's issues are fully integrated into the formulation and conduct of U.S. foreign policy and development programming. The Department's Full Participation Fund (FP Fund) supports innovative efforts by bureaus and posts to integrate gender into their overall efforts, including their operations and programming. The FP Fund offers posts and bureaus the opportunity to demonstrate how gender can be integrated into the day-to-day foreign policy-making process of the U.S., while crafting programs that directly promote empowerment of women and girls abroad.

## **Implementing U.S. strategic initiatives related to gender-based violence and women, peace, and security:**

The Department and USAID both provide staff and implementing partners with guidance on how to execute U.S. strategic priorities identified in the U.S. National Action Plan on Women, Peace, and Security, and U.S. Strategy to Prevent and Respond to Gender-based Violence Globally. Both the Department and USAID also support stand-alone programs to address Gender-based Violence (GBV) across the globe. For example, through the Full Participation fund, Embassy Guinea, will launch a new partnership with the Government of Guinea and other multilateral and civil society actors to eliminate female genital mutilation (FGM/C) in eight districts— impacting up to 65,000 girls. Using GBV Incentive Funds, USAID/Haiti will strengthen GBV survivor-centered services and referral pathways through improving institutional capacity, while also preventing future instances of GBV through bolstering community resilience and opening up economic opportunities to reduce the vulnerability of survivors. For more information regarding progress results on the U.S. National Action Plan on Women, Peace, and Security and U.S. Strategy to Prevent and Respond to Gender-based Violence Globally, please refer to each strategy's annual implementation reports.

## **Building staff capacity through gender training:**

To ensure that all staff has capacity to integrate gender equality and the empowerment of women and girls effectively in their work, both State and USAID have expanded training opportunities on gender. In particular, USAID requires staff who design, evaluate, or manage strategies and projects, or who directly or indirectly supervise these staff, to receive basic gender training by taking the online course Gender 101. Over 4,000 people have already completed this course. Gender 102 and Gender 103 are also now available to all staff online. These courses focus on describing USAID's requirements related to gender integration and providing staff with concrete examples and methodological tools to build the skills required to carry out these mandates. Sector-specific, in-person gender courses (e.g., in Democracy and Governance, Global Health, conflict, human trafficking) have also been designed and delivered. Similarly, through the Foreign Service Institute, the



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Department offers both a classroom course and distance learning course on promoting gender equality, and is working to integrate a focus on gender equality in relevant regional, tradecraft, and leadership courses.

## **Incorporating gender-based analysis into program design and decision-making:**

USAID requires that gender analysis be carried out and the results incorporated into the design of all projects. For example, USAID understands that reducing gender inequality and recognizing the contribution of women to agriculture is critical to achieving global food security. As a result, Feed the Future integrates gender-based analysis into all of its investments. New analytical tools, like the Women's Empowerment in Agriculture Index equip USAID with the means to identify ways to help women overcome obstacles and constraints. A major accomplishment in this area is the 2014 [Global Report on the Women's Empowerment in Agriculture Index](#). This report included comprehensive, empirical analysis baseline measures of women's empowerment for 13 Feed the Future countries. Feed the Future aims to strategically apply these findings to further inform gender integration efforts in programming.

## **Resilience to Recurrent Crisis:**

In late 2011 and early 2012, building resilience to recurrent crisis emerged as a USAID priority. Large-scale droughts in 2011-2012 once again underscored the costs of not addressing the underlying causes of recurrent crises in the Horn of Africa and Sahel. These include the humanitarian costs measured in lost lives, livelihoods, dignity, and aspiration, as well as the developmental costs to national and regional economies. For example, unfettered drought in Kenya between 2008 and 2011 is estimated to have cost the Kenyan economy \$12 billion. It also includes the economic costs of repeatedly responding to these crises with humanitarian assistance as attested to by the \$1.5 billion the U.S. government spent in responding to humanitarian crises in the Horn of Africa and Sahel in 2011-2012 alone. Together with its development partners, USAID is committed to the shared goal of building resilience to get ahead of chronic crisis, protect and advance development gains, and make populations around the world less vulnerable to inevitable shocks.

In FY 2014, USAID launched the Global Resilience Partnership (Resilience Partnership), a new Public/Private Partnership between USAID, the Swedish International Development Coordination Agency (SIDA), and the Rockefeller Foundation. The Resilience Partnership aims to help millions of vulnerable people in the Sahel, the Horn of Africa, and South and Southeast Asia better adapt to shocks and chronic stresses and invest in a more secure future. Specific goals of the partnership include, (1) developing new models for accessing, integrating, and using data and information; (2) increasing the ability of people, communities, systems, and countries to forecast, manage, and adapt to a variety of risks; (3) developing new evidence-based tools and approaches to align key actors, and prioritize and scale-up resilience investments and innovations; (4) engaging a range of actors, including the private sector, to pioneer resilience-building products, leverage resilience investments, and build local capacity; and, (5) promoting more effective integration of development and humanitarian resources to directly address underlying vulnerabilities. As its first activity, the Resilience Partnership launched a Global Resilience Challenge, which called for multi-sectoral teams to collaborate on innovative solutions to the toughest resilience challenges in the three focus regions.

In FY 2014, USAID continued to support efforts to build resilience to recurrent crisis in vulnerable, dry-land areas in the Horn of Africa and Sahel. These efforts support country-led strategies and aim to sustainably expand economic opportunities on and off farms, strengthen natural resource, conflict and disaster risk management, and improve health, nutrition, and human capital. Illustrative achievements from these efforts include nearly a quarter of a million hectares of land under improved Natural Resource Management during the first year of



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consolidated resilience-building efforts in Niger and Burkina Faso, improved access to year round water sources for more than 163,000 people in the drought-impacted drylands of Ethiopia, the expansion of livestock insurance services in Ethiopia and Kenya, and strengthened Drought Cycle and Disaster Risk Management in 145 communities in northern Kenya that were impacted by the 2011 drought. USAID's continued efforts to build resilience in the Horn of Africa reached an estimated 3.8 million people in FY 2014. The more recent launch of USAID's resilience efforts in the Sahel will build on foundational Food for Peace development programs and Office of Foreign Disaster Assistance Disaster Risk Reduction investments and reach an estimated 1.9 million people.

## Additional Evidence Measuring Achievement of the Objective

### Proportion of countries with focused resilience zones that have exhibited reduced depth of poverty rates within those zones

	FY 2015	FY 2016	FY 2017
Target	50%	Targets to be published in FY 2017 APP.	
Actual			

## Indicator Analysis

This indicator measures the proportion of countries with focused resilience zones where data from representative population-based surveys in those zones show a reduction in the depth of poverty between two points in time. Countries are only included in the indicator once they have at least two data points to compare. Thus far, data on poverty rates have been collected for focused resilience zones in Kenya and Ethiopia to determine an initial baseline. The next round of planned surveys, to be collected in FY 2015, will provide a second data point to allow USAID to determine the impact of its investments in reducing poverty rates. Therefore, USAID will not have data to demonstrate an impact on poverty rates until those surveys are complete. Additional surveys planned for FY 2015 will collect baseline poverty data for focused resilience zones in Burkina Faso, Niger, and Nepal.

Priority resilience countries and focus resilience zones within these countries have been identified and defined based on four sets of criteria: recurrent crisis in the form of repeated, large-scale humanitarian emergencies; risk as defined by hazards and vulnerability to them; the enabling environment, defined by government partner political will and commitments; and USAID's comparative advantage in terms of the opportunities to sequence, layer, and integrate new and existing humanitarian and development investments to achieve the shared aim of building resilience to recurrent crisis (see [Building Resilience to Recurrent Crisis: USAID Policy and Program Guidance for further information](#).)

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## Indicator Methodology

Data source: Data are obtained from secondary data sources, by abstracting focused resilience zone clusters from national-level population-based surveys, such as the Living Standards measurement survey or equivalent, and/or from a combination of USAID baseline, interim, and final population-based surveys.

Data quality: Performance data, verified using Data Quality Assessments (DQAs), must meet standards of validity, integrity, precision, reliability, and timeliness. Each Operating Unit must document the methodology used to conduct the DQAs. DQA and data source records are maintained in the Performance Management Plans. (For details, refer to USAID's Automated Directive System [ADS] Chapter 203.3.11, <http://www.usaid.gov/sites/default/files/documents/1870/203.pdf>).

## Performance Indicator Change from FY 2015 APP

The FY 2015 Annual Performance Plan (APP) included one additional performance indicator for this Strategic Objective, "Primary Net Enrollment Rate". This indicator has been removed as a measure of performance against this Strategic Objective for two main reasons: 1) the emphasis of USAID basic education programming has largely shifted from broad access and quality goals to focus on specific learning outcomes for students; and 2) the indicator is not aligned with the actual USAID basic education programming in the sample countries used in the data source.

Net primary enrollment rate in primary education is the number of children of official primary school age who are enrolled in primary education as a percentage of the total children of the official school age population. With the introduction of the USAID Education Strategy, the focus of basic education programming has shifted to focus on improving reading skills for students in primary grades and increasing equitable access to education in areas affected by conflict/crisis.

As part of the APP/APR, this indicator has been aggregated using national-level data from a sample of 10 countries across multiple regions in which USAID works: Ethiopia, Ghana, Guatemala, Honduras, Mali, Pakistan, Senegal, Tanzania, Yemen, and Zambia. Given the shift in programming focus due to the Education Strategy, the USAID basic education programs in Ethiopia, Ghana, Tanzania, and Zambia are not focused on increasing enrollment in primary education. The continued use of the primary net enrollment rate as an indicator of their performance no longer fits with programming objectives. Replacing these countries with another set of countries where USAID programming is focused on increasing access/enrollment is not a feasible option, given the general lack of reliable, relevant, and recent data on primary net enrollment in countries affected by conflict/crisis.

## Performance Goal 1.2.1: (Agency Priority Goal) - Food Security

**Performance Goal Statement: By September 30, 2015, increase the number of farmers and others who have applied new technologies or management practices to eight million, from a corrected base of five million in 2012.**

## Performance Goal Overview

Despite progress being made, over 800 million people in the world, or roughly one in eight, suffer from chronic hunger, and the vast majority of them live in developing regions. In addition, the world's population is projected



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to increase to nine billion by 2050. This population increase and changes in diets will require at least a 60 percent increase in global food production, all in a world that will have less arable land and less access to water under changing climate patterns.

Improving food security has risen to prominence as a global development goal in recent years due to factors such as food price spikes, increasing poverty rates, and social unrest related to poverty and hunger. At the G-8 Summit in L'Aquila, Italy, in July 2009, global leaders—including President Obama—agreed to take significant action to improve food security through a renewed financial commitment to agricultural development and a commitment to reform the way the international community approaches food security. In May 2012, at the Camp David G-8 Summit with African heads of state and corporate and G-8 leaders, President Obama again led global food security efforts by launching the New Alliance for Food Security and Nutrition, a shared commitment among donors, African governments, and corporate partners to achieving sustained and inclusive agricultural growth and collectively raising 50 million people out of poverty by 2022.

The Feed the Future (FTF) initiative is the U.S. government's contribution to the collaborative global effort to fight poverty, hunger, and under nutrition. The initiative's goals are to 1) reduce the prevalence of poverty by 20 percent and 2) reduce the prevalence of stunted children under five years of age by 20 percent, across 19 focus country zones of influence where USAID is investing and working. FTF works with the global community to:

- Advance comprehensive strategies that focus on improving the productivity and market access of small-scale producers, particularly women, who make up the majority of small farmers in developing countries;
- Catalyze private sector economic growth, finance, and trade with necessary investments in public goods as well as policy, legal, and regulatory reforms;
- Use science and technology to sustainably increase agricultural productivity;
- Protect the natural resource base upon which agriculture depends;
- Build resilience and help to prevent recurrent food crises in vulnerable regions; and
- Invest in improving nutrition for women and young children as a foundation for future growth.

FTF is well-positioned to support the U.S. government's aim to promote inclusive economic growth, reduce extreme poverty, and improve food security, as outlined in the State Department-USAID Joint Strategic Plan.

## Performance Goal Progress Update

**Key Indicator: Number of farmers and others who have applied new technologies or management practices as a result of U.S. government assistance**

	FY 2014	FY 2015
Target	7 million	8 million
Result	6.8 million	

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## Indicator Analysis

Examples of new technologies and management practices include improved irrigation techniques, use of improved/certified seeds, integrated pest management, sustainable fishing practices, and improved post-harvest storage techniques. These help to improve household incomes, increase access to nutritious foods, and reduce hunger and under nutrition. This indicator supports USAID's intermediate goal to enhance human and institutional capacity for increased sustainable agriculture sector development, helping to improve food security in target areas.

In FY 2014, over 6.8 million farmers, ranchers, and other agricultural producers applied new technologies or management practices, which is slightly below our target of 7 million. USAID expects to meet its target of 8 million in FY 2015 through on-going efforts to bring proven technologies and innovations to scale, increasing the impact of U.S. investments.

For example, in FY 2015, scaling efforts in Uganda are expected to disseminate improved varieties of nutritious orange-fleshed sweet potato to 350,000 farmers. USAID's efforts in Bangladesh to improve the productivity of rice through fertilizer deep placement are expected to result in approximately 600,000 direct beneficiary farmers using the technology in FY 2015. Scaling efforts in Rwanda expect to reach an additional 180,000 poor farming households with access to post-harvest trainings and improved technologies, such as improved seed, fertilizer, solar dryers and storage.

## Indicator Methodology

Data source: FY 2014 Performance Reports for Bangladesh, Bosnia and Herzegovina, Burkina Faso, Burundi, Cambodia, Ethiopia, Georgia, Ghana, Guinea, Guatemala, Honduras, India, Indonesia, Kenya, Kyrgyz Republic, Lebanon, Liberia, Malawi, Mali, Mozambique, Nepal, Nigeria, Pakistan, Paraguay, Rwanda, Senegal, Somalia, South Sudan, Sri Lanka, Tajikistan, Tanzania, Timor-Leste, Uganda, Yemen, Zambia, Zimbabwe, USAID Bureau For Food Security, USAID Bureau for Economic Growth, Education and Environment, USAID Regional Development Mission-Asia, USAID Sahel Regional, and USAID West Africa Regional, as reported in the Foreign Assistance Coordination and Tracking System.

Data quality: Performance data, verified using Data Quality Assessments (DQAs), must meet standards of validity, integrity, precision, reliability, and timeliness. Each Operating Unit must document the methodology used to conduct the DQAs. DQA and data source records are maintained in the Performance Management Plans. (For details, refer to USAID's Automated Directive System [ADS] Chapter 203.3.11, <http://www.usaid.gov/sites/default/files/documents/1870/203.pdf>).

## Key Indicator: Amount of Feed the Future funds disbursed since 2010

	FY 2014 Quarter 1	FY 2014 Quarter 2	FY 2014 Quarter 3	FY 2014 Quarter 4	FY 2015 Quarter 1	FY 2015 Quarter 2	FY 2015 Quarter 3	FY 2015 Quarter 4
Target	\$1.628 billion	\$1.801 billion	\$1.975 billion	\$2.148 billion	\$2.321 billion	\$2.494 billion	\$2.667 billion	\$2.840 billion
Result	\$1.680 billion	\$1.829 billion	\$1.964 billion	\$2.114 billion				

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## Indicator Analysis

Disbursements of USAID funding were above targets for the first and second quarters of FY 2014. Disbursements in the third and fourth quarters were slightly lower than targets, having met 99.4 and 98.4 percent of targets, respectively. USAID will work to make up the difference in forthcoming quarters.

Disbursement of funds demonstrates continued progress in programs, both in USAID missions and through the Bureau for Food Security's centrally-managed mechanisms. FTF programs assist farmers and food producers use new technologies and management practices to improve crop yields and create additional sales. This indicator tracks how much funding has entered the program implementation phase.

## Indicator Methodology

Data source: Disbursement data for this indicator is taken from USAID's financial management system. Data reflects only USAID's contribution to FTF, which is a whole of government initiative.

Data quality: USAID's financial management system provides real time information on disbursements. The validity of information is subject to the agency's internal controls. (For details, refer to USAID's Automated Directive System [ADS] Chapter 596 <http://www.usaid.gov/sites/default/files/documents/1868/596.pdf>)

## Performance Goal 1.2.2: Strengthening Gender Integration in Development Programming

**Performance Goal Statement:** By September 30, 2017, as a part of implementing the Gender Equality and Female Empowerment Policy, at least 60 percent of USAID's operating units will measure and report their gender integration results, and USAID will reduce the gap between male and female participation across 60 percent of food security programming areas.

## Performance Goal Overview

The Presidential Memorandum "[Coordination of Policies and Programs to Promote Gender Equality and Empower Women and Girls Globally](#)," issued on January 30, 2013, states that "Promoting gender equality and advancing the status of all women and girls around the world remains one of the greatest unmet challenges of our time, and one that is vital to achieving our overall foreign policy objectives. Ensuring that women and girls, including those most marginalized, are able to participate fully in public life, are free from violence, and have equal access to education, economic opportunity, and health care increases broader economic prosperity, as well as political stability and security."

The overarching policy framework that guides U.S. efforts to empower women and girls, reduce gender inequalities, and combat gender-based violence around the world include:

- [Secretary Clinton's Policy Guidance on Promoting Gender Equality to Achieve our National Security and Foreign Policy Objectives](#)
- [USAID's Gender Equality and Female Empowerment Policy](#)
- [United States National Action Plan on Women, Peace, and Security, to strengthen conflict resolution and peace processes through the inclusion of women](#)



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- [U.S. Strategy to Prevent and Respond to Gender-based Violence Globally](#)
- [Ending Child Marriage & Meeting the Needs of Married Children: The USAID Vision for Action](#)

U.S. efforts to promote gender equality and women's empowerment cut across many sectors. The U.S. seeks to: reduce gender disparities in access to, control over and benefit from resources, wealth, opportunities and services; reduce gender-based violence and mitigate its harmful effects on individuals in all sectors; and increase the capability of women and girls to realize their rights, determine their life outcomes, and influence decision-making in households, communities, and societies.

In addition to reducing gender gaps, U.S. activities seek to promote women's and men's leadership and participation. The United States supports the integration of gender equality and female empowerment considerations in economic growth, agriculture and food security, education, conflict mitigation and resolution, civil society and the media, and climate change. For example, the United States supports a range of activities that strengthen and promote women's participation and leadership in peace building, civil society, and political processes in order to address and mitigate challenges impacting women's ability to participate meaningfully in important decisions and processes that affect them, their families, and their communities and nations.

These activities include efforts to mobilize men as allies in support of gender equality, women's participation in political and civil decision-making at all levels, and in combating gender-based violence. The United States will work to ensure that issues impacting women and girls are fully integrated in the formulation and implementation of U.S. foreign policy.

To assist in planning and reporting, USAID operating units report on nine Washington-designated, standard cross-cutting performance indicators that cover gender equality; women's empowerment; gender-based violence; and Women, Peace, and Security. The indicator "Number of operating units using at least one Gender Empowerment and Female Equality indicator in their Performance Plan Reports" will capture the expansion of programming, as well as the performance monitoring and reporting achievements of operating units integrating gender considerations in their work.

Movement toward gender equality is essential to Feed the Future's (FTF) objective of "Inclusive Agricultural Growth." Strong and stable growth cannot be achieved unless both men and women are engaged in that growth. Women play a critical and potentially transformative role in agricultural growth in developing countries, but they face persistent obstacles and economic constraints limiting further inclusion in agriculture.

For that reason, FTF has emphasized the engagement of both men and women in its multi-year strategies and across all food security activities to promote the empowerment of women and greater gender equality. While efforts in this area are often constrained by socio-cultural norms around gender roles, FTF programs are seeking innovative ways to engage men and women across diverse activities.

To measure progress in this effort, USAID's Bureau for Food Security (BFS) annually tracks the "Number of sex-disaggregated indicators where reporting indicates improvements toward gender integration for food security programming." BFS has also been a leader in measuring and learning about women's empowerment with the Women's Empowerment in Agriculture Index (WEAI). The WEAI is the first comprehensive and standardized measure to directly capture women's empowerment and inclusion in the agriculture sector. BFS also developed the Gender Integration Framework (GIF), an interactive tool to advance evidence-based program design and promote FTF objectives of inclusive agricultural sector growth and women's economic empowerment. In FY

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2014, BFS staff conducted trainings, workshops, and a webinar to ensure that learning from the WEAI and the accompanying GIF are applied to all aspects of FTF. As a result, the WEAI and GIF have been used to inform program planning and implementation 13 times.

## Performance Goal Progress Update

**Key Indicator: Percentage of operating units using at least one Gender Empowerment and Female Equality indicator in their Foreign Assistance Performance Plan and Report (PPR)**

	FY 2014	FY 2015	FY 2016	FY 2017
Target	30%	40%	50%	60%
Result	45%			

## Indicator Analysis

The results on this indicator for FY 2014 significantly exceeded the target. There are several factors that likely had an influence on this outcome. First, gender staff at USAID devoted considerable efforts to better socializing these indicators during FY 2014 including by carrying out a webinar that was widely attended by field Missions and by discussing the indicators in live trainings throughout the year. USAID also collaborated with regional Gender Advisors to reach out to Operating Units that were not using the indicators even though they seemed to have programming that was compatible with one or more of them, to encourage greater uptake. Second, it was expected that there would be a lag between when the indicators were first developed (2011-2012) and when some Operating Units would be able to report on them because many of the indicators need to be built into the design of a project from its initiation; thus, significant uptake of the indicators would not be expected until enough time had elapsed to capture a significant number of new projects coming “online”. The efforts to better socialize the indicators will continue over the coming years, in order to meet future targets.

## Indicator Methodology

**Data Source:** The data for this indicator are taken from the performance reports submitted by Department of State and USAID Operating Units through the PPR in the Foreign Assistance Coordination and Tracking System.

**Data Quality:** Each Mission that collects data against any of the standard indicators must complete the standard Data Quality Assessment (DQA). There are some possible sources of error in these data. First, Missions may enter data incorrectly. Examination of the data this year during the PPR review window did not reveal many apparent errors. Second, there may be errors of omission in that OUs that could report on the indicators are not doing so. One of the main goals of the continued socialization of the indicators in FY 2015 will be to ensure that OUs that could report on one or more of the indicators are doing so.



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**Key Indicator: Number of sex-disaggregated indicators where reporting demonstrating improvements toward equality in gender integration for food security programming**

	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target	N/A	8	9	10	10
Actual	8	7			

## Indicator Analysis

The FY 2013 actual has been corrected from 5 to 8, as 5 was the actual improvement achieved from 2011 to 2012. FY 2014 results are slightly below the target, but demonstrate a continued positive trend in improved gender equity in food security programs. Improvements may be attributed to USAID's ongoing efforts to improve female participation and gender equity in food security programming, as well as better reporting as more food security agriculture programs are able to collect sex-disaggregated data.

USAID has reduced outyear targets, as certain indicators already demonstrate good gender parity between female and male participants. Given the variance in programs each year, it is unlikely these indicators will show continued improvements, when compared to the previous year, despite maintaining overall gender parity for participants. For example, gender parity for the number of children under five reached by U.S. government-supported nutrition programs remained high in FY 2014 at 1.1 female to male participants; however, this is a drop in gender parity when compared to the female to male ratio in FY 2013. USAID will focus efforts to improve gender parity for indicators that have the largest differences in the proportion of female and male participants.

## Indicator Methodology

Data source: FY 2014 Performance Reports for Bangladesh, Brazil, Burkina Faso, Cambodia, Democratic Republic of the Congo, Ethiopia, Georgia, Ghana, Guatemala, Haiti, Honduras, India, Indonesia, Kenya, Kyrgyz Republic, Lebanon, Liberia, Madagascar, Malawi, Mali, Mozambique, Nepal, Niger, Nigeria, Rwanda, Senegal, South Sudan, Tajikistan, Tanzania, Timor-Leste, Uganda, Yemen, Zambia, Zimbabwe, USAID Bureau For Food Security, USAID

Central America Regional, USAID East Africa Regional, USAID Regional Development Mission-Asia, USAID Sahel Regional, USAID Southern Africa Regional, and USAID West Africa Regional, as reported in the FTF Monitoring System. This system is used to collect results data for FTF initiative-funded activities.

Data quality: Performance data, verified using Data Quality Assessments (DQAs), must meet standards of validity, integrity, precision, reliability, and timeliness. Each Operating Unit must document the methodology used to conduct the DQAs. DQA and data source records are maintained in the Performance Management Plans. (For details, refer to USAID's Automated Directive System [ADS] Chapter 203.3.11, <http://www.usaid.gov/sites/default/files/documents/1870/203.pdf>).



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## Performance Goal 1.2.3: Resilience to Recurrent Crisis

**Performance Goal Statement:** By September 30, 2017, effectively support an increased number of countries with people and places historically subject to recurrent crisis to become more resilient by reducing chronic vulnerability and facilitating inclusive growth.

### Performance Goal Overview

In late 2011 and early 2012, building resilience to recurrent crises emerged as a shared, cross-agency priority within the Department of State and USAID. This was prompted by large-scale humanitarian emergencies in the Horn of Africa and Sahel and the collective recognition by USAID, other donors, governments, regional institutions, and a wide array of humanitarian and development partners that continuing to treat recurrent crises as acute emergencies - and chronic vulnerability as a perpetual humanitarian risk - is extremely costly.

This cost includes loss of lives, livelihoods, dignity and aspiration, with the famine in Somalia providing an extreme and devastating example. Recurrent crises also negatively impact national and regional economies as evidenced by the estimated \$12.1 billion in losses associated with drought in Kenya between 2008 and 2011. Finally, the \$1.5 billion the U.S. government contributed to support humanitarian efforts in the Horn and Sahel in 2011-2012 alone speaks to the economic cost of recurrent crisis in budget terms, as does the fact that 75 percent of USAID's humanitarian spending over the last decade was spent in just 10 countries.

The challenges of building resilience to recurrent crisis are significant. First, people and places at the intersection of chronic (and deep) poverty and exposure to risk and, as a result, subject to recurrent crisis have been historically treated as a perpetual humanitarian risk, and otherwise neglected by development actors. To address this head-on, USAID has placed building resilience to recurrent crisis in the Horn, Sahel and elsewhere firmly on both its development and humanitarian agendas by leveraging humanitarian and development perspectives and resources through joint analysis, planning and sequencing, layering and integration of programs to build resilience in areas targeted by these efforts.

A second major challenge made explicit in USAID's efforts to build resilience to recurrent crisis is that recurrent shocks such as droughts have become a perennial feature of these landscapes – not anomalies. The impacts of these shocks and associated vulnerabilities to them are exacerbated by stresses from demographic trends, conflict, and climate change. To address this, reducing and managing risk and building adaptive capacity figure prominently in facilitating inclusive growth as central programmatic and policy aims.

The United States is also at the forefront of helping to drive enhanced coordination, planning, and integration of efforts to address these and other challenges associated with building resilience to recurrent crisis among other development and humanitarian actors including governments, regional institutions, other donors, UN agencies, non-governmental organizations, academic institutions, the private sector, and civil society.



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## Performance Goal Progress Update

### Key Indicator: Number of people trained in disaster preparedness as a result of U.S. assistance

	FY 2011	FY 2012	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target				16,805	34,428	34,804	29,628
Actual	12,396	26,768	28,647	148,714			

### Indicator Analysis

FY 2014 showed a significant increase in number of people trained in disaster preparedness as a result of U.S. government assistance. Part of this increase can be accounted for due to an improvement in the project tracking systems that now require recipients of grants to upload their targets for training against this indicator online. This enables improved tabulation of all training activities conducted during the fiscal year.

The main reason for the increase in number of people trained was the increase in training by USAID's Famine Early Warning Systems Network (FEWS Net). In FY 2014, 123,531 people were trained in Famine Early Warning Systems (FEWS) and Disaster Risk Reduction (DRR). Thanks to advances in FEWS Net methods, guidance, and training materials, FEWS Net conducted more training than in previous years. For FY 2015, FEWS Net anticipates the frequency of training to slow due to increased focus on analysis and reporting for ongoing emergencies, training saturation in certain countries, and increased focus on other forms of network development.

This indicator is defined as individuals who have attended U.S. government funded disaster risk reduction and preparedness training programs. Disaster preparedness includes: risk identification, analysis, prioritization, and reduction activities; the design and implementation of regional, national, local, or community level hazard reduction policies and plans; early warning systems, as appropriate; and identification of roles and responsibilities in preventing, responding to, and recovering from disasters.

### Indicator Methodology

Data source: FY 2014 Performance Reports for Ethiopia, India, Indonesia, Madagascar, Marshall Islands, Micronesia, Niger, Pakistan, Zimbabwe, USAID Bureau For Food Security, USAID Central America Regional, USAID East Africa Regional, State South and Central Asia, USAID Bureau for Democracy, Conflict and Humanitarian Assistance and USAID Regional Development Mission-Asia as reported in the Foreign Assistance Coordination and Tracking System.

Data quality: This indicator does not measure the quality, effectiveness, or applicability/appropriateness of disaster preparedness training. Without follow-up or standardization of curricula, this indicator is subject to some over-reporting. Performance data, verified using Data Quality Assessments (DQAs), must meet standards of validity, integrity, precision, reliability, and timeliness. Each Operating Unit must document the methodology used to conduct the DQAs. DQA and data source records are maintained in the Performance Management Plans. (For details, refer to USAID's Automated Directive System [ADS] Chapter 203.3.11, <http://www.usaid.gov/sites/default/files/documents/1870/203.pdf>).



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**Key Indicator: Number of communities and stakeholders involved in the development of plans, policies, and strategies related to hazard risk reduction**

	FY 2014	FY 2015	FY 2016	FY 2017
Target	60	60	60	60
Actual	117			

## Indicator Analysis

This indicator measures the number of communities and stakeholders that have developed plans, policies and strategies as a result of U.S. government-funded disaster risk reduction and preparedness programs. Increasing the number of communities and stakeholders that are adequately prepared for disasters is a key component of increasing resilience to recurrent crises. The increase in this year's reported total over the target is representative of the improved capacity of USAID to capture partner reported activity coupled with an increasing focus on integration of hazard risk reduction activities in the widening spectrum of activities.

This performance indicator replaces the indicator, "Percentage of Host Country and Regional Teams and/or Other Stakeholder Groups Implementing Risk-Reducing Practices/Actions to Improve Resilience to Natural Disasters as a Result of U.S. government Assistance within the Previous 5 Years", which had been included in the FY 2015. This indicator captures outcomes over a five year timeframe. At this stage, USAID does not have the mechanisms to capture and report five year outcomes on an annual basis. To capture these outcomes by program, USAID is undertaking several performance evaluations of key partners that have received USAID funding for several years.

## Indicator Methodology

**Data Source:** Data is drawn from the agreement and reporting system managed by USAID's Office of Foreign Disaster Assistance (OFDA) in the Bureau of Democracy, Conflict and Humanitarian Assistance (DCHA). Data is collected using standardized OFDA indicator reports under the Risk Management Policy and Practice sector, Policy and Planning sub-sector.

**Data Quality:** This indicator does not measure the quality, effectiveness, or applicability/appropriateness of plans, policies, and strategies related to hazard risk reduction.



# Strategic Goal 2: Strengthen America's Foreign Policy Impact on our Strategic Challenges

## Strategic Objective 2.1: Build a New Stability in the Middle East and North Africa

### Strategies for Achieving the Objective

The United States will build regional stability by working toward a comprehensive Middle East peace; forging strong partnerships to address regional threats; supporting economic growth and prosperity; and promoting democratic governance and political reforms, among other measures.

#### Working towards a comprehensive Middle East Peace between Israel and the Palestinians, and Israel and its neighbors:

The United States is committed to a just, lasting, and comprehensive peace in the Middle East, central to which is a two-state solution to the Israeli-Palestinian conflict. We define comprehensive peace as peace between Israel and a future Palestinian state, as well as between Israel and its neighbors. With the resumption of Israeli-Palestinian negotiations in July 2013, Middle East peace efforts now focus on the conclusion and full implementation of a final status agreement and the realization of the 2002 Arab Peace Initiative, which promises normalization of relations between Israel and Arab League states in the context of a comprehensive peace. Should the efforts of the United States and the international community succeed in a two-state resolution to the conflict, U.S. assistance will remain critical in building Palestinian governance capacity and implementing an agreement. Comprehensive peace also will require Israel and a Palestinian state to normalize political and economic relations with the region.

The United States is building strong partnerships to address regional security threats. The United States will work with international partners to ensure that Syrian chemical weapons are removed and eliminated and that Syria complies with the Chemical Weapons Convention, UN Security Council resolutions, and Organization for the Prohibition of Chemical Weapons requirements. We will continue to deliver humanitarian assistance to affected communities inside Syria and in neighboring countries, and to work to achieve a negotiated political solution that ends the violence in Syria and begins a political transition. The United States will continue our unwavering commitment to Israel's security.

Egypt continues to face economic and political instability, while Jordan struggles to handle an influx of refugees from Syria even as it simultaneously addresses dire economic challenges, including an energy crisis.

#### Build strong partnerships to address regional security threats:

U.S. strategic partnerships, globally and within the region, enhance our security efforts on counterterrorism and nonproliferation. We will continue to work with the P5+1 (the United States, United Kingdom, Germany, France, Russia, and China, facilitated by the European Union), the broader international community, and international organizations like the International Atomic Energy Agency (IAEA) to ensure that Iran complies with its obligations under the Nuclear Nonproliferation Treaty (NPT), and relevant UN Security Council resolutions.

Building upon the work at the NATO Summit in Wales, Jeddah Conference, and U.N. General Assembly meetings in September 2014, we will continue to strengthen the global coalition formed to defeat the Islamic State of Iraq and the Levant (ISIL) through humanitarian and security assistance to partner countries in the region threatened by ISIL. This also includes coordinating broad efforts to counter terrorist financing the flow of foreign fighters within and through the region.



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The United States seeks to achieve a comprehensive agreement that fully resolves the international community's concerns with Iran's nuclear program. Syria's accession to the Chemical Weapons Convention was a major accomplishment. In cooperation with like-minded international partners, we have dismantled one of the largest remaining chemical weapons arsenals in the world and eliminated those weapons as a strategic threat to Israel. We will continue to work to achieve a negotiated solution that ends the violence in Syria and begins a political transition.

In addition, U.S. security cooperation and assistance to our partners will cover all aspects of counterterrorism, including legal frameworks and rights-respecting security approaches. We will undertake efforts to prevent and mitigate extremism, sectarian conflicts, and mass atrocities; and we will counter Iran's destabilizing activities in the region. We will also emphasize our work with states undergoing democratic transitions to assist them in establishing the capacity to provide a stable and rights-respecting domestic security environment.

The Syrian regime could resist a negotiated settlement to its current situation. Terrorist organizations may take advantage of regional instability, fragile security environments in transition countries, and ongoing conflicts to launch attacks. Governments backsliding on democratic transitions could further endanger long-term regional stability. We must continue to undermine the violent extremist narrative by encouraging states to establish democratic and accountable institutions thereby supporting our needs to advance our broader regional security priorities.

### **Promote economic growth, job creation, open markets, and energy security:**

The United States will address economic marginalization through the promotion of economic growth, job creation, open markets, and energy security. Economic growth and inclusive prosperity fueled by private sector development, increased investment, and inclusive employment are fundamental to regional stability and to counter the terrorist narrative. The free flow of energy resources to the global economy is critical to promoting economic prosperity. Sound regulatory, economic, education, and health policies are needed for enduring private sector expansion and stable employment. Achieving these goals requires coordination with partners to design and implement reforms. We will need to partner with governments and the private sector in the region as they develop economic incentives, protect critical infrastructure, and achieve local backing for reforms. We will support implementation of projects that increase access to finance for small and medium enterprises. We will encourage sound fiscal and economic policies and improved regulation to attract private investment and spur growth. We also will support development of improved regulatory and rules-based markets to attract foreign investors to the region, including U.S. businesses.

Setbacks to the global economic recovery, particularly in European markets, could have negative effects in the region. Regional conflicts, security deterioration, and increased acts of terrorism would deter investment, undermine growth, and threaten energy supplies. The influx of Syrian refugees into neighboring countries could have a crippling effect on the respective country's financial stability. We will work to sustain the positive synergies and mutual reinforcement between security, democratic political reforms, and economic growth.

### **Promote improved, democratic governance, empowered and effective civil society, and respect for the rule of law and human rights:**

The United States will continue to support democratic governance, civil society, and respect for the rule of law and human rights. Responsive, inclusive, and accountable governance serves as the strongest foundation for long-term regional stability. Governments and societies that are more inclusive, equitable, and representative

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are better positioned to address challenges and to partner with the United States. We will, therefore, promote government institutions that are democratic, responsive to citizens, respect minority rights, and deliver public services transparently and equitably; legislatures that represent constituent interests; and expanded opportunities for meaningful political participation by all citizens. Many civil society groups in the region lack capacity. We will support the development of civil society that is effective, empowered, and able to interact constructively with government. And we will work to strengthen and improve legal systems and weak government institutions in the region, expand access to justice, promote greater respect for human rights, and empower women, minorities, and other marginalized groups.

Factors beyond the U.S. government's control may affect our efforts in the region. The Syrian regime could resist a negotiated settlement to the conflict. Terrorist organizations may take advantage of regional instability, fragile security environments in transition countries, and ongoing conflicts to launch attacks. Governments rejecting or backsliding on reform could further endanger long-term regional stability. Other factors that may affect our efforts include setbacks to the global economic recovery, particularly in European markets, that could have negative effects in the region. Regional conflicts, security deterioration, and increased acts of terrorism could deter investment, undermine growth, and threaten energy supplies. The influx of Syrian refugees into neighboring countries also places added financial costs and demands on the infrastructure in hosting communities, as well as on social services, such as education and health care.

Countries in the region face serious challenges, including stagnant growth and lack of economic opportunity; internal and cross-border conflicts and associated refugee flows; resource scarcity; religious and ethnic tension and discrimination; and a demographic youth bulge. We are convinced that responsive and accountable governments are more capable of addressing those challenges, and are committed to use our engagement, influence, and assistance to help address them.

## Strategic Objective Progress Update

The region's crises, particularly the conflating of the conflict in Syria and Iraq, pose very serious challenges to regional stability and our national interests. They will continue to demand our attention and resources to deal with immediate threats and rapidly changing developments on the ground. Recent events have again demonstrated the need to look beyond traditional security concerns and to consider the full range of issues that impact and contribute to regional stability. The current crisis in Syria and Iraq's struggle against the Islamic State in Iraq and the Levant (ISIL) embody these complex challenges. The Assad regime failed to heed the Syrian people's demands for reform, and the regime's brutality has further destabilized the region through its partnership with Iran and the regime's increasing reliance upon support from Hizballah forces. Neighboring states, including Lebanon, Jordan, and Turkey are struggling to cope with significant refugee flows, spillover violence, and, in the case of Lebanon, serious threats to political stability. ISIL's attacks in Iraq prior to its capture of Mosul in June 2014 were aimed at not only its goal of a broader caliphate but also at deepening Iraq's sectarian divisions and preventing Iraq's 2014 national elections from producing an inclusive government capable of enacting socio-economic and political reforms needed to unify Iraq. In addition, preventing Iran from obtaining a nuclear weapon remains a top priority; it is clear that terrorist groups active in the region continue to seek the capability to attack our allies, our interests, and homeland and that the region's strategic energy supplies are vital to support a growing global economy. Regional stability and Middle East peace efforts will also continue to impact Israel's security.

Through U.S. government support, successful police training program for the Palestinian Authority Security Forces (PASF), critical Egypt border security programs, and our strong support of the Lebanese Armed Forces

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(LAF) continue to bolster stability in the region. The U.S. government has supported democratic political processes in several countries in the region, with particular success in Tunisia.

Economic growth and inclusive prosperity fueled by private sector development, increased investment, and inclusive employment are fundamental to regional stability. The Department of State successfully met the FY 2014 target for the performance indicator focused on trade and investment accords through the MENA region Trade Accords and Protocols with the U.S.-Iraq Trade and Investment Framework Agreements (TIFA) Council meetings (March 2014), the U.S.-Tunisia TIFA (June 2014), and the U.S.-Gulf Cooperation Council (GCC) TIFA (June 2014). The Department of State will encourage relevant follow-up and will work with our partners to make progress on standards, customs, intellectual property rights and other trade and investment concerns. U.S. government-supported trade facilitation assistance further contributed to the enabling trade environment in the region. USAID has worked with Tunisia, Morocco, and Yemen to conduct self-assessments to support implementation of the World Trade Organization (WTO) Trade Facilitation Agreement (TFA). The U.S. government will continue to build on the successful March 2014 TIFA Council meeting with Iraq to address bilateral concerns, enabling us to enhance our trade relationship. The U.S. government is also pursuing additional Jordan loan guarantee in FY 2015, regional trade reforms, and support for small and medium-sized enterprises.

To ensure stability and prosperity, governments must be responsive to the demands of their populace. A new approach to promoting stability is built on the premise that increased democracy with respect for the rights of all citizens, including a focus on increased gender equality and right of minorities, will benefit both the region and the United States. Therefore, regional stability must be rooted in a foundation of responsive and accountable governance, inclusive economic growth, the advancement of the status of women and girls, and rights-respecting and capable security institutions. This strategic objective is a focus area for improvement. The U.S. government will continue to work with partners to build a new stability in the MENA region, including by working toward a comprehensive Middle East Peace; building strong partnerships to address regional threats; supporting economic prosperity; and promoting inclusive democratic governance and political reform, among other measures. Success in this endeavor is essential to U.S. global interests, and developments in the region will continue to have a direct impact on U.S. national security; achieving our policy goals requires committing resources equal to the challenges we face.

## Performance Goal 2.1.1: Expanded Trade and Investment in the Middle East and North Africa (MENA)

**Performance Goal Statement:** By September 30, 2017, countries in the Middle East and North Africa will enter into and implement accords and protocols that facilitate increased trade and investment.

### Performance Goal Overview

Unsustainable fiscal policies, challenging business environments, and political instability in the MENA region all hinder increased trade and investment. The United States will promote the economic reforms necessary to combat those challenges, including helping countries to improve their public financial management, undertake regulatory improvements, transition to more targeted and efficient social safety nets, and improve government transparency and accountability. The United States will also pursue bilateral and multilateral measures to reduce trade barriers and promote the region's integration into the global economy, including trade and investment framework agreements, bilateral investment treaties, and implementation of the World Trade Organization (WTO) Trade Facilitation Agreement (TFA). Progress on these efforts will lead to increased trade

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and investment, ultimately creating jobs, facilitating economic stability, and laying the foundation for broad-based economic growth in the region. Businesses in the United States will benefit from expanded trade and investment opportunities created by improved business climates and more open markets. Because trade and investment are affected by regional and domestic stability, improved governance and transparency, and the rule of law, measuring progress on this performance goal can also provide an indirect indication of broader trends in the region.

## Performance Goal Progress Update

Trade is a major factor in almost all job growth success stories. However, weak integration with the global economy prevents the MENA region from benefiting from global markets, sources of innovation, competition, and investment. Promoting the development of additional trade capacity and the enabling domestic conditions needed to support expanded investment remain a priority for the U.S. government. As Secretary Kerry has stated, building a new stability in the Middle East requires providing clear and appealing alternatives to violent extremism. These alternatives must address economic prosperity and development in the region.

As such, a focus of U.S. government programming is supporting the transition of MENA countries from relatively closed political and economic systems to more open societies that are better able to take advantage of, and benefit from, global markets. The State Department and its interagency partners are currently pursuing three protocols in the region: 1) the Gulf Cooperation Council Trade and Investment Framework Agreement (GCC-TIFA); 2) a Bilateral Investment Treaty (BIT) with the Government of Kuwait; and 3) developing a roadmap for a Free Trade Agreement with Tunisia. Additionally, USAID has worked with Tunisia, Morocco, and Yemen to conduct self-assessments to support implementation of the World Trade Organization (WTO) Trade Facilitation Agreement (TFA). Assessments allow each country to notify those provisions which they can implement upon entry into force of the TFA, identify where additional technical assistance and capacity building will be necessary in order to implement the TFA, and assess the time each country will need to implement each provision. Going forward, USAID will continue to provide technical assistance to support MENA's efforts in meeting its commitment to the WTO TFA. USAID also intends to support a new regional trade effort led by the International Trade Center (ITC) to implement a regional action plan to reduce barriers to trade, especially for small and medium enterprises.

The security situation in the Middle East remains a challenge to private sector growth and development, and growing unemployment rates pose a threat to the security and stability in many countries in the region. At the same time, there is also strong demand in the region for business development services and job creation programming that imparts relevant, marketable skills, particularly for the region's large youth population. In FY 2014, USAID programming supported private sector growth to promote expanded and equitable employment opportunities in the MENA region. Programming focused on strengthening market linkages, improving access to capital for small and medium enterprises, and supporting job creation through demand-driven vocational training and job matching programs. Workforce development programming presents a continued opportunity to reinforce economic gains and provide youth with the skills needed to effectively enter the labor market and contribute to private sector growth and development throughout the region.



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**Key Indicator: Number of country programs that aim to decrease youth unemployment rates**

	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target		7	7	7	7
Result	7	7			

### Indicator Analysis

In FY 2014, USAID met its target of implementing demand-driven workforce development programming in seven countries in the MENA region, with a focus on decreasing youth unemployment rates. Programs were implemented in Egypt, Iraq, Jordan, Lebanon, Yemen, Tunisia, and West Bank/Gaza. In the next fiscal year, USAID will continue to implement workforce development programming in these countries in support of expanded and equitable employment opportunities in the MENA region and decreased youth unemployment rates.

### Indicator Methodology

Data for this indicator are tracked by the Economic Growth Team in USAID's Middle East Bureau.

**Key Indicator: MENA region Trade Accords and Protocols**

	FY 2014	FY 2015	FY 2016	FY 2017
Target	At least one country participates in exploratory talks on trade and investment protocols.	At least two countries participate in exploratory talks on trade and investment protocols.	Hold negotiating rounds with at least three countries on trade and investment protocols.	Conclude at least three new trade and investment protocols.
Result	3			

### Indicator Analysis

The purpose of this indicator is to track any and all agreements, binding and non-binding, that advance U.S. trade goals in the region. This includes intra-regional trade and trade between the U.S. and MENA countries. While there are multiple lines of effort that could be used to satisfy reporting requirements, this indicator currently reflects three lines of effort: the Office of Regional and Multilateral Affairs in the Bureau of Near Eastern Affairs (NEA/RMA), the U.S. Trade Representative (USTR), and the Bureau of Economic Affairs (EB).

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Three protocols are reflected in the FY 2014 result: the GCC-TIFA; BIT with the Government of Kuwait; and the roadmap for a Free Trade Agreement with Tunisia. USAID's trade facilitation assistance further contributes to the enabling trade environment in the region.

### **Indicator Methodology**

Data source: This information was provided by NEA/RMA and EB, with assistance from NEA Desk Officers and Embassies.



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## Strategic Objective 2.2: Rebalance to the Asia-Pacific through Enhanced Diplomacy, Security Cooperation, and Development

### Strategies for Achieving the Objective

The United States has strong and historic strategic ties and trade linkages with the Asia-Pacific, which is home to the world's fastest growing economies. Treaty alliances with Australia, Japan, the Philippines, the Republic of Korea, and Thailand form the cornerstone of our strategic position in the Asia-Pacific. To meet transnational threats of terrorism, violent extremism, cybercrime, and nuclear, chemical, and biological proliferation, the United States supports Asia-Pacific partners as they adopt internationally recognized legal and policy frameworks, and build their capacity to deter and mitigate these pressing threats. In cooperation with the Department of Defense and other national security agencies, our diplomats and programs help maintain peace and security across the Asia-Pacific through efforts to achieve verifiable denuclearization of the Korean Peninsula, halt North Korea's proliferation activities, maintain freedom of navigation, discourage aggressive acts, and promote increased transparency in military activities.

The United States' comprehensive economic agenda for the region combines expansion of trade and investment with greater regional economic integration. U.S. trade and investment ties with the Asia-Pacific region underpin the nation's prosperity and influence across the region. The United States is promoting development of a rules-based regional economic and trade framework that provides an open and fair commercial environment.

Concluding the Trans-Pacific Partnership (TPP) agreement, the centerpiece of our economic strategy in the region, is the most important step we can take to advance prosperity in the Asia-Pacific. The TPP, with 12 members uniting Asia and the Western Hemisphere across the Pacific Rim, will foster economic growth and facilitate regional economic integration as membership expands. In collaboration with other U.S. government agencies and the private sector, the Department will also build on past successes within the Asia-Pacific Economic Cooperation (APEC) forum to foster trade and investment liberalization and strengthen regional economic integration, including initiatives on climate change and environmental protection, disaster resiliency, and health security. The Department of State is conducting sustained diplomatic efforts to reduce greenhouse gas emissions among Asia's biggest economies. We will increase U.S. development assistance to foster trade ties, entrepreneurial activity, cleaner and more secure energy, food security, and economic empowerment of women in the region. Continued U.S. support for Taiwan maintains peace and stability in the Taiwan Strait, underpins economic and commercial relations with our 10<sup>th</sup> largest trading partner, and reinforces U.S. support for democracy and human rights.

The United States is modernizing its treaty alliances to provide the flexibility to effectively respond to traditional and non-traditional security challenges. The United States seeks to strengthen partner capabilities and policies to address shared challenges and to bolster a rules-based order that operates in accordance with international laws, norms, and standards. Strengthened partnerships with Burma, Indonesia, Malaysia, and Vietnam contribute to regional stability and prosperity. A cooperative partnership with China will strengthen U.S. national security, promote trade and economic growth, and help address transnational challenges. The United States' engagement with Burma supports and encourages its political and economic reforms and national reconciliation. Mongolia, New Zealand, and Pacific Island countries are important partners through their contributions to peacekeeping activities, UN votes, and efforts that align with our international economic and security priorities. People-to-people activities, including continued outreach to international exchange alumni, play a critical role in building support within these countries for sustained partnerships with the United States.



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The United States engages regional institutions and groupings such as the Association of Southeast Asian Nations (ASEAN), the ASEAN Regional Forum, East Asia Summit, APEC, Lower Mekong Initiative (LMI), and the Pacific Islands Forum to reinforce our bilateral relationships and advance our economic, political, and security interests with regional allies and partners. U.S. engagement with these bodies helps them establish and implement rules and norms consistent with the international norms that promote peace and stability, spur greater economic growth, and enable the region to respond more effectively to security threats and manage crises.

Across the Asia-Pacific, the United States is promoting democratic practices and improved governance, quality health and education, food security, strengthened disaster preparedness/emergency response, and improved environmental stewardship. Democratic development will contribute to greater civilian security, stability, and prosperity and stronger ties throughout the region. Strong democratic institutions and responsive governments provide the framework that paves the way for solid economic growth, improved health outcomes, greater food security, quality education, strengthened emergency response, adaptability to climate change, and stronger livelihoods overall.

## Strategic Objective Progress Update

### **Reinvigorated Treaty Alliances:**

In January 2014, the United States and the Republic of Korea signed a new Special Measures Agreement, which defines the Republic of Korea's share of the stationing costs of U.S. troops on the peninsula for the next five years. In October 2014, the United States concluded a new conditions-based arrangement on the transfer of wartime operational control that will ensure the readiness of our combined forces to defend the Korean peninsula as the Republic of Korea continues to build up its own defense capabilities.

In April 2014, the United States and the Philippines signed the Enhanced Defense Cooperation Agreement, which enables our militaries to more effectively collaborate on a range of issues, including disaster response. In June 2014, President Obama and Prime Minister Abbott of Australia announced a Force Posture Agreement that supports the U.S. rebalance to the Asia-Pacific region and contributes to a U.S. force presence that is geographically distributed, operationally resilient, and politically sustainable. With Japan, the United States is negotiating to update our defense guidelines and realign our forces to address future challenges.

U.S. alliances and strategic partnerships in the Asia-Pacific will effectively deter against military and non-military threats to the region and the United States; resolve disputes peacefully; adopt common positions on regional and global priorities; and confront emerging challenges, including by working together to provide humanitarian assistance and disaster relief.

### **Deepen ties with emerging powers, including China:**

The United States established Comprehensive Partnerships with Vietnam and Malaysia, which will strengthen support for economic reform and facilitate development of new maritime capabilities in Vietnam and support expanded ties with Malaysia, a growing center of entrepreneurship and innovation. The United States and China are committed to continue negotiating a high-standard and comprehensive Bilateral Investment Treaty that embodies the principles of non-discrimination, fairness, and transparency. The United States seeks a sustained and substantive military-to-military relationship with China. In November 2014, President Obama and Chinese President Xi agreed to two military-to-military confidence building measures (CBMs), the first on rules

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of behavior and the second on notifications. They also agreed to complete consultations on an annex to the rules of behavior CBM on air-to-air encounters by the end of 2015. The United States and China have a critical role to play in combating global climate change. In November 2014, our presidents reaffirmed the importance of strengthening bilateral cooperation on climate change and working together, and with other countries, to reach an ambitious agreement at the United Nations Climate Conference in Paris in 2015.

## **Regional Institutions:**

In part due to U.S. support for ASEAN institutions, ASEAN and its member states are becoming more skilled and unified in their approaches to tackling significant regional challenges. In 2014, we took the rebalance global, with ASEAN stepping forward and addressing several issues of topical and global relevance. The November U.S.-ASEAN and East Asia Summits in Naypyitaw, Burma saw ASEAN issue statements on climate change, ISIL, wildlife trafficking, and Ebola. These actions were precedent-setting for ASEAN, and we seek to build on that momentum in 2015 and beyond. Our engagement and support on a programmatic level reinforces the foundation by which we are able to consolidate and marshal ASEAN taking action in such a vein.

The LMI reinforces ASEAN integration by facilitating knowledge-sharing and linkages between the countries of the Southeast Asia Mekong sub-region, including Burma, Cambodia, Laos, Thailand, and Vietnam. The United States is expanding engagement with the Asia-Pacific's regional institutions, in particular the East Asia Summit and ASEAN Regional Forum, which has allowed us to work together on shared challenges -- from preventing human trafficking to countering violent extremism to stemming the flow of foreign terrorist fighters and piracy.

## **Democracy:**

Indonesia's successful election and transition to power in 2014 of a reform-minded president positions the world's largest Muslim-majority democracy to continue its work to advocate for open government and democracy. USAID supports this effort through key programs like the "Southeast Asia – U.S. Partnership: Civil Societies Innovating Together," which enables Indonesian civil society groups to share their expertise and experiences outside Indonesia, through democracy, governance, and human rights projects conducted across the region in partnership with civil society from the United States and Southeast Asia.

The governance and human rights situation in Burma has improved since 2011, but the Department of State and USAID remain focused on promoting further democratic reform – including constitutional reform – and facilitating efforts to advance the peace process. USAID supports civil society efforts region-wide to complement good governance principles through several key programs including the Global Labor Program with the Solidarity Center in Cambodia and the Legal Enabling Environment Program in Vietnam, Cambodia, and Malaysia.

## **Regional Economic Integration:**

America's prosperity and Asia's prosperity are inseparable, and our shared prosperity and shared security are just as tightly linked. Two-way trade in goods and services with the region reached \$2.5 trillion, accounting for 61.5 percent of overall U.S exports in 2013. More than one billion new Asian-Pacific middle class consumers are predicted to be generated during the next 20 years. The United States will continue to: 1) underwrite regional security; and 2) work to promote the adoption of a regional economic and trade architecture that is rules-based

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and provides an open, fair, and transparent framework that allows both U.S. and Asian businesses to benefit from growing trade and investment opportunities in the region.

The U.S. Trade Representative, supported by U.S. Embassies and the East Asia and Pacific region along with Department of State principals, is leading negotiation of the high standard TPP agreement with 11 partners in the region. It is difficult to overstate the strategic importance of countries with 40 percent of global GDP declaring – with one voice – that the rules of doing business in the 21st century are changing for the better. The TPP will strengthen America's role as one of the most competitive, most innovative economies in the world, as well as one of the biggest trading partners and source and destination of foreign investment in the region.

The United States hosted APEC in 2011 for the first time in almost 20 years, and continue to bolster its role as the premier economic forum in the region for advancing free and open trade and investment, as well as for fostering cooperation in promoting sustainable and equitable growth. Notable achievements include reducing tariff and non-tariff barriers to trade and investment, cutting carbon emissions through deployment of clean energy technologies, and expanding economic opportunities for women. During 2015, the Department of State and USAID are working on initiatives and commitments that will (1) advance trade and investment liberalization, including lowering tariffs on environmental goods, promoting free and open trade of digital products, and improving the ease of doing business and supply chain performance; (2) protect the environment and increase cooperation on climate change, including work on illegal, unreported, and unregulated fishing, conducting fossil fuel subsidy peer reviews, and promoting the use of renewable energy; and (3) support disaster resiliency, including ways to improve the movement of humanitarian goods across borders; enhance trade recovery systems; and strengthen the resilience of the global supply chain and much more.

The Department of State and USAID are strengthening the trade and investment environment in ASEAN countries, the recipient of almost \$100 billion in U.S. goods and services exports and, taken together, the fourth largest export market for the United States. American companies remain the number one investor in ASEAN, as they have been for decades. And, ASEAN continues to attract more American investment than any other market in Asia. Technical support from USAID is helping ASEAN Member States prepare to launch the ASEAN Economic Community by late 2015, with a particular focus on helping implementation of the ASEAN Single Window, an initiative to simplify customs procedures across ASEAN that will save time and costs for U.S. exporters.

In addition, the Department of State and USAID are working to help build the capacity of small and medium enterprises (SMEs) in ASEAN and to link them to regional and global supply chains. The U.S. government's work on SMEs will have a particular focus in Burma, Cambodia, Laos, and Vietnam to bridge the development gap and promote inclusive economic growth.

The Department of State, Department of Energy, Overseas Private Investment Corporation, and Export-Import Bank of the United States continue to contribute to the U.S.-Asia Pacific Comprehensive Energy Partnership (US-ACEP) that addresses energy poverty and energy security issues in the region. US-ASEP works to promote affordable, secure, and cleaner energy through a focus on power markets and interconnectivity, greater use of natural gas, renewables and cleaner energy, and sustainable development.

The Department of State and USAID will work to implement the Indo-Pacific Economic Corridor vision by fostering economic growth and regional trade in South Asia and encouraging stronger economic integration between South and Southeast Asia through infrastructure, energy, trade integration, and increased people-to-people ties

# Strategic Goal 2: Strengthen America's Foreign Policy Impact on our Strategic Challenges

## **Strengthening People-to-People Ties:**

The Department has increased outreach to youth, particularly in ASEAN member countries through the President's Young Southeast Asian Leaders Initiative (YSEALI), which has engaged youth through exchanges, digital engagement and skills workshops. Since its inception in December 2013, nearly 13,000 Southeast Asian youth have become YSEALI members and nearly 66,000 have been reached through social media platforms. Also, over 300 participants gained tangible skills at YSEALI regional workshops and over 100 youth went on exchanges to the United States. Starting in spring 2015, YSEALI will bring 500 youth to the United States annually for study and professional development. Additional regional workshops and grant competitions are also planned. The Department has also augmented English language teaching, educational advising, exchanges and cultural programs with allies and emerging partners, including Burma, China, Indonesia, Malaysia, and Vietnam. In November 2014, the United States opened a Peace Corps program in Burma.

## **Women's Empowerment and Gender Equality:**

The Department of State has integrated women's empowerment and gender equality in all economic forums across the Asia Pacific. Through APEC the Department is launching the Women's Entrepreneurship in APEC network, which will collect best practices and support services and connect women's entrepreneurship networks throughout the region, and enable the private sector to better connect women entrepreneurs to their supply chains. In addition, the Department is launching the APEC Women and the Economy Data Initiative, which will create a common base line for the region, identify gaps, and enable the region to measure progress. In the LMI Plan of Action, the Department has supported women entrepreneurs in the region via the WECreate initiative and APEC policy recommendations, explored trilateral cooperation with Japan, Australia, and the Republic of Korea, and bolstered civil society organizations throughout the region via more than \$5.6 million in small grants.

USAID is implementing a number of programs aimed at addressing gender based violence and empowering women economically. For example, USAID is teaming with private sector companies like Hewlett-Packard and GAP, Inc. to provide skills training to women entrepreneurs and leaders. Through State and USAID's engagement with ASEAN, the U.S. government is working with the ASEAN Women's Entrepreneurship Network (AWEN) to strengthen linkages among business women in the region and to promote economic and trade activities that enhance gender equality.

## **Performance Goal 2.2.1: Strengthen Regional Economic Integration**

**Performance Goal Statement: By September 30, 2017, U.S. diplomatic engagement and assistance will achieve key steps toward achieving trade and investment liberalization and regional economic integration in the Asia-Pacific, including through the Trans-Pacific Partnership, ASEAN economic community, the Lower Mekong Initiative, and APEC.**

## **Performance Goal Overview**

The United States "rebalance" to the Asia-Pacific reflects the recognition that the future security and prosperity of our nation will be significantly defined by events and developments in that region. The State Department's economic engagement in the Asia-Pacific is a key element of the U.S. rebalance policy. Trade and investment liberalization and improved economic integration will support growth and stability in the region, and create job

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opportunities here at home. The Asia-Pacific is home to some of the world's largest and fastest growing economies, but also is a region marked by differing levels of development and divergent standards, regulations, and trade and investment regimes. Some of these differences present barriers to trade and investment, including patchy and unclear regulatory frameworks and unnecessary red tape, which raise the difficulty and costs of doing business. State Department and USAID activities within the APEC forum, ASEAN, LMI, and in support of the TPP negotiations, aim to overcome these challenges and foster greater regional economic integration.

The United States is working with TPP partners to make progress on the remaining issues and complete the agreement as soon as possible, the top economic priority in the region. Completion of the TPP is crucial for expanding market access in the Asia-Pacific for U.S. companies and products and addressing new and emerging trade issues and 21st-century challenges, but also will reflect U.S. priorities and values, especially in the areas of labor and the environment. Once the TPP negotiations are complete, over 40 percent of global GDP will be linked by an ambitious 21st century trade agreement that generates growth for our economies and jobs for our people by unleashing a wave of trade, investment, and entrepreneurship.

In APEC, in collaboration with other U.S. government agencies and the private sector, the State Department continues to foster trade and investment liberalization and strengthen regional economic integration, critical to advancing U.S. goals to develop a rules-based regional economic and trade framework that provides an open, fair, and transparent commercial environment. In 2014, we advanced APEC's supply chain improvement goal by accelerating and bolstering economy-level capacity building and technical assistance, and advanced work to improve the regulatory environment; support women's economic empowerment; combat corruption and bribery; promote the use of clean and renewable energy; increase the number of scholarship opportunities; improve the ease of doing business; and support disaster preparedness, response, and recovery.

We also continue to support the 10 Southeast Asian members of ASEAN in preparations to launch the ASEAN Economic Community in 2015. We have been supporting this regional economic integration project through ongoing work on trade and investment policy, harmonizing standards, and customs reform—in particular through support of the ASEAN Single Window (ASW) initiative. In CY 2015, we will achieve live operation of the ASW (on at least one document) by four ASEAN Member States (AMS), establishing a baseline from which the other AMS will join. The ASW-exchanged information is being incorporated into risk management systems to speed customs clearance. In 2015, the potential impact of the ASW will be evaluated by a third party contractor. Furthermore, and in coordination with interagency partners, we will launch the ASEAN Online Small-Medium Enterprise Academy in CY 2015. Work on all these initiatives has been realized over several years, with continuous assessment on the efficacy of the activities. We also expect to make progress towards the CY 2017 milestone of ASEAN adopting a multi-year investment facilitation plan. In CY 2015, we will prepare a draft multi-year plan for presentation to the ASEAN Coordinating Committee on Investment and will facilitate a workshop to convene ASEAN Member States to continue the drafting process.

# Strategic Goal 2: Strengthen America's Foreign Policy Impact on our Strategic Challenges

## Performance Goal Progress Update

**Key Indicator: Percentage of participants in U.S.-funded APEC capacity building activities responding that they applied trade and investment liberalization practices.**

	FY 2014 Baseline	FY 2015	FY 2016	FY 2017
Target		50%	50%	50%
Result	N/A will report in FY 2015			

### Indicator Analysis

This indicator measures whether participants in such activities are applying the learning received when they return to their home agencies and daily jobs. This is the first step in the theory of change where participants are trained, they return home and apply knowledge, and eventually policy reforms are made which contribute to our mutual trade and investment liberalization, regional economic integration, and economic growth goals in the region. This indicator is intended to capture whether participants found it relevant to their job and ministry/office's mission and will consequently be better informed to do their job or whether participants shared the outcomes of the capacity building activity with their colleagues within their ministries at home. This indicator may also capture whether participants actually applied the learning to make some kind of change domestically in the form of a process change or legal or policy reform, though this outcome is more directly captured through the next performance indicator.

### Indicator Methodology

Participants in U.S.-funded APEC capacity building activities will be surveyed electronically one year after the training to ascertain whether and how they have applied what they learned in the training or workshops. The survey is conducted by the implementing partner and included in annual reports. The target refers to the percentage of participants who respond to the survey that state that they have applied learning. Given the one year post-training timeframe for data collection, there is no target given for FY 2014, the first year of programming.



## Strategic Goal 2: Strengthen America's Foreign Policy Impact on our Strategic Challenges

**Key Indicator: Percentage of participants in U.S.-funded APEC capacity building activities responding that laws, regulations or processes in their home economy were influenced by the trade and investment liberalization practices shared**

	FY 2014 Baseline	FY 2015	FY 2016	FY 2017
Target		3%	3%	3%
Result	N/A will report in FY 2015			

### Indicator Analysis

This indicator will measure whether participants in U.S.-funded capacity building workshops and activities, implemented within the APEC framework, respond that laws, regulations, or processes in their home economy were influenced by the trade and investment liberalization practices shared, taught, and/or learned during that U.S.-funded capacity building activity. The outcomes measured by this indicator are beyond the direct manageable interest of the program, as policy reforms are the result of many variables beyond the capacity to undertake such reforms. Moreover, reforms are generally time-consuming and would likely occur in the medium-term. This indicator builds on the previous key indicator, and seeks to demonstrate whether the knowledge and skills acquired during U.S.-funded capacity building are influencing policy changes domestically. Such policy changes would be important steps toward reaching our mutual trade and investment liberalization, economic integration, and economic growth goals in the region.

This indicator was developed late in the program cycle and as such was not included in the monitoring and evaluation plan in 2014. We assume a modest rate in capacity increase in FY 2015 and a rate increase going forward as economies move to apply policy reforms discussed during U.S.-funded APEC capacity building activities to effect medium-to long-term change in laws, regulations or processes.

### Indicator Methodology

Participants in U.S.-funded APEC capacity building activities will be surveyed electronically one year after the training to ascertain whether and how information shared during trainings or workshops may have influenced policy changes in that economy. The survey is conducted by the implementing partner and included in annual reports. Given the one year post-training timeframe for data collection, there is no target given for FY14, the first year of programming.



## Strategic Goal 2: Strengthen America's Foreign Policy Impact on our Strategic Challenges

**Key Indicator: Number of technical meetings held with U.S. government support among U.S. government and Asian counterparts to strengthen mutual cooperation**

	FY 2014 Baseline	FY 2015	FY 2016	FY 2017
Target		75	75	75
Result	69			

### Indicator Analysis

The United States “rebalance” to the Asia-Pacific reflects the recognition that the future security and prosperity of our nation will be significantly defined by events and developments in that region. The State Department’s economic engagement in the Asia-Pacific is a key element of the U.S. rebalance policy. Trade and investment liberalization and improved economic integration will support growth and stability in the region, and create job opportunities here at home. The Asia-Pacific is home to some of the world’s largest and fastest growing economies, but also is a region marked by differing levels of development and divergent standards, regulations, and trade and investment regimes. Some of these differences present barriers to trade and investment, including patchy and unclear regulatory frameworks and unnecessary red tape, which raise the difficulty and costs of doing business. State Department and USAID activities within the APEC forum aim to overcome these challenges and foster greater regional economic integration.

This indicator measures whether participants in such activities are applying the learning received when they return to their daily jobs. This is the first step in the theory of change where participants are trained, they return home and apply knowledge, and eventually policy reforms are made which contribute to mutual trade and investment liberalization, economic integration, and economic growth goals in the region.

Targets are based on what was achieved in 2014 by the ASEAN Connectivity through Trade and Investment (ACTI) and the U.S. ASEAN Partnership for Good Governance, Equitable and Sustainable Development and Security (PROGRESS) project. It assumes a slight increase in activity as PROGRESS increases its level of activity. International Organization for Migration (IOM) and ASEAN Youth Volunteer Program (AYVP) are not included here because these activities support U.S. government objectives but are implemented by international partners – and are not designed to directly engage U.S. officials or representatives.

### Indicator Methodology

Data Source: Number of meetings relevant to this indicator are tracked by the implementing partners and reported to USAID via quarterly reporting. USAID’s Regional Development Mission for Asia gathers data through the ASEAN programs managed by USAID including ACTI and PROGRESS.



# Strategic Goal 2: Strengthen America's Foreign Policy Impact on our Strategic Challenges

## Strategic Objective 2.3: Prevent and Respond to Crises and Conflict, Tackle Sources of Fragility, and Provide Humanitarian Assistance to Those in Need

### Strategies for Achieving the Objective

The United States will convene stakeholders, marginalize spoilers, and catalyze local efforts aimed at preventing and responding to crisis and conflict. U.S. diplomacy will support peace and reconciliation efforts at the national, regional, and local levels; and it will encourage parties to negotiate solutions, to manage peaceful transitions, and to hold accountable perpetrators of mass atrocities. To strengthen fragile states, U.S. diplomacy and development will promote inclusive economic growth, job creation, and the sound policies needed for sustainable private sector expansion and stable employment. The U.S. will direct resources to support local initiatives and to build the capacity of civil society actors so they can successfully advocate for peaceful change. The U.S. National Action Plan on Women, Peace, and Security (NAP) demonstrates that integrating women and gender considerations into peacebuilding processes promotes democratic governance and long-term stability. As such, we will strengthen women's rights, leadership, and substantive participation in peace processes, conflict prevention, peacebuilding, transitional processes, and decision-making institutions in conflict-affected settings. Finally, we will multiply the impact of our efforts by engaging the UN and partner governments, and will strengthen partnerships with the private sector and experts outside of government.

The United States will expand and improve U.S. government activities that lead to effective strategies, policies, diplomacy, and development programs that avoid negative impacts ("Do no harm") on conflict dynamics, and create the potential to manage and mitigate sources of violent conflict. The United States will promote learning agendas, and share lessons learned and best practices. And through interagency collaboration, policy development, enhanced professional training, and evaluation, the United States will institutionalize a gender-sensitive approach to our diplomatic and development activities in conflict-affected environments.

UN peacekeeping operations represent the international collective will to promote peace and reconciliation. The United States will continue as the largest financial contributor to UN peacekeeping operations. The United States will use its contributions to promote effective operations, including strengthening mandates to address the needs and vulnerabilities of women and children in conflict and post-conflict zones. The United States will also continue to support regional and sub-regional organizations and their member states as they seek to provide a cost-effective regional capacity for conflict management and crisis response.

The U.S. government will support country transitions out of fragility and political instability by fostering more inclusive, responsive, accountable, and democratic institutions. The United States will support and strengthen institutions, especially those relating to safety and justice, to manage and mitigate sources of violent conflict, including gender-based violence. The United States will support civil society actors that advocate and work toward greater civilian security.

The U.S. government will advocate policies and norms that prevent violence and protect vulnerable populations. The United States will press to strengthen norms concerning the protection of civilians, to prevent, mitigate, and redress mass atrocities, to prevent and respond to gender-based violence, and to empower women's participation in political transitions and peace processes.

The U.S. government will provide needs-based humanitarian assistance through flexible and timely funding for persons affected by crises, conflicts, and natural disasters. Through collaboration with other donors and host countries, the United States will find solutions to displacement, promote disaster risk reduction and climate

# Strategic Goal 2: Strengthen America's Foreign Policy Impact on our Strategic Challenges

change adaptation, and will foster resilience. In line with the NAP, the United States will respond to the needs of women and children in conflict-affected disasters and crises, including by providing safe, equitable access to humanitarian assistance.

The U.S. government will promote rapid and well-planned humanitarian responses through support to the United Nations, Red Cross organizations, and Non-governmental organizations; mobilize and partner with other donors and host governments; and engage the international humanitarian community to maximize the effectiveness of humanitarian aid.

Factors beyond U.S. government control that may affect our efforts include shocks to the global economic system; political, social, or economic instability; long-standing ethnic, religious or other societal group tensions; sovereignty issues that lead governments to restrict humanitarian operations within their borders; reluctance of foreign partners to share information, regulations on protection of national security information, and privacy concerns; and natural disasters and extreme weather. Factors the United States seeks to influence include endemic or institutionalized corruption; inadequate or nonexistent control of borders and sovereign territory; actors (state and non-state) with violent and/or destabilizing agendas; weak or dysfunctional national, regional, or local civil and military institutions; mismatches between the span of transnational criminal activity and the applicability of national laws and enforcement systems; partners' resources, capabilities, quality of their laws, and strength of their judicial/legal institutions; insufficient institutional capacity for economic development, environmental regulation and oversight; persistent gender inequality and gender-based violence; and allies and/or partners' views on the need to act on security issues.

## Strategic Objective Progress Update

Strong USAID-Department of State collaboration resulted in the formulation of objectives related to conflict and fragility for the Joint Strategic Plan. This success was due to several factors, including a shared understanding of the fundamental factors that contribute to conflict vulnerability and fragility, ability to maintain regular communication about recent activities, and a strong historical relationship.

### Post-2015 Framework:

USAID and the Department of State co-chair the Interagency Working Group on Conflict and Fragility. The Department and USAID will continue working together to develop language on goals and targets the U.S. government would like to see included in the "post-2015" framework which will replace the Millennium Development Goals. USAID has also co-convened several meetings to solicit input and dialogue together with the Department and the United States Mission to the United Nations. USAID and the Department will continue close interagency collaboration and coordination through the period of full intergovernmental negotiations in 2015.

### Atrocity Prevention and Response:

The Department and USAID collaborate on several atrocity prevention efforts, including developing an analytical framework for understanding mass atrocity risks, exploring joint training efforts, and lessons learned. These include undertaking a Kenya lessons learned symposium with the United States Institute of Peace, drafting "Helping Prevent Mass Atrocities" guidance for USAID Missions, and developing an innovative concept for a public-private partnership for atrocity prevention and peacebuilding in the Central African Republic.



# Strategic Goal 2: Strengthen America's Foreign Policy Impact on our Strategic Challenges

## National Action Plan on Women, Peace, and Security:

The Department is committed to supporting the United States' unqualified commitment to protect and empower women in countries threatened and affected by war and conflict, violence, and insecurity. Throughout its second year implementing the NAP, the Department built on longstanding efforts to integrate women's views and perspectives into its diplomatic, security, and development efforts. In order to bolster the impact of its Women, Peace and Security (WPS) initiatives, the Department continued to invest in staff capacity and enhanced its internal and external coordination activities. Additionally, new initiatives, built on ongoing activities, yielded positive outcomes in bilateral, multilateral and civil society engagements elevating the Department's commitment to WPS issues. Recognizing the influential role women can play in conflict prevention, stabilization and recovery, as outlined in UNSCR 1325 and its successor resolutions, we are committed to supporting the implementation of the U.S. NAP on WPS.

## Staff Exchanges:

The Department and USAID support developmental assignments for staff. Opportunity for deeper collaboration exists in further socializing the analytic tools and partnership initiatives that the Department and USAID have been developing for understanding, analyzing, programming, and partnering to address fragility and mitigating conflict. This includes the Conflict Assessment Framework, Theories of Change, and the New Deal; and discussing how to maximize the contributions of both development and diplomacy in policy, programming, and partnership. This will also be important in the context of the JSP where having a common vision across agencies will be important in realizing the fragility objective. The Department and USAID will more deeply assess resource requests and allocations, particularly under the Peace and Security objective.

## Additional progress updates on Objective 2.3 include:

Over the past three fiscal years, the number of refugees resettled in the United States has steadily increased. The United States resettled 58,238 in FY 2012, 69,926 in FY 2013, and 69,987 in 2014. The Department is on track to meet the target that, by September 30, 2017, the percentage of refugees admitted to the United States against the regional ceilings established by Presidential Determination will increase from an average of 90 percent from 2008 – 2013 to 100 percent. In 2014 the percentage was 99.98 percent.

In FY 2014, numerous large-scale crises around the world strained the capacity of the international humanitarian system. Four concurrent system-wide Level 3 emergencies—the humanitarian community's most severe crisis designation—stretched the human and financial resources of relief agencies, non-governmental organizations, and international donors worldwide. In FY 2014, USAID responded to all four Level 3 emergencies—Syria, Iraq, South Sudan, and the Central African Republic. As part of its response, USAID deployed or maintained Disaster Assistance Response Teams (DART) to respond to complex emergencies in Iraq, Syria, and South Sudan, and the Ebola Virus Disease outbreak in Guinea, Liberia, and Sierra Leone.

In FY 2014, USAID provided nearly \$1.1 billion in non-food humanitarian assistance in response to emergencies and protracted crises. In addition, USAID provided nearly \$2.1 billion in food assistance. Emergency food assistance benefited nearly 31.4 million people in 45 countries, including 26 countries in Africa, 13 in Asia and the Near East, and 6 in Latin America and the Caribbean.



# Strategic Goal 2: Strengthen America's Foreign Policy Impact on our Strategic Challenges

## Performance Goal 2.3.1: Conflict and Fragility

**Performance Goal Statement:** By September 30, 2017, 75 percent of the most fragile countries in the world that receive at least \$50 million in combined Peace and Security and Democracy and Governance Foreign Assistance funding (using the 2011-2013 period as a baseline) will see a reduction in their fragility

### Performance Goal Overview

Nearly 90 percent of today's 49 conflict-affected countries worldwide exhibit significant fragility. Fragility refers to the relationship between the state and society, especially the extent to which state-society interactions fail to produce outcomes that are considered effective and legitimate. Fragility exists where those interactions lead to inadequate and ineffective provision of basic services (e.g. health, education, security, and economic well-being). State-society relations lack legitimacy wherever societal groups are marginalized and excluded, where governing institutions are held unaccountable, and where corruption is prevalent.

Fragility creates conditions that make armed conflict more likely. Illegitimate and ineffective institutions drive dysfunctional patterns of societal stress that give rise to grievance. In fragile environments, disagreements between societal groups are not addressed according to principles of openness, fairness, and transparency. The results lead to heightened vulnerability to armed conflict because the mechanisms to resolve disputes between groups non-violently are weak or non-existent.

The U.S. is not active in all of the countries exhibiting the highest levels of fragility. However, where the U.S. is active, and where efforts address sources of fragility or conflict vulnerability, progress can be tracked against the goal of supporting country transitions out of fragility and reducing overall vulnerability to future armed conflict.

### Performance Goal Progress Update

**Key Indicator:** Percent of designated USAID focus countries in which foreign assistance resources are aligned with the U.S. National Action Plan (NAP) on Women, Peace and Security (WPS)

	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target		65%	75%	85%	85%
Result	54%	74%			

### Indicator Analysis

The U.S. NAP on WPS, launched in 2011, is a comprehensive roadmap describing the course the United States government will take to empower women as equal partners in preventing conflict and building peace in countries threatened and affected by war, violence, and insecurity. USAID has an agency-specific plan directing implementation of the NAP and a set of designated countries where the Agency aims to focus its efforts. This indicator allows the Agency to track whether foreign assistance resources are supporting core NAP objectives in focus countries.

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As the WPS key issue is relatively new, it was subject to considerable under-reporting in the first few years of use in the Department and USAID annual operational plan process. Improvements against this indicator were achieved by improving understanding of and compliance with reporting requirements through training and outreach activities, as well as engaging substantively with focus country missions and other operating units to promote appropriate USAID investments in NAP implementation.

## Indicator Methodology

Data source: The data for this indicator are derived from key issue data reported by operating units in the annual operational plan. Operational plan data is supplemented by a review of centrally-managed and other programming supported by USAID's Bureau for Democracy, Conflict, and Humanitarian Assistance (DCHA) to capture the full range of countries in which resources are aligned with NAP objectives.

Data quality: Performance data, verified using Data Quality Assessments (DQAs), must meet standards of validity, integrity, precision, reliability, and timeliness. Each Operating Unit must document the methodology used to conduct the DQAs. DQA and data source records are maintained in the Performance Management Plans. (For details, refer to USAID's Automated Directive System [ADS] Chapter 203.3.11, <http://www.usaid.gov/sites/default/files/documents/1870/203.pdf>).

**Key Indicator: Number of new groups or initiatives created through U.S. government funding with a mission related to resolving conflict or the drivers of conflict.**

	FY 2011	FY 2012	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target				14,296	492	342	261
Result	440	17,148	12,733	10,849			

## Indicator Analysis

By increasing the number of initiatives and groups working to reduce conflict and violence, the U.S. government should achieve a decrease in the levels and drivers of conflict in the places it works. This indicator measures the extent to which the U.S. government engages with groups and supports initiatives that aim to reduce conflict and the drivers of conflict.

The out-year targets for this indicator dropped due to a change in programming in a number of countries. Most notably, a key program contributing to this indicator in Kenya, Yes You Can! (YYC) will phase out in FY 2015. In the last year of implementation, YYC will focus on sustainably strengthening systems for existing youth institutions and initiatives, as opposed to generating new ones.

In Tunisia, USAID's Office of Transition Initiatives (OTI) supported activities under the Tunisia Transition Initiative (TTI) that targeted key geographic areas near Tunis and in the country's interior to catalyze and demonstrate tangible change that has occurred since the revolution and to encourage dialogue among all Tunisians. Activities under this indicator are clustered together in order to achieve impacts on civic engagement, citizen activism,

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civil society creation and capacity-building to address drivers of conflict, social and traditional media capacity, access to information, political participation by marginalized groups, tolerance, and moderation. This program also closed out in FY 2014 and therefore does not contribute to out-year targets. This is not to say that the importance of working with these groups has diminished, but rather that OTI adjusts and/or ends its programs to respond to the changing needs of the countries.

USAID's Libya Transition Initiative (LTI) partners with civil society organizations, youth, and local media outlets to promote inclusive transitional processes; strengthen voices for non-violence and increase the civic engagements of youth. DCHA designated \$20 million in Complex Crisis Funding to LTI which was utilized to support the National Dialogue Process, engage marginalized groups such as youth and women in the transition and increase civil society capacity to engage effectively in the ongoing transitions processes. LTI experienced significant challenges in FY 2014 in accessing key populations targeted under this indicator due to the civil unrest throughout Libya.

### Indicator Methodology

Data sources: Data is gathered from FY 2014 Performance Reports from Department of State and USAID Operating Units through the Foreign Assistance Coordination and Tracking System. Specifically, for every activity completed under TTI and LTI, USAID and Implementing Partner staff conduct a series of monitoring tasks – direct observation, surveys, focus groups, and interviews – in order to verify that the groups funded through OTI programs exist, and meet certain basic criteria (legal registration, board of directors, regular meeting schedule, defined outputs). This information is recorded in narrative, numerical, and photographic form in OTI's database.

Data quality: Overall, this indicator risks confusing a new group with a new initiative and double counting and risks counting projects that would have started anyway had funding not existed. Specifically for LTI, due to the significant civil unrest in Libya, OTI and Implementing Partner staff are often not able to access all of the local organizations created through their programming, and thus, they are not counted until they can be verified as meeting the criteria for an established group. There are no known data limitations on the data from TTI in Tunisia.

### Performance Goal 2.3.2: Humanitarian Assistance: Response

**Performance Goal Statement:** By September 30, 2017, the United States will increase the timeliness and effectiveness of responses to U.S. government-declared international disasters, responding to 95 percent of disaster declarations within 72 hours and reporting on results.

### Performance Goal Overview

Timely response to international disasters is a critical component of saving lives, alleviating suffering, and minimizing the economic costs of conflict, disasters, and displacement. USAID leads operations in response to humanitarian crises resulting from large-scale natural or industrial disasters, famines, disease outbreaks, and other natural phenomena. The State Department leads operations in response to political and security crises and conflicts, where there is a challenge to or a breakdown of authority resulting from internal or external conflict or destabilizing activities by state or non-state actors. Humanitarian response is designed to produce rapid results through the immediate provision of life-saving interventions, focusing on such issues as medical care, availability of potable water, provision of shelter, food, and protection.



# Strategic Goal 2: Strengthen America's Foreign Policy Impact on our Strategic Challenges

## Performance Goal Progress Update

### Key Indicator: Percent of U.S. government-declared international disasters responded to within 72 hours

	FY 2014	FY 2015	FY 2016	FY 2017
Target	95%	95%	95%	95%
Result	86%			

#### Indicator Analysis

In FY 2014, there were a total of 28 declared disasters. USAID's 72-hour response record was 86 percent.

USAID took longer than 72 hours to respond to four disasters. Three of the late responses happened in the first half of the year and were due to an administrative issue over cable sender authorization, the emergency happening at the beginning of a long holiday weekend resulting in cable room delays, and initial difficulties in finding a viable partner to work through. The last slow-response, in the third quarter, was due to cable room delays in sending the response cable which was completed and submitted in time.

#### Indicator Methodology

Data source: All numbers are based on actual data from the Office of Foreign Disaster Assistance (OFDA) in DCHA. Time taken to respond is calculated based on time between Disaster Declaration cable and Response Cable.

Data quality: Discussions are in place to base 72-hour window on difference from Disaster Declaration and when financial cable is sent instead of on response cable.

### Key Indicator: Number of internally displaced and host population beneficiaries provided with basic inputs for survival, recovery or restoration of productive capacity as a result of U.S. assistance

	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target		46,462,565	46,381,077	50,750,582	50,033,482
Actual	61,315,940	54,079,863			

#### Indicator Analysis

In FY 2014, USAID provided life-saving humanitarian assistance to more than 54 million beneficiaries worldwide. Of this total number of beneficiaries, approximately 13.2 million people were internally displaced. USAID

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provided an estimated 119 million units of life-saving assistance through eight different humanitarian sectors. To achieve these results, USAID partnered with 125 different non-governmental organizations (NGOs), UN agencies, and other International Organizations, working through approximately 568 different awards in 66 different countries and regions.

USAID provides assistance in multiple life-saving sectors, often to the same beneficiary, through different partners. This ensures that beneficiaries' basic needs are met. A unit of life-saving assistance is the equivalent of a single individual's receipt of a unit of sector-specific assistance. For example: 100 people targeted to receive increased access to water would be 100 units of life saving assistance for 100 persons. If that same group of 100 people were also targeted to receive access to emergency health services, that is an additional 100 units of life-saving assistance for a total of 200 units of life-saving assistance for 100 individuals.

The number of beneficiaries decreased slightly between FY 2013 and FY 2014. USAID does not have data to concretely explain the reason for the slight decrease. However, one possible reason could be a slight change in USAID's data analysis procedures in FY 2014. USAID has removed almost all subjectivity from its beneficiary counting by establishing a new set of procedures designed to remove the possibility of including duplicate entries in the total beneficiary count. This change could account for some of the reported decrease in beneficiary numbers.

While the USAID's Office of Food for Peace provides support to internally displaced and host population beneficiaries, it does not input into this indicator as food assistance beneficiary data is not disaggregated by these populations. As the majority of displaced and host population beneficiaries receiving emergency food assistance are also likely to receive other U.S. government support, the inclusion of food assistance beneficiaries would result in double counting.

### Indicator Methodology

Data source: FY 2014 Performance Reports from Department of State and USAID Operating Units as reported in the Foreign Assistance Coordination and Tracking System. The largest contributing Operating Unit to this indicator is DCHA, which pulls data from its internal awards tracking systems (Abacus), implementing partner reports, and verbal or written reports from regional teams.

Data quality: As DCHA/OFDA's planning and reporting is sector-focused with multiple partners, often working in collaboration in whole or part of the same geographic areas, focused on the whole or part of the same beneficiary groups to provide different or multiple services (e.g. shelter and protection), it is impossible to calculate the exact number of people assisted by DCHA/OFDA in a given region or country.

### Key Indicator: Percent of planned emergency food aid beneficiaries reached with U.S. assistance

	FY 2012	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target			93%	93%	93%	93%
Actual	93%	90%	90.86%			

# Strategic Goal 2: Strengthen America's Foreign Policy Impact on our Strategic Challenges

## Indicator Analysis

USAID provided emergency food assistance to over 33 million individuals in 45 countries in FY 2014. This included humanitarian responses in conflict affected areas, geographically isolated regions, and natural disasters required significant logistical effort. Providing timely food assistance to over 90 percent of projected beneficiaries is in line with USAID's historical averages.

This indicator measures the extent of disaster assistance and recovery provided with U.S. government support. While this indicator is an output indicator, the effectiveness of the programs in reaching their planned beneficiaries is an important prerequisite to increased field-level impact. Successfully reaching planned beneficiaries is especially important for protecting lives and livelihoods (i.e., protecting human capacities, livelihood capabilities and community resilience).

## Indicator Methodology

Data source: Data is based on annual beneficiary reporting to USAID by implementing partners.

Data quality: Performance data, verified using Data Quality Assessments (DQAs), must meet standards of validity, integrity, precision, reliability, and timeliness. Each Operating Unit must document the methodology used to conduct the DQAs. DQA and data source records are maintained in the Performance Management Plans. (For details, refer to USAID's Automated Directive System [ADS] Chapter 203.3.11, <http://www.usaid.gov/sites/default/files/documents/1870/203.pdf>).

## Performance Goal 2.3.3: Humanitarian Assistance: Refugees

**Performance Goal Statement: By September 30, 2017, the percentage of refugees admitted to the United States against the regional ceilings established by Presidential Determination will increase from an average of 90 percent from 2008 - 2013 to 100 percent**

## Performance Goal Overview

The United States actively supports efforts to provide protection, assistance, and durable solutions to refugees, as these measures fulfill U.S. humanitarian interests and further U.S. foreign policy and national security interests. Third-country resettlement is a key element of refugee protection and international efforts to find solutions to displacement when safe and voluntary repatriation to home countries and local integration into countries of first asylum are not possible. As the world's largest resettlement country, the United States welcomes the most vulnerable refugees from a diverse array of backgrounds, and the Department helps refugees resettle across the United States.



# Strategic Goal 2: Strengthen America's Foreign Policy Impact on our Strategic Challenges

## Performance Goal Progress Update

**Key Indicator: Percentage of refugees admitted to the U.S. against the regional ceilings established by Presidential determination**

	FY 2011	FY 2012	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target				100%	100%	100%	100%
Result	73%	80%	99.99%	99.98%			

### Indicator Analysis

The Department of State maintained U.S. leadership in resettling more refugees than all other countries combined. In FY 2014, the United States admitted 69,987 refugees, matching the FY 2013 effort. For the second year in a row, this represents nearly 100 percent of the regional ceilings established by Presidential Determination. The Department's commitment to Iraqi refugees was evidenced by admitting nearly 20,000 Iraqis, more than any previous year. The Department provided refugee benefits to a record number of 10,000 Iraqi and Afghan Special Immigrant Visa applicants who supported U.S. efforts in Iraq and Afghanistan. The U.S. admitted 17,500 refugees from Africa, more than any year since 2006.

### Indicator Methodology

Data Source: Department of State, Bureau of Population, Refugees and Migration (PRM).

**Data Quality:** PRM has developed and deployed a standardized computer refugee resettlement case management system. This system, known as the Worldwide Refugee Admissions Processing System, is a highly structured, centralized database that produces real-time data on the number of refugees admitted to the U.S. The data are valid, as they rely on direct, official reporting of refugee admissions numbers. The data cannot be manipulated, as they are stored in a password-protected database operated by a PRM contractor.

# Strategic Goal 2: Strengthen America's Foreign Policy Impact on our Strategic Challenges

## Strategic Objective 2.4: Overcome Global Security Challenges through Diplomatic Engagement and Development Cooperation

### Strategies for Achieving the Objective

In order to overcome these global security challenges, the Department of State and USAID will advance the Security Sector Assistance Presidential Policy Directive (PPD-23), helping partner countries build and sustain the capacity and effectiveness of institutions to provide security, safety, and justice for their people, and to contribute to efforts that address common security challenges. The Department and USAID efforts include pursuit of arms control and nonproliferation; reduction of transnational organized crime and strengthening rule of law (ROL); countering the drivers of recruitment and radicalization to violence; and securing cyberspace. The Department and USAID will cooperate with other federal agencies and international coalitions; foreign governments and their security and justice services, and multilateral organizations. Our strategy also entails cooperation with state and local partners and civil society.

The Department and USAID will balance assistance appropriately, supporting governments when interests converge and political will is present, when governments are accountable to their people and are committed to partnering with civil society for change, and as a check on abuse. To counter violent extremism, the United States will focus on the drivers of violent extremism.

### Strategic Objective Progress Update

Insecurity exacerbates poverty, crime, lawlessness, and armed violence, which in turn impedes economic growth, destroys human and physical capital, damages investments, and redirects resources from productive use. At the same time, poverty creates fertile conditions for crime, terrorism, and trafficking.

The Department and USAID will collaborate regularly on broad security challenges, ROL and Counterterrorism and Counter Violent Extremism (CT/CVE) and at the policy level, work with other interagency partners to craft the Security Sector Assistance (SSA) Presidential Policy Directive. On the practical level, USAID and the Department are coordinating on new initiatives (for example, Women, Peace and Security (WPS) and the Justice Sector Training, Research, and Coordination project (JusTRAC); field assessments [e.g., Burma, Colombia, Mali, and South Sudan]; country-specific project designs [e.g., Morocco], and analysis [e.g., collaboration on security sector accountability]).

The Department and USAID's contribution to this strategic objective includes efforts to advance ROL; to increase citizen security and regional stability; to reduce trafficking in persons, wildlife, narcotics and other commodities; and to promote balanced SSA. For example, the Department is currently exceeding the performance target of working with 40 partner country governments to build their capacity to address transnational organized crime and improve government accountability. In FY 2012, USAID invested more than \$225 million in ROL projects in more than 50 countries. In addition, USAID invested nearly \$175 million in FY 2013 on activities designed to counter transnational organized crime, including Countering Trafficking in Persons (C-TIP); alternative livelihood development; and efforts to counter financial crimes, wildlife trafficking, and illegal logging; and \$19 million on CVE efforts.

The Department leads the U.S. government's CT efforts and is committed to an approach that focuses on building the capacity of U.S. partners' civilian law enforcement institutions to address threats within their own borders; countering violent extremism; and seeking to build stronger relationships with partners around the

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world to engage in broader, more comprehensive counterterrorism efforts that treat the rule of law as a critical part of the counterterrorism enterprise.

An example of success in forging strong counterterrorism partnerships with critical partners is the accomplishments recently announced by the Global Counterterrorism Forum (GCTF). CT funds for the GCTF have led to the development and adoption of a number of sets good practices on a range of civilian CT issues, helping to drive the global civilian CT capacity-building agenda, including the development of proactive criminal justice systems, addressing the Foreign Terrorist Fighter phenomenon, prison rehabilitation and reintegration, preventing kidnapping for ransom, and community engagement and education for CVE. In addition, CT funds have supported many practical GCTF initiatives, effectively mobilizing more than \$250 million of new funding for civilian CT capacity building around the world, including support for the implementation of the good practices. CT funds, along with those from partners, have helped create new international institutions that have strengthened the multilateral CT architecture: Hedayah and the International Institute on Justice and the Rule of Law in Malta, both of which will serve as platforms to promote the GCTF's good practices. It also helped establish the Global Community Engagement and Resilience Fund; the first public-private global fund to support local, grass-roots efforts to CVE.

Opportunities for enhanced partnership include joint staff training on ROL and SSA; increased country-level collaboration on ROL and law enforcement assistance (to include assessment, project design, implementation and evaluation); improved linkages between CT, CVE and community security; and joint analytical efforts on rule of law.

In addition to providing subject matter expertise on justice, law enforcement and corrections issues to the Department and the Interagency, the Bureau of International Narcotics and Law Enforcement (INL) actively partners with state and local law enforcement, justice, corrections, and seaport organizations to deliver technical assistance and training to countries around the world. INL currently has 86 partnerships with government entities, professional associations, and academic institutions in 27 states and the District of Columbia. The partnerships enhance delivery of our assistance and familiarize the American public with foreign assistance efforts led and funded by the Department. The Department benefits from the up-to-date knowledge and expertise of serving criminal justice professionals. U.S. experts serve on short INL-funded international assignments to mentor and train their counterparts in cooperating countries. INL partners also host INL-funded international visitors to the U.S. to demonstrate best practices and/or provide training in their respective areas of technical expertise. They may also assist with program development and design. Our domestic partners also develop strong personal and professional ties with communities they work in overseas which strengthens our people-to-people relationships.

The Department and USAID continue to advance the policy objectives identified in the *U.S. International Strategy for Cyberspace*. In order to better secure cyberspace the United States government will work internationally to promote an open, interoperable, secure and reliable information and communications infrastructure that supports international trade and commerce, strengthens international security, and fosters free expression and innovation. To achieve that goal, we will build and sustain an environment in which norms of responsible behavior guide states' actions, sustain partnerships, and support the rule of law in cyberspace.

In FY 2014, the Department, with its interagency partners, continued to conduct policy dialogues and capacity building workshops with international regional organizations, such as the African Union Commission (AUC), the Organization of American States (OAS), and the Association of Southeast Asian Nations (ASEAN), to highlight for their member states the U.S. interest and leadership in promoting an open, interoperable, secure and reliable

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internet. Building off the diplomatic engagements already established, in FY 2015 the Department of State plans to expand its cybersecurity development assistance in Africa to include the coordination and development of Computer Security Incident Response Teams to better address and combat cyber threats.

## Performance Goal 2.4.1: Arms Control and Nonproliferation

**Performance Goal Statement:** By September 30, 2017, achieve key milestones to promote arms control and nonproliferation by implementing the President's Prague Agenda of steps toward a world without nuclear weapons; impeding missile proliferation threats; and strengthening implementation and verification of international arms control agreements.

### Performance Goal Overview

To realize the President's long-term policy to seek the peace and security of a world without nuclear weapons, the Department must: ensure that weapons-usable nuclear material is secured worldwide; halt the proliferation of nuclear weapons and their delivery systems; heighten transparency into the capabilities of countries of concern; and develop verification methods and technologies capable of detecting violations of obligations and enforcement methods sufficiently credible to deter such violations. Specifically, among the arms control and nonproliferation priorities the Department will pursue are:

- Bolstering the NPT, given Iranian and North Korean violations, and the entire global nuclear nonproliferation regime, given that traffickers and terrorists seek to acquire nuclear weapons.
- Preventing terrorists from acquiring weapons of mass destruction, particularly nuclear or radiological materials and biological agents.
- Protecting the United States, our deployed forces, and our allies and partners from the threat of ballistic missile attack.
- Destroying excess Man-Portable Air Defense Systems and small arms and light weapons, securing and managing their inventories, and controlling their proliferation to unstable regions and terrorists.
- Reducing the impact from the accumulation of destabilizing conventional weapons.
- Continuing to implement the New START Treaty between the United States and the Russian Federation, and to foster compliance with existing nuclear-related treaties.

### Performance Goal Progress Update

**Key Indicator: Number of countries that have signed, received Board of Governors approval of, and/or brought into force NPT/IAEA Additional Protocols**

	FY 2011	FY 2012	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target				3	3	2	2
Result	17	13	9	3			

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### Indicator Analysis

The IAEA is the verification arm of the Nuclear Nonproliferation Treaty and uses its safeguards programs to monitor nuclear material and facilities worldwide to provide assurance that nuclear material is not diverted to make nuclear weapons. The Additional Protocol (AP) is an add-on to the traditional safeguards agreements that countries make with the IAEA, giving the IAEA authority to investigate material and facilities beyond those declared by a state. AP authorities are therefore critical for the Agency to provide its non-diversion assurances and ensure the absence of undeclared nuclear materials and activities. The United States urges all states to adopt an AP. As of November 5, 2014, 127 countries have an AP in force or approved. It can take years for a country to move a legal agreement through its legal/parliamentary procedures, and some countries are refusing to adopt an AP for political/security reasons. Out-year targets are reduced because most countries prepared to ratify have already done so.

### Indicator Methodology

Data are collected and provided by the IAEA.

#### **Key Indicator: Number of countries that have ratified the Amended Convention on the Physical Protection of Nuclear Material**

	FY 2011	FY 2012	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target				7	3	2	2
Result	8	7	12	13			

### Indicator Analysis

Ensuring the security of nuclear materials and facilities is a key IAEA mission, and the Convention on the Physical Protection of Nuclear Material is the only legally binding international instrument in this area. In 2005, an Amendment to the Convention was adopted. Whereas the obligations for physical protection under the Convention covered nuclear material during international transport, the Amendment makes it legally binding for States Parties to protect nuclear facilities and material in peaceful domestic use, storage, and transport; it also provides for expanded cooperation among states to locate and recover stolen or smuggled nuclear material and mitigate any radiological consequences of sabotage. The United States urges all states to ratify the Amendment. It is possible that the momentum created by the 2014 Nuclear Security Summit prompted the good FY 2014 results. As of November 11, 2014, 83 countries have ratified; 101 ratifications are necessary to bring the Amendment into force. Out-year targets are reduced because most countries prepared to ratify the Amendment have already done so; U.S. ratification would encourage additional ratifications.

### Indicator Methodology

Data are collected and provided by the IAEA.

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**Key Indicator: Number of ballistic missile defense interceptors deployed as part of regional missile defense approaches**

	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target		0	24	24	24
Result	0	0			

### Indicator Analysis

In FY 2014, the United States continued to make progress toward the completion of Phase 2 of the European Phased Adaptive Approach (EPAA) missile defense site in Romania, with construction and installation of the Aegis Ashore missile defense system proceeding at the site. The program continues to be fully funded, on time and on schedule, and is anticipated to begin the first deployments of missile defense interceptors in Romania in 2015. A successful test launch of an interceptor from an Aegis Ashore missile defense system was accomplished in 2014. The United States and Romanian governments have completed all required implementing agreements to enable operation of the site. Deployment of the Aegis Ashore missile defense site to Romania will complete the second phase of President Obama's three phased EPAA for missile defense in Europe. Phase 1 saw a missile defense radar deployed to Turkey. EPAA Phase 3 Plans will see an Aegis Ashore deployed to Poland in the 2018 timeframe.

### Indicator Methodology

Data are provided by the Department of Defense.

**Key Indicator: Amount of Chemical Weapons Convention prohibited schedule chemicals decreased around the globe (in metric tons)**

	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target		59,914 MT	62,000 MT	64,000 MT	66,000 MT
Result	56,247 MT	59,400 MT			

### Indicator Analysis

In 2014 significant progress was made in chemical weapons destruction by the two major possessor States – Russia and the United States. Russia continues destruction operations at four sites projected to completion operation by the end of 2015. A fifth facility is projected to complete destruction of the Russian stockpile in

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2020. The United States is scheduled to start-up its Colorado and Kentucky destruction site in 2015 and 2021, respectively. Completion of U.S. chemical weapons destruction is projected by the end of 2023.

## Indicator Methodology

Data are derived from reports submitted by possessor States Parties to the Organization for the Prohibition of Chemical Weapons (OPCW) and developed by the OPCW Technical Secretariat.

## Performance Indicator Change from FY 2015 APP

The FY 2015 APP included an additional key performance indicator, "Number of nuclear warheads reduced among the Non-Proliferation Treaty nuclear weapons states." This performance indicator has been removed. The performance indicator did not appropriately measure progress made on the performance goal. New START Treaty central limits cannot be adjusted to report during fiscal years and does not have interim goals that can be measured.

The New START Treaty mandates that the United States and Russia reach the agreed central limits of the Treaty by February 5, 2018. By that time, the United States and Russia each may possess no more than 1,550 deployed strategic warheads, a combined limit of 800 deployed and non-deployed intercontinental ballistic missiles (ICBM) launchers, submarine-launched ballistic missiles (SLBM) launchers, and heavy bombers equipped for nuclear armaments, and a separate limit of 700 deployed ICBMs, deployed SLBMs, and deployed heavy bombers equipped for nuclear armaments. To monitor progress towards these limits the United States will continue to conduct inspections provided for by the Treaty (18 per annum) and will pursue implementation issues in the twice-annual Bilateral Consultative Commission (BCC) meetings as mandated by the Treaty. With regard to compliance with the Intermediate Range Nuclear Treaty (INF), the United States will continue to pursue Russia's return to compliance with the provisions of the INF Treaty, the importance of which and the commitment thereto has been acknowledged by both parties.

## Performance Goal 2.4.2: Reduce Transnational Organized Crime and Strengthen Rule of Law

**Performance Goal Statement:** **By September 30, 2017, the U.S. government will strengthen civilian security by working with 40 partner country governments to build their capacity to address transnational organized crime and improve government accountability.**

## Performance Goal Overview

The Department of State and USAID collaborate regularly on SSA, ROL and CT/CVE and on the policy level, worked with other interagency partners to craft the SSA Presidential Policy Directive. In addition, DCHA, the Department's Under Secretary for Civilian Security, Democracy, and Human Rights, and other bureaus have been working to revise the indicators for civilian security. On the practical level, the Department and USAID are coordinating on new initiatives (for example, WPS and the JusTRAC project; field assessments [e.g., Burma, Colombia, Mali, and South Sudan]; country-specific project designs [e.g., Morocco], and analysis [e.g., collaboration on security sector accountability]).



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Transnational criminal networks challenge and undermine the legitimate authority of nation states and governing institutions, and destabilize vulnerable communities. Transnational criminal groups today are diverse in nature, engaging in human trafficking, as well as trafficking in drugs, intellectual property, wildlife, money, weapons, cyber-crime, and intellectual property. Transnational and localized organized crime threatens the United States and the global community. It can be countered by strengthening the capacity of like-minded foreign governments to extend the reach of justice; detecting, investigating and prosecuting crimes; incarcerating criminals; and ultimately preventing violations of law and building a rule of law culture. Government institutions must be sufficiently competent, transparent, and accountable to carry out their respective functions. These institutions must also have the respect and support of the communities they serve.

Challenges include: evolving nature of threats; political instability in many countries; lack of political will; corruption; threats to the security of our implementers; flexibility to respond to changing threats; inadequate community engagement; and minimal involvement of marginalized or vulnerable populations.

There is no one-size fits all solution to transnational criminal threats. Every solution must be tailored to support specific objectives. The fluid nature of transnational crime, corruption, and human rights abuses should be addressed by utilizing a variety of tools, both programmatic and diplomatic, to undermine the criminal threat wherever it exists.

Opportunities for enhanced partnership include joint staff training in ROL and SSA; increased country-level collaboration on ROL and law enforcement assistance (to include assessment, project design, implementation and evaluation); improved linkages between CT, CVE and community security; and joint analytical efforts on rule of law.

U.S. government strategies, including the National Drug Control Strategy, the White House Strategy to Combat Transnational Organized Crime, the U.S. NAP on WPS, the SSA Presidential Policy Directive, and strategies derived from the Trafficking Victims Protection Act of 2000, are guiding principles influencing this strategic objective. The Department of State and USAID will continue to support U.S. national interests by promoting international anti-crime and anti-trafficking policies, and implementing criminal justice and wider rule of law programs bilaterally and through multilateral engagements. The Department of State and USAID's work will be undertaken in collaboration with federal partners, international colleagues, civil society, non-governmental and academic institutions, state and local government experts, and private industry. State and USAID will continue to support the SSA Presidential Policy Directive which established an interagency framework to plan, synchronize, and implement security assistance through a whole-of-government process.



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## Performance Goal Progress Update

**Key Indicator: Number of countries with which the U.S. has signed agreements to strengthen the criminal justice system, or with the judicial, police, or corrections sector.**

	FY 2014	FY 2015	FY 2016	FY 2017
Target	40	40	40	40
Result	72			

### Indicator Analysis

To develop the criminal justice systems of our foreign governments partners by using U.S. assistance, the Department of State signs bilateral agreements outlining the commitment of both governments to specific programs moving forward. This outlines both the U.S. commitments for capacity assistance, and the commitments of our partner government moving forward. Bilateral agreements are used to detail the precise nature of our efforts with partner countries, in order to develop criminal justice capacity to address civilian security, transnational organized crime, and government accountability.

The Department of State has exceeded the target of working with 40 partner country governments in FY 2014 to build their capacity to address transnational organized crime and improve government accountability. The positive deviation reflects the broad scope of work INL has undertaken in FY 2014.

### Indicator Methodology

This effort is led by the Bureau of International Narcotics and Law Enforcement (INL) at the Department of State. Data for this indicator is derived from the number of countries that INL has entered into Letter of Agreements and Amended Letter of Agreements with partner countries. These agreements are considered an output as they are the result of often lengthy negotiations on the nature of the Department's criminal justice assistance partnerships. The total number of agreements consists of a combination of agreements with new countries, the continuation of work with partner countries, and changes to existing agreements. The changes may include new commitments in capacity building to address civilian security.

**Key Indicator: Number of U.S. government-assisted courts with improved case management systems**

	FY 2012	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target			917	339	291	179
Result	702	1,344	1,256			

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## Indicator Analysis

By helping build effective case management systems, assisted governments are able to increase the effectiveness, compliance, and accountability of justice systems. Improved case management leads to a more effective justice system by decreasing case backlog and case disposition time, reducing administrative burdens on judges, increasing transparency of judicial procedures, and improving compliance with procedural law.

The U.S. government exceeded its FY 2014 target for this indicator by 339 courts due to greater than anticipated interest from cooperating courts and expansion of the types of eligible courts in several countries.

## Indicator Methodology

Data Source: FY 2014 Performance Reports as collected in the Foreign Assistance Coordination and Tracking System.

Data Quality: Performance data, verified using data quality assessments (DQA), must meet standards of validity, integrity, precision, reliability, and timeliness. Each Operating Unit must document the methodology used to conduct the DQAs. DQA and data source records are maintained in the Performance Management Plans; Missions certify via the Performance Plan and Report that a DQA has occurred within the last three years. (For details, refer to USAID's Automated Directive System [ADS] Chapter 203.3.5, <http://www.usaid.gov/ads/policy/200/203>).

## Key Indicator: Number of domestic non-governmental organizations engaged in monitoring or advocacy work on human rights receiving U.S. government support

	FY 2012	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target			777	422	304	146
Result	818	914	1,001			

## Indicator Analysis

The U.S. government promotes and defends human rights through a range of activities including: supporting NGOs that advocate for and monitor human rights; training and supporting human rights defenders and other watchdog groups; providing legal assistance and medical and psycho-social care and treatment to victims of organized violence and torture; supporting atrocity prevention efforts; supporting counter-trafficking in persons efforts; promoting transitional justice initiatives; and promoting and protecting the rights of vulnerable groups including LGBT persons, indigenous peoples, people with disabilities, war victims, and displaced children and orphans. With the release of the new USAID Strategy on Democracy, Human Rights, and Governance (DRG) and creation of a DRG Center at USAID, "human rights" has been elevated as a co-equal pillar alongside democracy and governance, a new Human Rights Team has been created, and a Human Rights Grants Program was launched in order to assist Missions with the development of human rights programs.

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The U.S. government exceeded its FY 2014 target for the number of domestic NGOs engaged in monitoring or advocacy work on human rights by 224 NGOs due to the initiation of unanticipated activities, and increased demand for training.

## Indicator Methodology

Data Source: FY 2014 Performance Reports as collected in the Foreign Assistance and Coordination System.

**Data Quality:** Performance data are verified using Data Quality Assessments (DQA) and must meet five data quality standards of validity, integrity, precision, reliability, and timeliness. The methodology used for conducting the DQAs must be well documented by each OU. (For details, refer to USAID's Automated Directive System [ADS] Chapter 203.3.11, <http://www.usaid.gov/policy/ads/200/203.pdf>).

## Performance Goal 2.4.3: Securing Cyberspace

**Performance Goal Statement: By September 30, 2017, implement the U.S. International Strategy for Cyberspace in 50 countries through diplomatic engagement and development assistance.**

### Performance Goal Overview

The 2011 U.S. International Strategy for Cyberspace envisioned an Internet which was “an open, interoperable, secure, and reliable information and communications infrastructure that supports international trade and commerce, strengthens international security, and fosters free expression and innovation.” To achieve this vision, “we will build and sustain an environment in which norms of responsible behavior guide states' actions, sustain partnerships, and support the rule of law in cyberspace.” In order to better secure cyberspace, the U.S. government will work internationally, through both diplomatic engagement and development assistance, to promote international security in cyberspace through norms of behavior. It will also deter cybercrime by enhancing states’ ability to fight cybercrime, including training for law enforcement, forensic specialists, jurists, and legislators, and promoting international cooperation and information sharing. It will develop and augment relationships with other countries to improve collective cybersecurity and disrupt terrorist attack planning, coordination, illicit financing, and other crimes committed online.

### Performance Goal Progress Update

**Key Indicator: Number of countries in which International Strategy for Cyberspace is implemented.**

	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017
Target	18	22	28	38	50
Actual	18	27			

# Strategic Goal 2: Strengthen America's Foreign Policy Impact on our Strategic Challenges

## Indicator Analysis

As a result of the diplomatic engagement and development cooperation in FY 2014, there has been an increase in the number of like-minded nations that support the principles outlined in the U.S. International Strategy for Cyberspace and work with the U.S. to overcome global security challenges.

In FY 2014, the Department of State, with its interagency partners, continued to conduct policy dialogues and capacity building workshops with international regional organizations, such as the AUC, OAS, and ASEAN, to highlight for their member states the U.S. interest and leadership in promoting an open, interoperable, secure and reliable Internet. As a result of these partnerships, countries have a better understanding of the breadth of cyber issues and the policy implications that can help grow their economies in a safe and trusted manner.

Moreover, the Department of State and USAID regional offices and posts have a leading role to play in coordinating with current close allies, identifying potential new allies, starting the cyber policy conversation with target governments and constituencies, leveraging existing, and building new, relationships, facilitating capacity building activities, reporting on progress, and following up after any bilateral or regional dialogues or trainings.

In FY 2014, the Department of State regional bureaus, in close consultation with functional and management bureaus, revised and augmented their regional cyber strategies to strengthen and direct diplomatic engagement on cyber policy. In addition, the Department of State's Office of the Coordinator on Cyber Issues (S/CCI) began conducting trainings for State and USAID Foreign Service Officers on U.S. diplomatic and development engagement on cyber issues in the field. The first training took place in June 2014 for the Western Hemisphere region, and subsequent trainings for the other regions will be conducted in FY 2015. In the future, S/CCI plans to integrate cyber foreign policy training into existing Department and Agency courses and offerings to help ensure State and USAID personnel are continually equipped to utilize the expanding resources for cyber diplomacy in the future.

With consistent and expanded efforts globally, it is expected that the number of likeminded countries will continue to grow, and there will be an increase in the number of countries engaged in dialogues on cyber issues.

## Indicator Methodology

Data source: Data is based on diplomatic engagement and development assistance activities. Through primary source outreach and coordination, data is collected from regional and functional bureaus on countries where the U.S. has regular bi-lateral or multi-lateral engagements on cyber issues.

Data quality: Through interagency working groups, S/CCI works to ensure that diplomatic outreach on cyber issues is well coordinated and transparent, thereby helping ensure that the data is high-quality, relevant and representational.



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**Key Indicator: Percentage of countries with professionals that have successfully completed specialized cybersecurity training**

	FY 2014	FY 2015	FY 2016	FY 2017
Target	24%	48%	74%	100%
Result	44%			

### Indicator Analysis

USAID provided development assistance through its Cyber Capacity Building Program (Cyber+). This program supports the U.S. International Strategy for Cyberspace through a combination of United States-based cyberspace training, regional seminars and coordinated workshops. The Cyber+ program far exceeded the target for the percentage of countries with professionals that have successfully completed specialized cybersecurity training in 2014. The Agency supported 23 courses on cybersecurity and cyber policy; this alone would have allowed USAID to reach its target of 24 percent. In addition, USAID and its partners held two collaborative workshops in 2014, the first with the African Union in Washington D.C., and the second workshop on National Cybersecurity Policy in Turkey. These additional workshops resulted in the Agency surpassing the target.

As FY 2014 was the first year USAID tracked this indicator, the Agency is planning regional workshops in conjunction with its U.S. based cyber capacity building training for some of its partner countries in FY 2015.

### Indicator Methodology

USAID works through its public-private partnership to provide the financial and technological resources needed to assist with securing cyberspace. USAID's implementing partners collect data annually. The Agency tracks the number of countries with professionals who receive cybersecurity training and related technologies, as well as the successful completion of training. The performance indicator is calculated by dividing the number of countries with trained professionals by the overall target number. USAID acquires data from its primary implementing partner for the Securing Cyberspace performance goal. There are no known issues with data quality.



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## Strategic Objective 2.5: Strengthen America's Efforts to Combat Global Health Challenges

### Strategies for Achieving the Objective

The U.S. government has more than 10 years of experience in helping countries to rapidly expand HIV prevention, treatment, and care services through the President's Emergency Plan for AIDS Relief (PEPFAR). PEPFAR's current strategy, PEPFAR 3.0 - Controlling the Epidemic: Delivering on the Promise of an AIDS-Free Generation, showcases PEPFAR's design to support the Joint United Nations Programme on HIV/AIDS (UNAIDS) ambitious 90-90-90 global goals: 90 percent of all people living with HIV will know their HIV status; 90 percent of all people with diagnosed HIV infection will receive sustained antiretroviral therapy; and 90 percent of all people receiving antiretroviral therapy will have viral suppression by 2020. This new focus requires a shift in business practices, pivoting to a data-driven approach that strategically targets geographical areas and populations where we can achieve the most impact for our investments. The PEPFAR 3.0 strategy makes clear that the United States' commitment to this goal will remain strong, comprehensive, and driven by science. Importantly, this framework emphasizes impact, efficiency, sustainability, partnership, and human rights as core agendas to create an AIDS-free generation.

In 2012, the U.S. government joined more than 175 countries and 400 civil society and faith organizations in pledging to end preventable child deaths worldwide by 2035, as part of the Call to Action for Child Survival. The Call to Action joins related efforts that have set ambitious goals to end preventable maternal and newborn deaths, increase access to voluntary family planning, and accelerate improvements in malaria, nutrition, and water and sanitation. These renewed efforts have spurred strategic shifts in maternal and child health programming including: increasing efforts in those countries with the largest share of under-five deaths, focusing on reaching the most underserved populations, targeting the drivers of mortality through innovation and scalable interventions, and creating mutual accountability at all levels.

The Ebola outbreak in West Africa is a jarring reminder of the need for a greater capability in all countries to rapidly detect and respond to new or re-emerging public health threats that "spill over" in humans from animal populations. The Global Health Security agenda is an effort between the U.S. government, other nations, international organizations and public and private stakeholders, to accelerate progress toward a world safe and secure from infectious disease threats and to promote global health security as an international security priority. The State Department, along with other U.S. government agencies, contributes to global health security by strengthening policies related to dual-use research of concern.

The U.S. government will use its influence in multilateral and bilateral arenas to focus attention on accelerating achievement of U.S. global health objectives and the UN Millennium Development Goals. Continued diplomatic leadership on global health in the UN Post-2015 Development Agenda will remain a U.S. priority. Supported by the State Department and USAID, our diplomats and development professionals will promote country-owned health systems and encourage shared responsibility for financing health systems with partner governments, other donors, non-governmental organizations, and the private sector. Although U.S. positions on health in the Post-2015 Development Agenda have yet to be finalized, they will likely include a focus on creating an AIDS-free generation and ending preventable child and maternal deaths. The U.S. government is also considering incorporating new areas such as non-communicable diseases and a multi-sectoral focus on health system strengthening in the Post-2015 development goals.



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Many external factors affect U.S. government efforts on country ownership and shared responsibility. A successful transition to country ownership depends on political stewardship by partner governments and the administrative and technical capabilities of numerous public and private institutions. Fiscal pressures on traditional donor countries will likely continue to negatively affect their ability to support multilateral initiatives. Steady economic growth in many regions, and particularly in Africa, will create opportunities for countries to direct more domestic resources toward their health sectors.

The U.S. government, through the Senator Paul Simon Water for the Poor Act of 2005 and newly-signed Senator Paul Simon Water for the Poor Act of 2014, is committed to using its foreign assistance resources to help people and countries have reliable and sustainable access to an acceptable quantity and quality of water to meet their needs. USAID supports increased access to reliable and sustainable water supply and sanitation through funding for infrastructure development and through institutional and capacity development, strengthening of community-based systems, facilitation of private supply of products and services, improved management and governance, and mobilization of additional financing.

## Strategic Objective Progress Update

The Department of State and USAID have determined that performance towards this objective is making noteworthy progress.

### **Ending Preventable Child and Maternal Deaths (EPCMD):**

The world has made remarkable strides in both public and private efforts toward saving the lives of women and children, yet maternal and child mortality remains a critical problem in developing countries. Child deaths decreased by 46 percent from 1990 to 2012, and maternal deaths decreased by 45 percent from 1990 to 2013. While these global mortality declines since 1990 are impressive, recent estimates indicate that each year more than 289,000 women still die from complications during pregnancy or childbirth and there are still 6.3 million deaths of children under five years of age – 43 percent of which are in the first month of life. Approximately three-quarters of these child and maternal deaths are preventable with currently available interventions.

Together with country partners, international organizations, and nongovernmental organizations from around the globe, the United States is working toward targets that will truly represent an end to preventable child deaths—with all countries having fewer than 20 deaths per 1,000 live births and fewer than 50 maternal deaths per 100,000 live births by 2035. The related Agency Priority Goal is to reduce under-five mortality by 4 deaths per 1,000 live births in our priority countries by the end FY 2015 (as compared to FY 2013).

Improvements in mortality outcomes are the result of increasingly effective efforts to link diverse health programs in maternal and child health, malaria, family planning’s contribution to the healthy timing and spacing of pregnancy, nutrition, HIV/AIDS, and sanitation and hygiene improvement. All of these efforts contribute to ending preventable child and maternal deaths.

The U.S. government cannot achieve these goals alone. To achieve this objective the U.S. must encourage country ownership and invest in country-led plans while continuing to challenge the global community to support this global goal. The U.S. government approach works with partner countries to address these primary drivers by building sustainable health systems that can address the full range of developing country health needs.



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On June 25, 2014, USAID and the Governments of Ethiopia and India, in collaboration with United Nations Children's Fund (UNICEF), the Bill & Melinda Gates Foundation, and other partners, came together for a high-level forum: Acting on the Call: Ending Preventable Child and Maternal Deaths, to celebrate the progress, assess the challenges that remain, and identify the steps needed to sustain momentum in the future.

To accelerate efforts toward this goal, in FY 2014, USAID is providing over \$2 billion, with the bulk of the resources going toward the 24 priority countries where the majority of child and maternal deaths occur. USAID continues to work to ensure that our programs and budgets are focused on the key drivers of child and maternal deaths and to support state-of-the-art, evidence-based programs to ensure we meet our goals.

## **Shared Responsibility – Strengthen Results for an AIDS-Free Generation:**

PEPFAR represents America's commitment to saving lives, controlling the HIV/AIDS epidemic, and working with our partners to achieve an AIDS-free generation. Reaching the goal of an AIDS-free generation is a shared responsibility among host country governments, civil society, faith-based organizations, development partners, multilateral organizations, the private sector, and others. PEPFAR remains firmly committed to its foundational principles of making smart investments based on sound science, good public health, a human rights approach, and focusing on the accountability, transparency, and impact of our work.

At the end of FY 2014, PEPFAR supported more than 7.7 million men, women, and children worldwide on life-saving antiretroviral therapy (ART). In FY 2014, PEPFAR supported HIV testing and counseling (HTC) for more than 56.7 million people, providing a critical entry point to prevention, care and treatment. Of those receiving PEPFAR-supported HTC, more than 14.2 million were pregnant women. For the approximately 745,000 of these pregnant women who tested positive for HIV, PEPFAR provided antiretroviral medications for PMTCT. In FY 2014 alone, due to PEPFAR support, 95 percent of these babies were born HIV-free (including 240,000 that would otherwise have been infected). From FY 2013-14, more than 1.5 million HIV-positive pregnant women received these interventions to prevent mother-to-child transmission and improve maternal health. By the end of calendar year 2014, PEPFAR supported a cumulative total of 6.5 million voluntary medical male circumcisions (VMMC) for HIV prevention procedures in east and southern Africa. In FY 2014, PEPFAR also supported more than 17 million people with care and support, including 5 million orphans and vulnerable children.

To accelerate progress, PEPFAR is further increasing its efficiency and maximizing its impact. This includes driving down the cost of commodities; employing the highest yield interventions and targeting specific geographic areas, populations, and risk behaviors; utilizing site-level and expenditure analysis data to rigorously monitor program impact; expanding HIV services access while maintaining high-quality care; and strengthening coordination with other donors, particularly the Global Fund to Fight AIDS, Tuberculosis and Malaria, to reduce duplication, leverage our collective buying power, and optimize our combined efforts.

## **Water and Sanitation:**

USAID's Water and Development Strategy sets the overall goal of saving lives and advancing development with the first strategic objective to improve health outcomes through improvements in water supply, sanitation, and hygiene (WASH) programs. USAID has set a target of reaching a minimum of 10 million persons with sustainable access to improved water supply and six million persons with sustainable access to improved sanitation over the period of 2013 - 2018. The Strategy has added emphasis to sustainability, safe water, and sanitation.

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## Additional Evidence Measuring Achievement of the Objective

### Prevalence of stunted children under five years of age

	FY 2014	FY 2015	FY 2016	FY 2017
Target	38.2%	37.0%	36.3%	35.6%
Result	37.7%			

### Indicator Analysis

Maternal and child under-nutrition negatively affects all aspects of an individual's health and development, and further limits societies' economic and social development. In 2011, under-nutrition, including fetal growth restriction, suboptimum breastfeeding, stunting, wasting, and vitamin A and zinc deficiencies, contributed to 3.1 million (45 percent) child deaths worldwide. Under-nutrition leads to lower levels of educational attainment, reduced productivity later in life, lower lifetime earnings, and slowed economic growth of nations. As a result, under-nutrition can decrease a country's economic advancement by up to eight percent, which further amplifies the conditions that lead to under-nutrition. However, this cycle is preventable. Improving nutrition can reduce child and maternal mortality and morbidity as well as chronic diseases later in life. It can also lift families out of poverty and contribute to long-term economic growth. U.S. investments in nutrition through agriculture, health, and humanitarian assistance programs can forge long-term links and realize mutual benefits for health and economic productivity. Nutrition is a key component of the Feed the Future (FTF) Initiative and the Global Health Initiative (GHI), as well as the Food for Peace programs. USAID aims to prevent and treat under-nutrition through a comprehensive package of maternal and child nutrition interventions focusing on the first 1,000 days—from pregnancy to age two.

**Child Stunting:** Stunting, or short height for age, is the manifestation of poor nutritional status especially during the first 1,000 days. Globally, at least 162 million (25 percent) children under five were stunted in 2012. Failure to reach optimal height is caused by a lack of essential vitamins and nutrients during the early years and by frequent illness, which robs growing bodies of the capacity to utilize available nutrients. Stunting is correlated with impaired cognitive development and impaired work and economic capacity in adulthood. A stunted child is 4.6 times more likely to die from infectious diseases compared to a non-stunted child.

In FY 2014, 37.7 percent of children were stunted in the 19 USAID priority countries for which data are available. The result exceeded the target of 38.2 percent. The countries with the greatest reductions were Ghana, Liberia, and Haiti. Since a country's population size tends to drive prevalence changes at the global level, the countries driving the population-weighted change were Bangladesh, Ethiopia, and Democratic Republic of Congo. USAID programs supported country-led efforts that make affordable, quality foods available, promote breastfeeding and improved feeding practices, and provide micronutrient supplementation and community-based management of acute malnutrition. Since rising incomes do not necessarily translate into a reduction in under-nutrition, USAID supported specific efforts geared toward better child nutrition outcomes, including broader nutrition education that targets the whole family, including mothers, fathers, grandmothers, and other caregivers.

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## Indicator Methodology

FY 2014 targets and results, as well as out-year targets, were estimated using Demographic Health Survey (DHS) and Reproductive Health Survey (RHS) data, where available. Multiple Indicator Cluster Survey (MICS) data were used if a DHS/RHS has not been completed in the last ten years. The data were weighted using Census Bureau International Database population estimates. The analysis was done using linear interpolation, thus modeling estimates for years where no surveys were conducted and projecting out-year targets using a 'best-fit' line. Estimates are consistent with activity plans and similar levels of out-year funding. The FY 2014 analysis covers the following USAID Nutrition Program and FTF priority countries: Bangladesh, Cambodia, Democratic Republic of Congo, Ethiopia, Ghana, Guatemala, Haiti, Kenya, Liberia, Malawi, Mali, Mozambique, Nepal, Rwanda, Senegal, Tajikistan, Tanzania, Uganda, and Zambia. These declines in stunting reflect national levels results for nutrition priority countries, not just the specific FTF target areas. It is in these FTF intervention areas that USAID aims to achieve a 20 percent reduction in stunting over five years in FTF.

### Prevalence of anemia among women of reproductive age

	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017
Target				37.90%	37.40%	33.2%	32.2%
Result	41.40%	40.90%	38.50%	35.1%			

## Indicator Analysis

Maternal anemia is associated with 20 percent of maternal deaths globally and contributes to adverse birth outcomes including premature birth and low birth weight. Globally, almost one fifth of all pregnant women suffer from iron deficiency anemia, the most common type of anemia in developing countries. The primary cause of anemia is poor diet, which is often exacerbated by infectious diseases, particularly malaria and intestinal parasites.

In FY 2014, USAID contributed to a decrease in maternal anemia, from 38.5 percent to 35.1 percent in 15 of the 24 priority countries for which data are available. The result exceeded the target of 37.9 percent. The countries with the largest average annual rate of reduction were Ghana, Liberia, and Haiti. Since population size tends to drive prevalence changes at the global level, the countries driving the population-weighted change were Bangladesh, Ethiopia, and Democratic Republic of Congo. In FY 2014 USAID's programs improved the nutritional status of women through targeted investments in the highest burden countries and worked across sectors such as health, agriculture, and WASH. The FY 2014 analysis covers the following USAID Nutrition Program and FTF priority countries: Democratic Republic of Congo, Ethiopia, Ghana, Malawi, Mali, Mozambique, Rwanda, Senegal, Tanzania, Uganda, Bangladesh, Cambodia, Nepal, Guatemala, and Haiti.

## Indicator Methodology

FY 2014 targets and results, as well as out-year targets, were estimated using DHS/RHS data where available. MICS data were used if a DHS/RHS has not been completed in the last ten years. The analysis was done using

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linear interpolation, thus modeling estimates for years where no surveys were conducted and projecting out-year targets using a 'best-fit' line. Estimates are consistent with activity plans and similar levels of out-year funding. Country prevalence is weighted using the reference population from the Census Bureau's International Database. The data is weighted by the corresponding year from 2009 to 2015. Anemia is determined through a blood test during the survey process; hemoglobin levels are measured in grams per deciliter, and those women below a set threshold are determined to have anemia. While recoding files, DHS also adjusts for altitude. This year's analysis covers the following USAID Nutrition Program and FTF priority countries: Bangladesh, Cambodia, Democratic Republic of Congo, Ethiopia, Ghana, Guatemala, Haiti, Kenya, Liberia, Malawi, Mali, Mozambique, Nepal, Rwanda, Senegal, Tajikistan, Tanzania, Uganda, and Zambia.

## Number of people gaining access to an improved sanitation facility

	FY 2012	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target			1,717,076	2,087,731	1,762,951	1,800,939
Result	1,247,737	1,884,169	1,903,544			

## Indicator Analysis

Improved sanitation is defined as a facility that hygienically separates human excreta from human contact, and facilities shared between two or more households are not considered improved under this definition. Use of an improved sanitation facility by households is strongly linked to decreases in the incidence of diarrheal disease among household members, especially among children under age five. Diarrhea remains the second leading cause of child deaths worldwide.

USAID's Water and Development Strategy sets the overall goal of saving lives and advancing development through improvements in water supply, sanitation, and hygiene (WASH) programs, and through sound management and use of water for food security. To achieve this goal the Water and Development Strategy sets two strategic objectives (SOs). SO 1 is to improve health outcomes through the provision of sustainable WASH. USAID has set a target of reaching six million persons with sustainable access to improved sanitation over the period of 2013 - 2018. USAID will provide continued technical support on sanitation-related programs towards this goal in out-years, with Development Assistance, Economic Support Fund, and Global Health Programs funding also contributing to these outcomes.

The indicator here represents U.S. government beneficiaries with planned targets of 2,087,731 and 1,762,951 in FY 2015 and FY 2016, respectively.

## Indicator Methodology

Data source: FY 2014 Performance Reports from Angola, Bangladesh, DRC, Egypt, Ethiopia, Ghana, India, Indonesia, Jordan, Kenya, Liberia, Madagascar, Mozambique, Nigeria, Philippines, Rwanda, Senegal, South Sudan, Tanzania, West Bank and Gaza, Zambia, West Africa Regional, East Africa Regional, and centrally-funded programs, as reported in the Foreign Assistance Coordination and Tracking System.



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Data quality: Performance data, verified using Data Quality Assessments (DQAs), must meet standards of validity, integrity, precision, reliability, and timeliness. Each Operating Unit must document the methodology used to conduct the DQAs. DQA and data source records are maintained in the Performance Management Plans. (For details, refer to USAID's Automated Directive System [ADS] Chapter 203.3.11, <http://www.usaid.gov/sites/default/files/documents/1870/203.pdf>).

### Number of people gaining access to an improved drinking water source

	FY 2012	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target			3,266,609	4,226,216	3,437,446	3,421,050
Result	3,239,752	3,131,707	3,232,648			

### Indicator Analysis

Improved drinking water sources, according to the World Health Organization (WHO)/UNICEF Joint Monitoring Programme for Water Supply and Sanitation, are ones that by nature of their construction or through active intervention are protected from outside contamination, and in particular, from contamination with fecal matter. These sources include: piped water into a dwelling, plot, or yard; public tap/standpipe; tube well or borehole; a protected dug well; a protected spring; or rainwater collection. All other sources are considered to be "unimproved." Unimproved drinking water sources, according to the JMP, are: an unprotected dug well; unprotected spring; cart with small tank/drum; tanker truck; surface water (river, dam, lake, pond, stream, canal, irrigation channel); and bottled water.

USAID's Water and Development Strategy sets the overall goal of saving lives and advancing development through improvements in WASH programs, and through sound management and use of water for food security. To achieve this goal the Water and Development Strategy sets two strategic objectives (SOs). SO 1 is to improve health outcomes through the provision of sustainable WASH. USAID has set a target of reaching a minimum of 10 million persons with sustainable access to improved water supply over the period of 2013 - 2018. USAID will provide continued technical support on water-related programs towards this goal in out-years, with Development Assistance, Economic Support Fund, and Global Health Programs funding also contributing to these country-level outcomes.

The indicator here represents U.S. government beneficiaries with planned targets of 4,226,216 and 3,437,446 in FY 2015 and FY 2016, respectively.

### Indicator Methodology

Data source: FY 2014 Performance Reports from Armenia, Bangladesh, DRC, Dominican Republic, Egypt, Ethiopia, Ghana, India, Indonesia, Kenya, Liberia, Madagascar, Maldives, Mozambique, Nepal, Nigeria, Pakistan, Philippines, Rwanda, Senegal, Somalia, South Sudan, Tajikistan, Tanzania, West Bank and Gaza, Yemen, Zambia, West Africa Regional, East Africa Regional, and centrally-funded programs as reported in the Foreign Assistance Coordination and Tracking System.



## Strategic Goal 2: Strengthen America's Foreign Policy Impact on our Strategic Challenges

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### First birth under 18

	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017
Target				21.40%	22.6%	21.9%	21.2%
Result	24%	23.30%	22.50%	23.3%			

### Indicator Analysis

Early childbearing has multiple detrimental health and non-health consequences. Women who give birth before the age of 18 may be at higher risk of obstetric fistula, anemia and maternal morbidity and mortality. Their children are also more likely to experience serious health consequences including greater risk of perinatal mortality. Furthermore, early childbearing is associated with lower levels of education, higher rates of poverty, and higher incidences of domestic violence and sexual abuse. Delaying the age of first birth helps slow population growth by shortening the reproductive span.

The planned target for this indicator was not met in FY 2014. The actual value for this indicator in 2014 (23.3%) fell short of achieving the targeted annual reduction of 0.7, due to increases in three priority countries (Liberia, DRC, and Nigeria).

### Indicator Methodology

This indicator measures the proportion of women who had a first birth before the age of 18 among women aged 18-24 at the time of the survey. The average percentage of women aged 18-24 who had a first birth before the age of 18 is equal to the sum of the estimated annual percentage of women aged 18-24 who had a first birth before the age of 18 across all target countries divided by the number of target countries. Annual country estimates of early childbearing are derived through moving averages using all available data points from DHS/RHS surveys. Estimates for years beyond the last available data point are derived through linear extrapolation based on the last two available data points.

FY 2014 results and FY 2015 targets have been projected using Demographic and Reproductive Health Survey data for the following USAID-assisted countries: Afghanistan, Angola, Bangladesh, Benin, Burundi, Cambodia, DRC, Ethiopia, Ghana, Guatemala, Guinea, Haiti, India (UP), Jordan, Kenya, Liberia, Madagascar, Malawi, Mali, Mozambique, Nepal, Nigeria, Pakistan, Philippines, Rwanda, Senegal, South Sudan, Tanzania, Uganda, Yemen, Zambia, and Zimbabwe. Inclusion criteria are: 1) the number of countries receiving greater than or equal to \$2 million in Family Planning/Reproductive Health (FP/RH) in FY 2012 and with two or more RHS, MICS survey or DHS data points available at the time of reporting. South Sudan has been included since it meets the funding



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criterion but only has one survey data point. Egypt has been excluded since it does not meet the funding criterion.

### Number of Neglected Tropical Disease (NTD) treatments delivered through U.S. government-funded programs

	FY 2011	FY 2012	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target				190 million	218 million	200 million	200 million
Result	208.2 million	244.6 million	233.9 million	133.4 million****			

\*USAID reported 186.7 M treatments delivered in FY 2011 in the FY 2011 APR based on partial data. Complete data is now available and a total of 208.2 Million treatments were delivered.

\*\*USAID reported 103.8 M treatments delivered in FY 2012 in the FY 2012 APR based on data available as of September 30, 2012. Complete data is now available and a total of 244.6 Million treatments were delivered.

\*\*\*USAID reported 103.2 M treatments delivered in FY2013 in the FY2013 APR based on data available as of November 8, 2013. Complete data is now available and a total of 233.9 Million treatments were delivered.

\*\*\*\*USAID is reporting 133.4 Million treatments delivered in FY 2014 based on data available as of October 31, 2014. It is estimated that complete data will be available by mid-2015, which will indicate 239.8 Million treatments delivered.

### Indicator Analysis

A Neglected Tropical (NTD) treatment is defined as the age and height appropriate dosage of a NTD specific drug administered to an eligible person in a defined geographic area. Each drug dose is counted as a unique treatment such that an individual may receive multiple treatments in the context of an integrated multi-disease (MDA). MDA activities typically occur annually until the Stop-MDA criteria are achieved. The number of treatments needed before Stop-MDA criteria are achieved are based on a recommended number of effective MDA rounds for the at risk populations as determined by district-level mapping as well as obtaining a specified prevalence of infection below which transmission is likely to have been interrupted. The expected impact of the delivery of NTDs treatments through U.S.-funded programs is a reduction in the number and percentage of individuals in the target population at risk for lymphatic filariasis and blinding trachoma.

In 2014, USAID supported 25 countries in the introduction or expansion of integrated NTD programming or to conduct impact assessments to evaluate progress to disease control and elimination goals. Given data available as of October 31, 2014, USAID delivered 133.4 million treatments in FY 2014 to the following countries: Benin, Burkina Faso, Cameroon, Ghana, Guinea, Haiti, Indonesia, Mali, Mozambique, Nepal, Niger, Senegal, Sierra Leone, Tanzania, Togo, and Uganda. However, due largely to the annual nature of MDA, data is currently still being compiled in the field in eight countries (Burkina Faso, Cameroon, Ghana, Indonesia, Nigeria, Senegal, Togo, and Uganda). Assuming coverage in countries with outstanding data is in line with planning figures, an estimated 239.8 million treatments were provided against a FY2014 target of 190 million treatments. With this best estimate of treatments delivered, the USAID NTD Program can achieve a Rating of "Above Target."

Complete data is expected in mid-FY 2015. In 2014, the USAID NTD program achieved the remarkable milestone of having provided the one billionth cumulative NTD treatment to persons in need. The FY 2015 target has been



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modified from 195 million treatments reported in the FY2013 APR to 218 million and the FY 2016 and FY 2017 targets have been set at 200 million treatments. These new targets reflect expansion of activities into the Democratic Republic of Congo, Nigeria, and Ethiopia and resumption of activities in Ebola-stricken countries including Sierra Leone and Guinea. However, countries that received support from USAID starting in 2006 are beginning to achieve Stop-MDA criteria and so there will be reduction in treatments for LF and trachoma.

## Indicator Methodology

Data Source: This indicator captures the number of NTD treatments delivered for the following countries: Benin, Burkina Faso, Cameroon, Ethiopia, Ghana, Guinea, Haiti, Indonesia, Mali, Mozambique, Nepal, Niger, Nigeria, Senegal, Sierra Leone, Tanzania, Togo, and Uganda.

Data Quality: USAID primes and sub-contractors obtain information from Ministries of Health. After country programs submit data, USAID and partners undergo an intensive process to review data validity, reliability, timeliness, and integrity. This process involves reviewing previous submissions, comparing results across time, triangulating information across multiple sources, and following up with Ministries of Health and sub-contractors as needed.

## Case Notification rate in new sputum smear positive pulmonary TB cases per 100,000 population nationally

	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017
Target				131 per 100,000	133 per 100,000	134 per 100,000	135 per 100,000
Result	115 per 100,000	120 per 100,000	129 per 100,000	131 per 100,000			

## Indicator Analysis

Case notification rate has been declining at global level in recent years, yet it is steadily improving in USAID supported countries over time. The USAID Tuberculosis (TB) program has prioritized numerous evidence-based interventions aimed at improving case notification. Community based TB activities to improve knowledge about TB (symptom recognition and where to seek care), refer symptomatic individuals, screen at community level and better integration of community based health programming has played an important role in improving case notification. Introduction of new diagnostics such as Xpert MTB/RIF® and improved case detection at facility level has also contributed to the increase in notification over time.

As USAID moves forward with a new global TB strategy for 2015-2019, the TB program will continue to support scale up of evidence based approaches with the goal of maintaining the positive trend in case notification. Additionally, the TB program will work with National TB Programs (NTPs) and partners to identify key populations for targeted case finding, such as contacts of infectious TB patients, miners, prisoners, slum dwellers, diabetics and other sub groups known to be at risk for having TB. Lastly, USAID will support efforts to



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improve data collection, analysis and use, so that the most accurate data are available to assess the burden of TB and support TB program planning. These activities will contribute to the overall Strategic Objective by maintaining the critical leadership role the U.S. government is playing in global TB control efforts and ensuring that partners maximize detection and notification of TB cases.

## Indicator Methodology

This indicator is generated from the WHO Tuberculosis Database, which is updated each year by the TB Monitoring and Evaluation Unit (TME) in the WHO Global TB Program. This team sends a standardized data collection form to NTP managers with a request to complete notification and treatment outcome indicators, as well as information related to implementation of priority activities under the Global Plan to Stop TB. TME analyzes the data with a standard quality algorithm to identify missing data and trends that are inconsistent with previous years that may indicate a data quality issue. The data quality report is returned to NTP managers with request to address the issues and resubmit. Next, the data are analyzed and key indicators generated from the "raw" data provided by the NTP.

The major concern with this indicator is the shifting definition over time as WHO updates the TB Monitoring and Evaluation framework, and it is introduced and scaled up in countries. For consistency's sake, the calculation of this indicator has remained the same from FY 2013 to FY 2014; however, next year, as more countries adapt and expand the framework, the calculation will likely change and may result in a higher rate due to the inclusion of TB cases that previously would not have been counted in the case notification rate. The other concern with this indicator is the possibility of a lower rate if all service delivery sites that diagnose TB do not report notifications on a quarterly basis, which may be an issue in countries where many TB cases are diagnosed and treated in private sector settings but not notified to the NTP. USAID is working with NTPs and implementing partners to improve data quality through supervision and increased collaboration with the private sector so that notification rates are improved in the future.

### **Percent of registered new smear positive pulmonary TB cases that were cured and completed treatment under DOTS nationally (treatment success rate)**

	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017
Target				88%	N/A	N/A	N/A
Result	86%	86%	87%	N/A			

## Indicator Analysis

The definition of treatment success rate has changed from FY 2013 with the new WHO reporting framework. This important programmatic outcome, which previously focused only on smear positive (and potentially contagious) TB cases, now includes all forms of TB. This more than doubles the number of TB patients included in the analysis of USAID supported countries. For example, the denominator of this indicator shifted from 1.2 to 2.7 million from one reporting period to the next, and the numerator included all laboratory confirmed and clinically diagnosed TB cases instead of only smear positive. This significant change in the definition makes it

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impossible to report from FY 2014 forward thus, this indicator will be replaced with "Percentage of all forms of TB that were cured or completed treatment (treatment success rate)", as noted below.

**Key Indicator: Percent of registered TB cases that were cured and completed treatment (all forms) (treatment success rate)**

	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017
Target				N/A	87%	88%	88%
Result	N/A	N/A	N/A	86%			

### Indicator Analysis

This new indicator will replace the previously reported treatment success rate, which included only smear positive TB cases (see above). With this new definition, the baseline value for FY 2014 is 86 percent. This new indicator reflects the ambitions of the forthcoming USAID TB strategy for the period 2015-2019, which is focused on providing patient centered, high quality diagnosis and treatment services for all TB cases.

The USAID will continue to support interventions aimed at maintaining/improve treatment outcomes and the reporting systems to ensure improvements in the indicator and accurate reporting. These include a range of interventions from direct patient support to ensure completion of treatment to technical assistance aimed at improving drug procurement, management and quality, interventions that are critical to providing high quality TB treatment. These activities and the resulting outcome contribute to the strategic objective of combatting global health challenges by ensuring that patients are cured, transmission is interrupted in households and communities and the social and economic consequences of a TB diagnosis are minimized.

### Indicator Methodology

This indicator is generated from the WHO Tuberculosis Database, which is updated each year by the TB TME in the WHO Global TB Program. This team sends a standardized data collection form to NTP managers with a request to complete notification and treatment outcome indicators, as well as information related to implementation of priority activities under the Global Plan to Stop TB. TME analyzes the data with a standard quality algorithm to identify missing data and trends that are inconsistent with previous years that may indicate a data quality issue. The data quality report is returned to NTP managers with request to address the issues and resubmit. Next, the data are analyzed and key indicators generated from the "raw" data provided by the NTP.

The major concern with this indicator is the shifting definition from FY 2013 to FY 2014 as part of the WHO update to the TB Monitoring and Evaluation framework (see above). Unlike case notification rate, it was not possible to calculate the indicator as defined in the past because the variables that contribute to the numerator and denominator are not the same. Additionally, since the key variables changed in the past year, it is possible that NTPs who have not yet adopted and expanded the new framework did not adhere to the new definitions, although it is not known how this data quality concern could affect the direction. USAID is providing technical

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assistance to countries to improve reporting systems, especially with regards to the new WHO framework, and to address these potential data quality issues.

## Performance Goal 2.5.1: Create an AIDS-Free Generation

**Performance Goal Statement:** By September 30, 2017, U.S. health assistance for combating HIV/AIDS will support progress in creating an AIDS-free generation by increasing the number of people receiving comprehensive, evidence-based HIV/AIDS prevention, care, and treatment services.

### Performance Goal Overview

The U.S. government is committed to making strategic, scientifically sound investments to help scale up HIV prevention, treatment, and care interventions, particularly in high-burden countries. The HIV/AIDS epidemic continues to impact much of the world, and in many low- and middle-income countries, recent studies reveal that HIV disproportionately impacts key populations and demonstrates the existence of concentrated epidemics in these groups.

The U.S. government's HIV/AIDS assistance – coordinated through the Office of the U.S. Global AIDS Coordinator to implement the PEPFAR – continues to expand and progress, contributing to the dramatic improvements seen in many national epidemic trends. The U.S. government effort has been instrumental in this successful transition, but this level of effort must be increased on a global scale if the goal of an AIDS-free generation and epidemic control is to be achieved. This global response is framed in the context of the UNAIDS ambitious 90-90-90 global goals: 90 percent of all people living with HIV will know their HIV status; 90 percent of all people with diagnosed HIV infection will receive sustained antiretroviral therapy; and 90 percent of all people receiving antiretroviral therapy will have viral suppression by 2020. This goal is dependent on linkages between the U.S. work with that of partner countries, other major bilateral and multilateral actors, civil society, people living with HIV/AIDS, faith-based organizations, foundations, and the private sector. This collaborative evolution is already occurring, in conjunction with a focus on a more data-driven agenda that targets geographic areas and populations where impacts will be greatest.

While global results associated with this larger effort are a more complete illustration of progress, in this report the focus is on PEPFAR's contribution to this combined work. PEPFAR is a major driver of these achievements, and as this next phase commences, this pivot in approach will place more emphasis on impact, efficiency, sustainability, partnership, and human rights in the fight against this epidemic. PEPFAR also is working closely with global partners to establish targets for the primary contributors, within the larger context of the UNAIDS 90-90-90 agenda. This exercise is in progress, and at this time, no specific annual targets for PEPFAR have been identified. Results for the indicators described below for FY 2014 exclude partial data for one U.S. government implementing agencies for one of the PEPFAR operating units.



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## Performance Goal Progress Update

**Key Indicator: Number of adults and children with advanced HIV infection receiving Antiretroviral Therapy (ART)**

	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017
Target				Targets to be published in FY 2017 APP.		
Result	5.1 million	6.7 million	7.7 million			

### Indicator Analysis

PEPFAR support in FY 2014 reached a total of 7.7 million persons receiving life-saving antiretroviral treatment. This result continues the trend in growth experienced over the last several years of U.S. government support to country programs. This increase in numbers is largely due to countries adopting the WHO guidelines of treating those with a CD4 less than 500 versus 350 – which allows more people to be eligible for treatment — and the PEPFAR response to investing in aggressive scale up of treatment.

A new reporting framework now permits a disaggregation of data according to the type of support provided. Direct Service Delivery (DSD) support requires PEPFAR investment towards critical inputs such as health care worker salaries or commodities at the site-level, in addition to an established or a routinized presence (e.g., quarterly visits) at the point of service delivery to ensure quality services are provided. Technical Assistance for Service Delivery Improvement (TA-DSI) support is defined by the provision of essential technical support to the site, at least on a quarterly basis. This technical support may take the form of clinical mentorship, supportive supervision, site-level quality improvement or quality assurance support, as well as routine support of monitoring, evaluation, and reporting activities, just to name a few examples. This year PEPFAR supported 4.5 million persons receiving antiretrovirals consistent with the DSD level of effort and 3.2 million persons consistent with the TA-DSI level. Taken together, these results allow PEPFAR to better describe our contribution to national and global efforts, alongside all partners.

### Indicator Methodology

Data source: Data are submitted by country teams to headquarters on a semi-annual basis. These data represent the achievements of actual performance by partners at treatment sites in countries where PEPFAR provides support. Typically data are managed by these partners and subjected to a variety of quality control and assurance measures. Once submitted to the PEPFAR team in-country, the U.S. government team conducts additional quality assurance procedures. This information is forwarded to headquarters, and a team of advisors perform one more quality analysis for these data.

PEPFAR works continuously with partners and country teams to strengthen data quality assurance procedures and practices. Use of the DSD and TA-DSI data types was introduced this year for the first time, and some reporting issues were evident in most countries. These problems will be resolved as implementing partners, country teams, and headquarter personnel become more familiar with these new methods.



## Strategic Goal 2: Strengthen America's Foreign Policy Impact on our Strategic Challenges

**Key Indicator: Number of HIV-positive pregnant women who received antiretrovirals to reduce risk of mother-to-child transmission**

	FY 2012	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target			Targets to be published in FY 2017 APP.			
Result	747,300	781,800	745,369			

### Indicator Analysis

This indicator to document the provision of antiretrovirals to HIV-positive pregnant women in PEPFAR-supported programs is slightly different than the measure used previously that documents the global coverage rate of PEPFAR and all other programs. Specifically, this indicator replaces the performance indicator, Percent of HIV-positive pregnant women who received antiretrovirals to reduce risk of month-to-child transmission, in the FY 2015 APP. Focusing only on PEPFAR-supported service delivery programs provides a description of the scale of PEPFAR effort, something that was not available with the previous indicator. Consequently, in order to improve our understanding of PEPFAR progress in this strategic framework, the current measure will be used to report results and targets.

Providing antiretrovirals to pregnant women to reduce the risk of mother-to-child transmission of HIV is a critical component of the global effort to control the HIV epidemic. In 2011, PEPFAR partnered with UNAIDS to announce the *Global Plan towards The Elimination of New HIV Infections among Children by 2015 And Keeping Their Mothers Alive*. This plan targeted the 22 countries accounting for 90 percent of new infections and set two goals for 2015: reduce new HIV infections among children by 90 percent, and reduce AIDS-related maternal mortality by 50 percent. As a partner to this global plan, PEPFAR also is instrumental to the program's success. PEPFAR has supported a long-term increasing trend of ARV provision to HIV-positive pregnant women and expanded the capacity of countries to meet their treatment needs. The scope of this effort has grown, as well, in conjunction with recommendations by WHO indicating that all HIV-positive pregnant women should receive life-long ARV treatment.

The PEPFAR 2014 results for antiretroviral therapy for pregnant women – 745,369 – continue along the same positive trend, but the figures exhibit a decrease in numbers from previous years. Underlying this trend, there has been a decrease in HIV prevalence among pregnant women even as the number of pregnant women tested increased. This lower prevalence is consistent with a decreasing global HIV incidence. UNAIDS' *2014 Progress Report on the Global Plan* cites program saturation in some countries as a potential explanation for the lower testing and treatment results. Another explanation could be that testing is not focused in the correct geographic location within a country. The PEPFAR PMTCT technical working group is implementing a strategy to explore these different options to account for the PEPFAR patterns and prioritizing high yield sites for intensified treatment efforts.

As noted for the treatment indicator, a new reporting framework now permits a disaggregation of data according to the type of support provided. DSD support requires PEPFAR investment towards critical inputs such as health care worker salaries or commodities at the site-level, in addition to an established or a routinized

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presence (e.g., quarterly visits) at the point of service delivery to ensure quality services are provided. TA-SDI support is defined by the provision of essential technical support to the site, at least on a quarterly basis. This technical support may take the form of clinical mentorship, supportive supervision, site-level quality improvement or quality assurance support, as well as routine support of monitoring, evaluation, and reporting activities, just to name a few examples. PEPFAR support 433,705 HIV-positive pregnant women consistent with the DSD level of effort and 311,663 at the TA-DSI level.

### Indicator Methodology

Data source: Data are submitted by country teams to headquarters on a semi-annual basis. These data represent the achievements of actual performance by partners at PMTCT sites in countries where PEPFAR provides support. Typically data are managed by these partners and subjected to a variety of quality control and assurance measures. Once submitted to the PEPFAR team in-country, the U.S. government team conducts additional quality assurance procedures. This information is forwarded to headquarters, and a team of advisors perform one more quality analysis for these data.

PEPFAR works continuously with partners and country teams to strengthen data quality assurance procedures and practices. Use of the DSD and TA-DSI data types was introduced this year for the first time, and some reporting issues were evident in most countries. These problems will be resolved as implementing partners, country teams, and headquarter personnel become more familiar with these new methods.

### **Key Indicator: Number of males circumcised as part of the Voluntary Medical Male Circumcisions (VMMC) for HIV prevention program**

	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017
Target				Targets to be published in FY 2017 APP.		
Result	1,131,901	2,230,075	2,242,267			

### Indicator Analysis

This introduction of the VMMC indicator as a replacement for the Minimum of One Care Service metric is due primarily to the cessation of data collection for this latter indicator within the PEPFAR program. Following the major revision of indicators administered by PEPFAR in 2013, this indicator was determined to be inadequate for ongoing management of the initiative. Results reporting for FY 2014 did not include information for this measure. VMMC, conversely, has been collected consistently since FY 2010, the indicator has been used as a metric for previous Department of State Agency Priority Goals, and the measure constitutes a more robust metric of PEPFAR progress to control the epidemic.

VMMC is a one-time, low cost intervention shown to reduce men's risk of HIV infection by approximately 60 percent. This medical intervention has the potential to save millions of lives and billions of dollars in future HIV/AIDS treatment costs. The procedure is also drawing millions of men into health services – some for the first time in their lives. WHO recommends VMMC as part of a comprehensive package of HIV prevention

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services, and PEPFAR supports the implementation of VMMC in 14 East and Southern African countries, which have the highest unmet need for this intervention and where programs will have the greatest return on investment. In conjunction with ARV Treatment and PMTCT, VMMC comprises the third medically based component of the combination prevention strategy implemented globally.

At the end of FY 2014, after seven years of VMMC for HIV prevention programming, PEPFAR had supported more than 6.5 million VMMC procedures total in 14 east and southern African countries. Almost 2.24 million of these were in FY 2014 alone, the greatest reach of the program in any single year to date. In coordination with ART scale-up, PEPFAR-supported VMMC programs endeavor to saturate high burden areas—where HIV transmission is likely to be highest—to reduce viral acquisition among men, and in turn prevent onward transmission to women. These efforts will further focus on increasing VMMC coverage among age groups most immediately at risk of sexually acquiring HIV, primarily older adolescents and young adults. PEPFAR programs continue to strive to achieve 80% adult male circumcision prevalence (equating to 20.3 million circumcisions) among the 14 countries to maximally and efficiently reduce HIV incidence in the shortest period of time possible and contribute to PEPFAR's overarching strategies for epidemic control.

## **Indicator Methodology**

Data source: Data are submitted by country teams to headquarters on a semi-annual basis. These data represent the achievements of actual performance by partners at treatment sites in countries where PEPFAR provides support. Typically data are managed by these partners and subjected to a variety of quality control and assurance measures. Once submitted to the PEPFAR team in-country, the U.S. government team conducts additional quality assurance procedures. This information is forwarded to headquarters, and a team of advisors perform one more quality analysis for these data.

Data quality: PEPFAR works continuously with partners and country teams to strengthen data quality assurance procedures and practices. Use of the DSD and TA-DSI data types was introduced this year for the first time, and some reporting issues were evident in most countries. These problems will be resolved as implementing partners, country teams, and headquarter personnel become more familiar with these new methods.

## **Performance Goal 2.5.2: End Preventable Maternal and Child Deaths (Agency Priority Goal)**

**Performance Goal Statement: By September 30, 2015, U.S. assistance to end preventable child and maternal deaths will contribute to reductions in under-five mortality in 24 maternal and child health U.S. government-priority countries by four deaths per 1,000 live births as compared to a 2013 baseline.**

### **Performance Goal Overview**

USAID, with its partners in the U.S. government and the global community, is committed to the goal of ending preventable child and maternal deaths. All women deserve to give birth safely, and all children — no matter where they are born — deserve the same chance to survive and thrive. Over the last few decades, the global community has responded to the urgency of this mission, raising child and maternal survival to the top of the international development agenda. All told, from 1990 to 2013, the total number of child deaths fell by half,



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from 12.7 million to 6.3 million. During this time, nearly 100 million child lives have been spared, and the rate at which mortality is declining continues to accelerate. The total number of maternal deaths also decreased globally by 45 percent from 523,000 in 1990 to 289,000 in 2013.

## Performance Goal Progress Update

Ending preventable child and maternal deaths requires a health service delivery system that provides high quality, equitable, and sustainable essential services to women, newborns, and children. USAID's equity-focused approach prioritizes services for the poorest and the most marginalized. This approach is supported by work in health governance that equips local governments to effectively plan, manage, and finance high-quality maternal and child care services. During FY 2014, USAID's programs across maternal, newborn and child health, family planning, malaria, and nutrition programs aggressively targeted the drivers of death and disease. Across our priority countries, the under-five mortality rate—the key indicator used to measure progress toward the overall goal—dropped by 2.4 deaths per 1,000 deaths. The modern contraceptive prevalence rate increased by one percent, which demonstrates forward progress for families who wish to plan and space births to benefit the health of mothers and their babies. To address a leading cause of child death in Africa, USAID's work under the President's Malaria Initiative (PMI) continues to exceed expectations, contributing to dramatic increases in bed net availability and usage, malaria treatment, and other control measures. Maternal deaths are falling as USAID scales up key interventions such as quality antenatal care and deliveries by skilled birth attendants. Through support to the Gavi Alliance and country immunization programs, USAID programs are helping to protect children from disease before they ever become sick. Moreover, USAID is supporting introductions of new vaccines against diarrhea and pneumonia, which remain leading causes of child death in the countries where USAID works.

### Key Indicator: Absolute change in under-five mortality rate

	FY 2014	FY 2015
Target	-2	-2
Result	-2.4	

### Indicator Analysis

USAID programs have helped decrease the number of preventable child deaths, with a decline in all-cause mortality rate for children under-five (U5MR) by 2.4 deaths per 1,000 live births in our 24 priorities countries—from 69.8 in FY 2013 to 67.4 in FY 2014. By addressing the spectrum of care from pregnancy to delivery to newborn and child health, in the past two years alone, USAID has helped achieve a 7 percent reduction in U5MR in 24 priority countries. During this time, USAID pioneered a new approach that has supported partner countries to sharpen their child health strategies and develop evidence-based report cards for monitoring progress. With a strong foundation in place, now is the time for the global community to mobilize around results-oriented country action plans to realize a world where every child everywhere lives to celebrate his or her 5<sup>th</sup> birthday. Despite this extraordinary progress, 17,000 children under five still die every day, and the vast majority of under-five deaths globally occur in sub-Saharan Africa and South Asia. Making further progress on

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under-five mortality will require a focus on newborn survival, reaching the most vulnerable populations, and strengthening local health systems and governance to be responsive to the needs of their people.

## Indicator Methodology

FY 2013 results and FY 2014 data are derived from the Inter-Agency Working Group on Child Mortality Estimates (IGME). Aggregate data for USAID 24 priority countries is weighted using UN World Prospects birth cohort estimates. IGME data are released annually and models are retrofitted using a Bayesian model to account for newly available and varied data sources. Targets have been projected using historical trends in the 24 Priority Countries which include: Afghanistan, Bangladesh, Democratic Republic of Congo, Ethiopia, Ghana, Haiti, India, Indonesia, Kenya, Liberia, Madagascar, Malawi, Mali, Mozambique, Nepal, Nigeria, Pakistan, Rwanda, Senegal, South Sudan, Tanzania, Uganda, Yemen, Zambia.

## Key Indicator: Absolute change in modern contraceptive prevalence rate

	FY 2014	FY 2015
Target	+1	+1
Result	+1	

## Indicator Analysis

Family planning is a critically important and cost-effective response to the serious public health issues of child and maternal mortality. By enabling women and couples to practice healthy timing and spacing of pregnancies, family planning could reduce maternal deaths by 30 percent and child deaths by 25 percent globally. In addition, family planning is a necessary intervention for achievement of the Agency goal of elimination of extreme poverty. USAID's family planning program contributes directly to one of the priority goals of the U.S. government —ending preventable child and maternal deaths.

Increased contraceptive use leads to decreases in unintended pregnancies and abortion rates and slows population growth over time. Modern Contraceptive Prevalence Rate (M CPR) measures the percentage of in-union women of reproductive age (15-49 years) using, or whose partner is using, a modern method of contraception at the time of the survey. Annual country estimates of M CPR are derived through moving averages using all available data points from DHS/RHS as well as FY 2014 population data. Across USAID-assisted FP/RH countries, the aggregated M CPR increased by one percent as targeted between 2013 and 2014.

Experience suggests that a country with a strong family planning program can expect to achieve and sustain a 1-2 percentage point annual change in M CPR. Targets for FY 2015 build on this historical experience.



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## Indicator Methodology

FY 2014 results and FY 2015 targets have been projected using Demographic and Reproductive Health Survey data for the following USAID-assisted countries: Afghanistan, Angola, Bangladesh, Benin, Burundi, Cambodia, DRC, Ethiopia, Ghana, Guatemala, Guinea, Haiti, India, Jordan, Kenya, Liberia, Madagascar, Malawi, Mali,

Mozambique, Nepal, Nigeria, Pakistan, Philippines, Rwanda, Senegal, South Sudan, Tanzania, Uganda, Yemen, Zambia and Zimbabwe. FY 2014 results and FY 2015, targets are based on: 1) the number of countries receiving >= \$2 million in FP/RH in FY 2014 and with two or more RHS, MICS or DHS data points available at the time of reporting. South Sudan has been included since it meets the funding criterion but only has one survey data point. This year, Egypt was excluded since it does not meet the funding criterion.

## Key Indicator: Percent of shipments of contraceptive commodities that are on time

	FY 2014 Quarter 1	FY 2014 Quarter 2	FY 2014 Quarter 3	FY 2014 Quarter 4	FY 2015 Quarter 1	FY 2015 Quarter 2	FY 2015 Quarter 3	FY 2015 Quarter 4
Target	90%	90%	90%	90%	90%	90%	90%	90%
Result	95%	90%	84%	94%				

## Indicator Analysis

The procurement and shipment of family planning commodities is central to USAID's efforts to address the unmet need for family planning in USAID-supported countries. USAID advances and supports family planning/reproductive health programs worldwide through: field-driven program design and implementation; comprehensive technical support; timely and authoritative research; global leadership; and high-impact partnerships.

In the fourth quarter of FY 2014, USAID achieved a rate of 94 percent on-time shipments of contraceptive commodities. The FY 2014 quarterly results of shipments of contraceptive commodities met or exceeded their targets except for the third quarter when a number of shipments were delayed due to consignee error, pre-clearance delays and customs clearance delays. USAID continues to conduct improvement reviews to assess on-time shipment and take swift and effective action to mitigate shipment delays.

## Indicator Methodology

"Shipments" included are those requested by USAID missions through the Central Contraceptive Procurement program. This indicator measures contraceptive commodity shipments made to the following countries in FY 2014: Afghanistan, Angola, Bangladesh, Benin, Burundi, Dominican Republic, Ethiopia, Georgia, Ghana, Guinea, Haiti, Kenya, Liberia, Madagascar, Malawi, Mali, Mozambique, Myanmar, Nepal, Nigeria, Pakistan, Rwanda, Saint Vincent, Senegal, South Africa, South Sudan, Suriname, Tanzania, Thailand, Togo, Trinidad and Tobago, Uganda, Zambia, and Zimbabwe.



## Strategic Goal 2: Strengthen America's Foreign Policy Impact on our Strategic Challenges

**Key Indicator: Annual total number of people protected against malaria with insecticide treated nets**

	FY 2012 Baseline	FY 2013	FY 2014	FY 2015
Target			45,000,000	45,000,000
Result	50,000,000	45,000,000	89,000,000	

### Indicator Analysis

An estimated 85 percent of all deaths from malaria occur in children under 5. In malaria-endemic areas, 50 million women will become pregnant each year. These women are highly susceptible to the consequences of malaria, which lead to increased maternal death and severe maternal anemia, low birth weight, and infant death. In FY 2014, USAID's malaria projects supported PMI's continued efforts to support the scale-up of insecticide-treated nets (ITNs), indoor residual spraying (IRS), appropriate malaria case management including parasitological diagnosis and treatment with artemisinin-based combination therapies, and intermittent preventive treatment of malaria in pregnancy. PMI includes 19 focus countries in Africa and one regional program in the Greater Mekong sub-region. USAID also supports malaria control activities in three other countries in Africa (Burkina Faso, Burundi, and South Sudan), as well as a regional program in Latin America.

If used properly, ITNs are one of the best ways to prevent mosquitoes from biting individuals and infecting them with malaria. During the past eight years, household ownership of at least one ITN increased from an average\* of 29 to 60 percent in all 19 PMI focus countries. Additionally, use of an ITN among children under five more than doubled from an average of 18 to 46 percent, and similar increases have been documented for use of ITNs by pregnant women (from an average of 17 to 43 percent).

Measuring the number of people protected against malaria with an ITN distributed with PMI funds is a key indicator as to whether U.S. assistance is succeeding in extending prevention measures that are necessary to reach the goal of reducing the number of malaria deaths in 19 African countries. The expected impact of ITNs is to reduce the number of malaria deaths in PMI countries. Targets for this indicator are set by estimating the number of ITNs that will be distributed with PMI funds based on Malaria Operational Plans for the 19 PMI focus countries. Funding levels and the addition of countries are also considered.

PMI coordinates its procurement and distribution of ITNs with other major donors including the Global Fund, the World Bank, and UNICEF. In FY 2014, PMI protected 89 million people against malaria with ITNs. PMI exceeded the projected target due to a mass universal coverage campaign that was scheduled and successfully implemented in Uganda after several years of planning and the arrival of procured ITNs from all donors.

Out-year targets for FY 2015 and FY 2016 were set to reflect flat-lined funding levels and off year schedules for national campaigns across the PMI countries.

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## Indicator Methodology

The data source for this indicator is USAID program information. The 19 PMI focus countries are Angola, Benin, Democratic Republic of the Congo, Ethiopia, Ghana, Guinea, Kenya, Liberia, Madagascar, Malawi, Mali, Mozambique, Nigeria, Rwanda, Senegal, Tanzania, Uganda, Zambia, and Zimbabwe. FY 2008, FY 2009, and FY 2010 results reflect activities completed in all 15 PMI countries. FY 2011 results include the original 15 PMI countries as well as the addition of jump start activities in two new PMI countries, Democratic Republic of the Congo and Nigeria. FY 2012 and FY 2013 results include activities in the original 15 PMI countries, and the addition of the Democratic Republic of the Congo, Nigeria, Guinea, and Zimbabwe. The estimated results for FY 2013 account for double-counting by reducing the overall reported numbers by five percent, which reflects an estimated percentage of the population in PMI countries benefiting from PMI-supported IRS and ITNs. The estimated results for FY 2014 account for ITNs only with the global estimate that every net covers 2 people. FY 2015 and FY 2016 targets for this indicator are set by estimating the number of ITNs that will be distributed by PMI in the following year based on Malaria Operational Plans for the 19 PMI focus countries.

**Key Indicator: Annual total percentage of births attended by a skilled doctor, nurse or midwife (skilled birth attendance in 24 maternal and child health-priority countries)**

	FY 2011 Baseline	FY 2012	FY 2013	FY 2014	FY 2015
Target		50.4%	51.5%	52.4%	53.4%
Result	49.4%	51.6%	51.3%	59.9%	

## Indicator Analysis

USAID is working in selected countries to end preventable maternal deaths by bringing integrated, comprehensive programs to address women's health needs from conception to 42 days following delivery. USAID programs take into account and address cultural and financial factors that limit utilization of life-saving care. In FY 2014, USAID resources focused on high-impact maternal interventions with support for essential health system and human resource improvements. A major component of saving the lives of women during and around childbirth is ensuring that all births are attended by skilled health professionals. Timely management and treatment is needed to address the causes of maternal mortality including severe bleeding, high blood pressure, and infection. Use of skilled birth attendants across 24 USAID-assisted countries increased in FY 2014 to 59.9 percent. The difficulty in achieving higher coverage of skilled birth attendant cannot be underestimated, given the significant challenges of sufficiently training and maintaining critical staff, as well as supporting health facilities and systems to adequately addressing the barriers of women seeking care. To help support continued increases in skilled birth attendant coverage, USAID will continue to work in close collaboration with host country governments to help train, deploy, and motivate skilled birth attendants, in addition to strengthening existing systems for quality management and quality improvement and reducing barriers to use of services.

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### Indicator Methodology

In FY 2014, USAID changed the data source from exclusively the DHS to the UNICEF/WHO database in an effort by USAID and global partners to harmonize data sources and improve the accuracy of reporting. The FY 2014 result is much higher than the target and previous estimates and most of the difference between 2013 and 2014 values is attributed to the change in data source alone. Data for the 24 USAID priority countries is aggregated and weighted by birth cohort using UN World Population Prospects 2012 Revision. The 24 MCH priority countries are: Afghanistan, Bangladesh, Democratic Republic of Congo, Ethiopia, Ghana, Haiti, India, Indonesia, Kenya, Liberia, Madagascar, Malawi, Mali, Mozambique, Nepal, Nigeria, Pakistan, Rwanda, Senegal, South Sudan, Tanzania, Uganda, Yemen, Zambia.

### Key Indicator: Annual total percentage of children who received DPT3 by 12 months of age

	FY 2011	FY 2012	FY 2013 Baseline	FY 2014	FY 2015
Target				61.10%	61.70%
Result	59.90%	60.80%	60.40%	74.5%	

### Indicator Analysis

In FY 2014, 74.5 percent of children received the third and final dose of the diphtheria, pertussis and tetanus (DPT3) vaccine. Immunization against childhood diseases such as these is one of the most feasible, effective and powerful means of preventing childhood mortality and morbidity. Despite the low cost of basic childhood immunizations, millions of children die every year from vaccine-preventable diseases. The series of DPT vaccine require a child to receive three doses (at various time points before their first birthday) to be fully protected. Therefore, DPT3 coverage serves as a gauge of how well countries are providing immunization coverage for their children and as such is an important indicator of USAID's priority goal of ending preventable maternal and child deaths in the 24 priority countries. While global trends show variable progress, USAID continues to strive for high vaccination coverage, an effort that can be difficult to maintain in the presence of extreme weather events, disasters, conflict, failing health infrastructure, supply chain problems and population displacement.

Limited increments in future year targets are due to the challenge in the 24 USAID priority countries of reaching an entirely new birth cohort with all routinely recommended vaccines each year. The USAID priority countries were selected because they have weak health systems, particularly for the delivery of primary health services including vaccines. Many of these priority countries have had services disrupted in recent years by disasters, conflict, and population displacement. For example, in Liberia, DTP3 coverage is expected to drop dramatically this fiscal year given almost complete disruptions in routine vaccination services due to the Ebola outbreak. Given these challenges, USAID efforts can be instrumental in minimizing the fall in coverage of high impact interventions due to such disruptions.

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### Indicator Methodology

In an effort to harmonize data and improve the accuracy of reporting, the data source for this indicator has changed from the Demographic and Health Survey to the UNICEF/WHO database as the primary source for DPT3 coverage. The majority of the increase between FY 2013 and FY 2014 is attributable to change in data sources alone. While this source serves as our best metric of progress, data collection and quality are in a continual process of assessment and refinement to adjust for recall bias, administration of mass campaigns in countries with variable reporting systems and random error. Data for the 24 USAID Priority Countries is aggregated and weighted by birth cohort using UN World Population Prospects 2012 Revision. The 24 MCH priority countries are: Afghanistan, Bangladesh, Democratic Republic of Congo, Ethiopia, Ghana, Haiti, India, Indonesia, Kenya, Liberia, Madagascar, Malawi, Mali, Mozambique, Nepal, Nigeria, Pakistan, Rwanda, Senegal, South Sudan, Tanzania, Uganda, Yemen, Zambia.



# Strategic Goal 3: Promote the Transition to a Low Emission, Climate-resilient World while Expanding Global Access to Sustainable Energy

## Strategic Objective 3.1: Building on Strong Domestic Action, Lead International Actions to Combat Climate Change

### Strategies for Achieving the Objective

Through the President's Climate Action Plan, the President's Global Climate Change Initiative, and USAID's Climate Change and Development Strategy, the United States has made low-emissions, climate-resilient sustainable economic growth a priority in our diplomacy and development. Our efforts involve two major areas of engagement: (1) lowering the atmospheric accumulation rate of greenhouse gases that cause climate change; and (2) helping societies anticipate and incorporate plans for responding to potential climate change impacts. The United States is leading efforts to address climate change through international climate negotiations while enhancing multilateral and bilateral engagement with major economies. It is also enhancing partnerships with other key countries and regions. The U.S. is focusing its efforts on actions that support a successful global approach to climate change, as reflected in discussions leading up to the Paris climate conference in 2015, and for subsequent United Nations Framework Convention on Climate Change (UNFCCC) sessions. These efforts deliver results that contribute to an ambitious and effective global response to climate change to the year 2020 and beyond.

The U.S. is building partnerships to reduce emissions of short-lived climate pollutants and from deforestation. For example, the U.S. works to secure a global phase-down of hydro-fluoro-carbons through the Montreal Protocol. If implemented, this could reduce global greenhouse gas emissions by 90 gigatons of CO<sub>2</sub> equivalent by 2050. The U.S. is also building capacity for countries to undertake low-emission development policies. This work includes assisting countries to increase their capacity for cross-sector planning and formulating sectoral policies for low-emissions growth. Other efforts aim to expand clean energy generation and transmission and to increase energy efficiency while phasing out inefficient fossil fuel subsidies that encourage wasteful consumption. This requires mobilizing public and private investments in cleaner energy, implementing enhanced land-use practices, and building public-private partnerships that reduce emissions from deforestation and forest degradation.

The Department of State and USAID's climate-smart agriculture efforts involve implementing technologies that increase climate resilience and reduce greenhouse gas emissions. State and USAID are also working to promote sustainable land uses, which combine climate change mitigation and resilience with long-term growth. Additionally, State and USAID support adaptation planning processes in vulnerable countries and communities by developing support tools that use climate science and improve access to data. These integrate climate data into planning decisions. They also strengthen public participation in climate change planning, especially by women, vulnerable populations, indigenous groups, and minorities. State and USAID back actions that increase climate resilience with respect to water security, land management, disaster planning, financial risk management, and management of biodiversity and natural resources.

The United States supports bilateral and multilateral programs by working with the most vulnerable communities, least developed and developing nations, and the major greenhouse gas emitters. Among the programs and efforts to achieve their overall climate change objectives, State and USAID have chosen to highlight efforts to support Low Emission Development Strategies (LEDS) as a cross-cutting Agency Priority Goal. Through LEDS assistance, State and USAID seek to guide policy-makers in analyzing, formulating, and making policy decisions enabling them to develop along a lower emission pathway, which contributes to greenhouse gas reduction efforts. The main program for providing LEDS Assistance, the Enhancing Capacity for LEDS (EC-LEDS) program is a unique State and USAID partnership that blends their respective strengths in diplomacy and



# Strategic Goal 3: Promote the Transition to a Low Emission, Climate-resilient World while Expanding Global Access to Sustainable Energy

development. EC-LEDS stands as a key element of U.S. climate assistance, alongside their critical efforts including: (1) the Major Economies Forum; (2) Clean Energy Ministerial; (3) Climate and Clean Air Coalition; (4) Tropical Forest Alliance (TFA)2020; and (5) a range of multilateral funds, such as the Clean Investment Funds and funds focusing on adaptation such as the Least Developed Countries Fund and the Special Climate Change Fund.

## Strategic Objective Progress Update

USAID and the Department of State are making significant progress in implementing this strategic goal and objective. The U.S. government plays a leadership role in addressing climate change through international climate negotiations, while enhancing multilateral and bilateral engagement with major economies and enhancing partnerships with other key countries and regions. As part of this effort, the U. S. government is deeply engaged with major economies to secure mitigation contributions well before the United Nations Framework Convention on Climate Change (UNFCCC) Conference of the Parties in Paris in 2015. There has also been significant progress on non-UNFCCC fronts (for example, the United Nations Environment Programme's Climate and Clean Air Coalition, TFA 2020, Power Africa, The Global Resilience Partnership, Climate Services Partnership, and the new Public-Private Partnership for Climate Data: Tools for Resilient Development announcement by President Obama at the 2014 UN Climate Summit). The Department of State and USAID have determined that performance towards this objective is making noteworthy progress.

### Building Capacity for Low Emission Development (Agency Priority Goal):

There is strong progress on the LEDS Agency Priority Goal (APG). The focus of the joint Department of State and USAID APG is to enable economic growth together with significant reductions in national emissions trajectories through 2020 and the longer term by supporting the development and implementation of LEDS. Specifically, this APG measures the progress of EC-LEDS and the multilateral Low Emission Development Strategies Global Partnership (LEDS GP). All 25 of the country programs under EC-LEDS have transitioned from developing Agreed Work Programs with the partner countries to implementing the agreed activities in these work programs. The Department and USAID met the end of their fiscal year target ahead of schedule for the number of country programs initiating technical assistance.

The EC-LEDS program is now well into the implementation phase. Overall progress on implementation is measured on an annual basis. The current APG builds on the previous Goal and focuses on areas identified as key to successful LEDS development and implementation. USAID and the Department worked with each partner country team very closely to determine achievable and ambitious targets for their program. In FY 2014, U.S. government technical assistance resulted in a combined total of 15 milestones achieved, exceeding the combined total target of 14. For LEDS development, the U.S. government team achieved nine major milestones, falling one short of the target of 10. The U.S. government team exceeded its target of four major milestones with a result of six. This, in part, highlighted a speedier transition that originally anticipated from LEDS development to LEDS implementation.

### LEDS Global Partnership (Agency Priority Goal):

Founded by the Department of State, the LEDS GP is a multilateral platform for enhanced coordination, information exchange, and cooperation among countries and international programs working to advance low emission climate resilient growth. The LEDS GP is a full-fledged global initiative supported by three regional platforms and more than 140 member governments, multilateral organizations, and implementing partners. This success was a result of strong support from the Department of State, USAID, interagency leadership and



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staff, and very strong interest from international partners. Participation in the LEDS GP and associated capacity building and trainings is significantly ahead of the pace outlined in the quarterly APG targets. Security concerns in Kenya, however, caused a significant delay in holding the annual LEDS GP meeting in June 2014. As a result, the fourth annual world-wide meeting was relocated to Addis Ababa, Ethiopia, from August 26 - 29, 2014.

Feedback collected at the events illustrates the ways in which participation helped strengthen individuals' capacity and knowledge, and application into national processes. For example, one participant in the Manila workshop noted that "the workshop has helped in terms of the National Energy Policy which was undertaken in the last quarter of 2013," building upon the Electric Power Industry Reform Act of 2001, the Biofuels Law of 2007, the Renewable Energy Act of 2008, and implementation of the 2010 Feed-In Tariff, leading into preparation of the Philippines' Third National Communication and the Biennial Update Report during the FY 2014 period.

The LEDS GP has also conducted several Remote Expert Assistance on LEDS (REAL) projects that have provided assistance directly to government agencies. In addition, a number of countries have reported back to the LEDS GP Secretariat concrete examples of how they have meaningfully applied capacity that was gained through the LEDS GP. For example, the Government of Ghana is applying a new tool provided through the LEDS GP, a Development Impact Analysis tool, to inform LEDS-related planning in Ghana.

## Tropical Forest Alliance 2020 (TFA 2020):

TFA 2020 is a public-private partnership founded by the United States and the Consumer Goods Forum. Its members take voluntary actions, individually and in combination, aimed at reducing tropical deforestation associated with the sourcing of key commodities. TFA 2020 brings together critical stakeholders to tackle commodity-driven tropical deforestation using a range of market, policy, and communications approaches. Since 2012, the alliance has expanded to include 39 members, including the governments of the United Kingdom, Netherlands, Liberia, Indonesia and Norway, as well as private sector and civil society partners such as McDonald's, Unilever, Cargill, the Nature Conservancy, World Wildlife Federation, and others.

Since the creation of TFA 2020, the United States has played a leadership role in standing up the organizational structure by providing funding for the interim Secretariat; convening key partners; communicating on TFA 2020 at international fora; and providing financial and technical support to key initiatives. TFA 2020 is well-integrated into the United Nations Climate Summit process as well as in the field.

Most recently, the U.S. government, led by USAID and the Department of State, is: (1) working with key private sector partners in Indonesia to develop deforestation-free palm oil production commitments; (2) building TFA 2020 partnerships around beef, soy, and palm oil development while building secure, safe communities in Colombia; and (3) engaging with private sector, government, and civil society partners in West and Central Africa to develop strong best practices for palm oil development that can be scaled to other commodities and other regions. For example, the USAID Indonesia Forest and Climate Support project supports spatial planning in eight landscapes to set aside primary and secondary forest areas for conservation and identify deforested and degraded areas for agricultural expansion.

The U.S. government made an important contribution under TFA 2020 - the Global Forest Watch 2.0 (GFW), a data and public communications tool that provides open access to real-time information on deforestation. Anyone at any time can see how much deforestation has occurred in any tropical forest down to a 500 square



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meter area with updates every 16 days. GFW has dramatically increased transparency of global forest change, allowing governments and businesses to see the impacts of their commitments to stop deforestation and improve forest management, and to monitor how successful they are. USAID is providing 5.5 million dollars over four years—leveraging over 30 million dollars in private sector and other donor funding—to support capacity development for governments and communities to access and utilize forest information through GFW.

In addition, TFA 2020 will launch a global Secretariat hosted by the World Economic Forum in Geneva to strengthen the worldwide coalition and deepen regional partnerships. The Secretariat will build upon the successes and best practices of individual partners, identify and address areas in which the partners are not yet working. It will also innovate new, system-wide solutions to the complex challenges of deforestation-free soy, beef, palm oil, and pulp and paper supply chains.

## **Global Resilience Partnership:**

To enable the most vulnerable to build resilience and break free from the cycle of crisis, USAID, together with the Rockefeller Foundation and the Swedish International Development Cooperation Agency, are pioneering the Global Resilience Partnership (Resilience Partnership). The Resilience Partnership aims to help millions of vulnerable people in the Sahel, the Horn of Africa, and South and Southeast Asia better adapt to shocks and stresses, whether climate-driven or otherwise. With an initial commitment of \$150 million, the Resilience Partnership will invest in a more secure future by helping the global community pivot from being reactive in the wake of disaster to driving evidence-based investments that enable regions, cities, communities, and households to better manage and adapt to inevitable shocks.

The Resilience Partnership launched the Global Resilience Challenge (Challenge)—a three-stage grant competition calling for multi-sectoral teams to collaborate on innovative solutions to the toughest resilience challenges in the three focus regions. The Challenge is the Resilience Partnership's first activity. The Challenge will bring together multi-disciplinary teams to collectively identify and diagnose the toughest resilience problems and then develop viable, locally driven, and high-impact solutions. The Challenge will promote resilience to a range of shocks and stresses by developing and testing novel solutions that address local contexts and, with dedicated public and private funding, it will scale the most promising solutions region-wide in the Sahel, the Horn of Africa, and South and Southeast Asia. The Challenge was launched in September 2014 and received about 500 applications. Teams selected to advance to Stage Two will be announced in early 2015.

## **Scaling Up Adaptation Solutions and Tools:**

Through the Global Climate Change Presidential Initiative, USAID is helping countries integrate approaches to addressing climate risks into their national development plans. USAID's integration approach focuses on stakeholder engagement by identifying potential climate change impacts to key economic sectors, building consensus on prioritized actions, and empowering ownership of key actors in achieving climate resilient goals. USAID is building the analytical capacity of host country and regional institutions, often requiring interdisciplinary collaboration. USAID is developing climate risk assessments for key sectors for use by national, international, and nongovernmental decision makers. Through the Climate Services Partnership, USAID is building the capacity of national and regional weather services to provide useful and relevant forecasts to decision makers in key economic sectors, often leveraging other assistance efforts. USAID is also working with the International Union for the Conservation of Nature on a five-year program designed to increase input from women and girls into climate change adaptation and mitigation decision-making processes.



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## Performance Goal 3.1.1: (Agency Priority Goal) – Building on Strong Domestic Action, Lead International Actions to Combat Climate Change

**Performance Goal Statement:** By September 30, 2015, U.S. bilateral assistance under Low Emission Development Strategies (LEDS) will reach at least 25 countries and will result in the achievement of at least 45 major individual country milestones, each reflecting a significant, measureable improvement in a country's development or implementation of LEDS. Also by the end of 2015, at least 1,200 additional developing country government officials and practitioners will strengthen their LEDS capacity through participation in the LEDS Global Partnership and that capacity will be meaningfully applied in at least 25 countries.

### Performance Goal Overview

The focus of this Performance Goal is to enable economic growth together with significant reductions in national emissions trajectories through 2020 and the longer term by supporting the development and implementation of LEDS. Specifically, this Goal measures the progress of EC-LEDS and the multilateral LEDS GP. Through EC-LEDS, a multiagency U.S. government team is working with partner countries to identify and advance effective economy-wide LEDS. The LEDS Global partnership is a multilateral platform, founded by the State Department, for enhanced coordination, information exchange, and cooperation among countries and international programs working to advance low emission, climate resilient growth. Low-emission, climate-resilient sustainable economic growth is highlighted as a U.S. diplomatic and development priority in the U.S. National Security Strategy, the President's development policy, the President's Climate Action Plan, and the Quadrennial Diplomacy and Development Review.

### Performance Goal Progress Update

**Key Indicator: Number of officials and practitioners with strengthened capacity and knowledge through participation in the LEDS Global Partnership**

	FY 2013 Baseline	FY 2014 Q 1	FY 2014 Q2	FY 2014 Q3	FY 2014 Q4	FY 2015 Q 1	FY 2015 Q2	FY 2015 Q3	FY 2015 Q4
Target		300	325	500	525	825	850	1100	1200
Actual	0	802	1,106	1,763	2,386				

### Indicator Analysis

Results for the above key indicator exceeded each of the quarterly targets for FY 2014. This is due in large part to two factors: 1) a clustering of several major workshops, events, and webinars during these quarters, and 2) higher than expected attendees at each of these events. The higher number of participants is attributed to an increase of webinars that occurred during the reporting period, hosted by the LEDS GP working groups and regional platforms. The Department of State and USAID will continue to monitor these results as they come in to determine whether it might make sense to adjust our future targets.



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## Indicator Methodology

This indicator represents officials and practitioners for which the U.S. government has provided one or more person-hours of training or assistance through participation in LEDS GP activities. The LEDS GP Secretariat of the National Renewable Energy Laboratory, is responsible for collecting and reporting this data.

**Key Indicator: Number of major milestones achieved by partner countries as a result of U.S. assistance, each reflecting significant, measurable improvement in national frameworks for low emission development**

	FY 2014	FY 2015
Target	10	30
Actual	9	

## Indicator Analysis

Effective LEDS are a vital tool for combating climate change. A LEDS is a strategic economic development and environmental planning framework that supports a country's development and economic growth objectives while reducing the growth rate of long-term greenhouse gas emissions; it should be based on sound analytical foundations and articulate concrete actions, policies, programs and implementation plans. Through the Global Climate Change Initiative, the U.S. government is actively supporting partner countries' efforts to both develop and implement LEDS.

This indicator measures the extent to which partner countries are making significant, measurable progress in developing or improving their LEDS. A "major milestone" might involve conducting a greenhouse gas emissions inventory, establishing an emissions reduction target, or some other event, output, or outcome that fundamentally improves the ability of a partner country to identify, prioritize, and/or act on emissions reduction opportunities.

USAID and the State Department worked closely with each partner country team to determine achievable and ambitious targets for their program. The U.S. government team contributed to achievement of 9 major milestones in LEDS development, falling one short of the target of 10. Reasons that potential milestones under this category were not met include, 1) instability in partner countries causing significant program delays; 2) changing partner country priorities and; 3) unanticipated delays in partner governments enacting policy reform.

## Indicator Methodology

In the context of this indicator, a "major milestone" is defined as the establishment, adoption or significant improvement of a country's overall LEDS or one or more essential components. Essential components include but are not limited to: plans, prioritized near-term actions, greenhouse gas inventory systems, analytical tools, and policy or regulatory frameworks. To be considered a "major milestone," the event, output, or outcome must be significant in the context of the individual country. Final responsibility for determining whether an

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event, output, or outcome reported by the country teams constitutes a “major milestone” will rest with the Goal managers.

**Key Indicator: Number of major milestones achieved by partner countries as a result of U.S. assistance, each reflecting significant, measurable improvement in LEDS implementation**

	FY 2014	FY 2015
Target	4	15
Actual	6	

## Indicator Analysis

Effective LEDS are a vital tool for combating climate change. A LEDS is a strategic economic development and environmental planning framework that supports a country’s development and economic growth objectives while reducing the growth rate of long-term greenhouse gas emissions; it should be based on sound analytical foundations, and articulate concrete actions, policies, programs and implementation plans. Through the Global Climate Change Initiative, the U.S. government is actively supporting partner countries’ efforts to both develop and implement LEDS.

This indicator measures the extent to which partner countries are making significant, measurable progress in implementing their LEDS. Specifically, a “major milestone” in this context is adopting a law or regulation, meeting a greenhouse gas emissions reduction target, or other event, output, or outcome that (a) shows a partner country is achieving significant progress in implementing its LEDS and (b) results in, or is expected to result in, significant emissions reductions.

USAID and the State Department worked closely with each LEDS country team to determine achievable and ambitious targets for their program. Results exceeded the end-year target of four major milestones in LEDS implementation by two major milestones. This is largely due to achieving unexpected results not captured in the original target setting process. Many of the individual country-level milestone targets on implementation were also exceeded. This resulted in a higher than expected amount of finance leveraged for renewable energy in Indonesia and a greater level of compliance with the Kazakhstan emissions trading system. These results may indicate a faster than originally anticipated transition from LEDS development to implementation in some partner countries.

## Indicator Methodology

In the context of this indicator, improvements that may be considered “major” include but are not limited to: (1) significant measured GHG reductions from “business as usual” scenarios; (2) finance leveraged and/or funds established for mitigation actions; (3) significant additional clean energy generation capacity installed; and (4) country-level renewable energy targets met. To be considered a “major milestone,” this impact must be significant in the context of the individual country. Final responsibility for determining whether an event,

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output, or outcome reported by a country team constitutes a “major milestone” will rest with the Goal Managers.

## Key Indicator: Number of countries in which U.S. government technical assistance for LEDS has been initiated

	FY 2012	FY 2013 Baseline	FY 2014	FY 2015
Target	7	20	25	25
Actual	9	22	25	

## Indicator Analysis

The EC-LEDS program provided U.S. government technical assistance to 25 countries in FY 2014 from a baseline of 22 countries. The three additional countries in which technical assistance was initiated are Cambodia, Peru and South Africa. The following are examples of technical assistance provided:

- In Cambodia, USAID and the U.S. Forest Service are working with Cambodian trainees to collect additional data in mangrove forest sites in Koh Kong and Sihanouk Ville provinces as part of a broader effort to provide the skills needed to collect sufficient data for an accurate estimate of carbon stocks in Cambodia's mangroves for integration into the national GHG inventory.
- In Peru, USAID provided technical assistance for national and regional forest authorities in the development of a National Forestry and Wildlife Information System (SNIFF) in the following areas: (1) software design and implementation; (2) provision of equipment to 61 prioritized forest control posts; (3) development of a Public Investment Project to fund the operation of the SNIFF; and (4) assessment and design for the Forest Control Posts network.
- In South Africa, USAID recruited a climate advisor for South Africa's Department of Environmental Affairs (DEA) to oversee climate response and reporting for the country. USAID's support initiated the development, marketing and data collection associated with the National Climate Change Response Database, which tracks national implementation of emissions reduction projects. Specifically, with USAID support for this position, DEA was able to gather and analyze data from multiple sectors and stakeholders across the country regarding GHG emissions. DEA was also able to initiate efforts to develop certain architecture and functionality aspects of the Monitoring and Evaluation System that will be the core of national reporting.

## Indicator Methodology

For the purposes of the APG, “initiation of U.S. government technical assistance for EC-LEDS” is defined as one or both of the following:

- One or more days of U.S. government-funded technical assistance in climate change provided to counterparts or stakeholders to support an activity identified in the Agreed Work Program; or
- One or more person hours of training completed on areas identified in the Agreed Work Program.



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## Strategic Objective 3.2: Promote Energy Security, Access to Clean Energy, and the Transition to a Cleaner Global Economy

### Strategies for Achieving the Objective

To promote energy security, access to clean energy, and mitigate climate change by accelerating the transition to a cleaner global economy, State and USAID will support increased energy efficiency, better energy sector governance, improved energy access, stronger national and regional energy markets, and more public and private financing.

To make energy systems more efficient, commercially viable, and cleaner, State and USAID will support programs that enhance utility performance, reduce technical and commercial losses, and improve air quality. State and USAID will also support energy sector restructuring, increasing the global rate of energy efficiency, and expanding the contribution of renewable energy. This will require improved energy sector planning, including institutional capacity building, technical assistance and integrated resource planning. It will also require expanded collaborations and public-private partnerships with other countries in science, technology, and innovation in clean energy. This work further includes policy and regulatory enhancement and reform efforts to strengthen the investment climate for clean energy projects. State and USAID will also be responsive to changes in natural gas markets in order to increase global availability of this bridge fuel.

Gaining access to energy can transform lives, State and USAID will seek to increase access to reliable, affordable energy services for underserved rural and urban populations across the world. This will require accelerating development and scaling-up appropriate business and financing models for energy access. It also means supporting cross-sectoral development priorities, such as health, agriculture, and education.

State and USAID will also promote improved energy sector governance on the national level and internationally through the International Energy Agency (IEA), the Extractive Industries Transparency Initiative (EITI), and the International Renewable Energy Agency (IRENA).

Strengthening national and regional energy markets is another key step toward reaching this objective. State and USAID will contribute by advancing Presidential initiatives in Asia, the Americas, and Africa to deploy clean energy and expand cross-border trade in electricity. One initiative is *Power Africa*, which aims to double access to power in sub-Saharan Africa, initially focusing on six countries – Ethiopia, Ghana, Kenya, Liberia, Nigeria, and Tanzania. We will also encourage international financial institutions and private sector companies to invest in power sector investments in sub-Saharan Africa. This requires mobilization of public and private sector finance. State and USAID will push for transparent and streamlined processes for due diligence, tendering, and procurement to accelerate power projects to reach financial close. State and USAID will also work for enhanced access to credit and risk mitigation.

### Strategic Objective Progress Update

The Department of State and USAID have made significant progress in their efforts to promote energy security and the transition to a more climate friendly clean global economy in the past year. For example, research shows that the Asia-Pacific region and emerging market countries now drive world energy demand growth. Therefore, State and USAID are focused on reshaping institutions to reflect today's energy realities and to ensure U.S. and global energy security, which includes working to sustainably alleviate energy poverty.

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State and USAID are also working to update the Global Energy Governance Architecture through its partnership with the IEA, IRENA and EITI.

Recognizing that the level of funding needed to electrify the continent far outstrips what any government or donor can do, the Power Africa initiative supports an innovative, transaction-focused model, in partnership with governments and private sector companies. This initiative focuses on removing the barriers to successful power projects and promoting better governance of the growing power sector throughout sub-Saharan Africa. Power Africa strives to increase regional, cross-border energy trading, while also working with partner countries and regions of Africa to meet critical energy needs and achieve energy security. At the same time it promotes sustainable development and improving lives across the continent. By the end of FY 2014 Power Africa has assisted in bringing an additional 4,229 megawatts (MW) of energy to financial closure, including 3,667 MWs gained through privatization of Nigeria power assets.

The Department of State's Partnership on Women's Entrepreneurship in Renewables is addressing energy poverty in East Africa and India by working across sectors to empower more than 8,000 women clean energy entrepreneurs.

USAID's Regional Clean Energy Initiative for Central America is a five-year, \$10 million project to increase public and private investment in renewable energy. It does so by improving the enabling environment and institutional capacity, while also supporting enhanced energy efficiency in the region. Project managers are working to encourage U.S. investor participation in the transformation of Central America's energy markets.

## Performance Goal 3.2.1: Strengthen Global Energy Governance

**Performance Goal Statement: By September 30, 2017, using 2013 baseline figures, increase U.S. diplomatic engagement to promote and expand membership of the International Energy Agency, International Renewable Energy Agency, and Extractive Industries Transparency Initiative and build their capacity to create foundations for sound energy policy and governance.**

### Performance Goal Overview

As energy demand shifts to the developing world, energy markets will need additional timely, verifiable, and transparent market data to guide investment decisions. Organizations such as the IEA, of which the United States is one of 28 member states, play an important role in augmenting market transparency through regular publication of energy data, forecasts, and best practices. It will be increasingly more important for institutions like the IEA to accurately capture data from developing countries so as to send markets correct signals, which will improve the investment climate as well for the transition to a clean global energy economy. In 2014, the IEA expressed its intention to initiate multilateral cooperation with key non-member partner countries, primarily major emerging economies. Deeper association in coming years can provide a means to work with these emerging economies in areas such as transparency, energy efficiency and renewable energy, as well as energy security. It will be critical to support broader engagement with the IRENA, which promotes the widespread adoption and use of all forms of renewable energy. The expansion of IRENA will strengthen the adoption of renewable energy.

Changing dynamics in the world's resources picture, including the rise in bridge fuels such as natural gas, increasingly affordable renewable technologies, and the emergence of new producers of traditional hydrocarbons, will transform markets as suppliers strive to meet rapidly growing demand. The transition to a



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clean energy global economy will call for capable institutions in energy-producing countries to responsibly manage their energy resources.

The unique technical and economic factors associated with natural resource development are particularly prone to inefficiencies. Governments need both the capacity to manage these sectors responsibly, and the political will to do so. Improving the capacity of governments to understand the financial, legal/regulatory, environmental and social aspects of responsible sector management can also increase the efficient allocation of resources to the world's growing energy sector. Global initiatives, such as EITI, create standards and expectations for transparency that can help developing countries and emerging economies improve energy governance.

## Performance Goal Progress Update

### Key Indicator: The number of U.S. diplomatic engagements with key institutions of global energy governance

	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target		35	37	40	42
Actual	30	34			

### Indicator Analysis

The Department of State is historically an active member of the IEA and participated in the recent founding of the IRENA. The Department's engagement with IRENA is increasing, which is critical as it moves to engage developing countries and their energy use. The United States is a supporter of the EITI, and in 2014, is anticipated to become an implementing country. Adapting and expanding these key institutions and initiatives of global energy governance – the IEA, the IRENA and the EITI – to include emerging economies that account for virtually all global energy demand growth is critical to fostering energy markets conducive to economic growth and to addressing climate change.

### Indicator Methodology

Data source: Results are calculated by counting the number of:

- Delegations at the Office Deputy Director level and above that engage on this indicator with the IEA, including meetings of the Agency's Governing Board and standing groups on which State holds a seat.
- Number of State delegations to IRENA Council, IRENA Assembly and working group meetings above the Deputy Director level, focused on increasing growth and capacity in that organization.
- Number of United States engagements at the Deputy Director level or above on EITI, focused on the expansion of EITI membership or strengthening of the initiative

Data quality: No known limitations in the data.



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## Performance Goal 3.2.2: Open International Electric Power Markets

**Performance Goal Statement:** By September 30, 2017, using 2013 baseline figures, increase the use of renewable energy and improve energy efficiency in developing countries as well as increase energy-related exports and investments in the Western Hemisphere through regional power interconnections. In Asia, U.S. diplomacy will significantly advance energy-related trade and investment through the U.S. Export-Import Bank and the Overseas Private Investment Corporation.

### Performance Goal Overview

In the next 25 years, the world is going to need up to \$17 trillion in new investment to generate and transmit electricity. An energy transformation of this magnitude cannot be accomplished by governments alone; most of the needed investment will come from the private sector.

Paving the way for large-scale infrastructure investment is critical to accelerating market transformation and will provide significant export opportunity for U.S. energy technologies, equipment and other goods and services.

Moving from historic bilateral cross-border power trade agreements towards larger regional interconnection strategies requires multilateral engagement. The State Department will continue to use its bilateral, multilateral and regional diplomacy, and work through existing initiatives like the Energy and Climate Partnership of the Americas, to encourage progress in Connect 2022.

Through Power Africa, the U.S. government has committed to doubling access to power in sub-Saharan Africa. By strengthening regional power pools, Power Africa will promote increase cross-border trade in electricity through increased private sector investments and assisting governments to improve the regulatory framework governing regional power markets.

### Performance Goal Progress Update

**Key Indicator:** Total of electricity traded through the regional power market in Central America, which has been a focus of U.S. policy and technical assistance engagements to increase power sector integration (in GWh)

	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target		961.8	1600	1800	2000
Actual	506	1445.8			

### Indicator Analysis

This indicator measures one of the outcomes of Department of State engagement to promote greater regional integration in the Western Hemisphere under the Connect 2022 Initiative, an effort to 1) promote increased access to power and greater integration of renewable energy through electrical interconnections and regional power markets; 2) improve policies and regulatory frameworks to facilitate the integration of lower carbon

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technologies, including distributed systems, renewable energy, and natural gas, into power systems; and 3) provide U.S. policy and technical support for strengthening the commercial and investment environment to increase access to private and multilateral financing.

The FY 2014 target represented a 90 percent annual increase over the FY 2013 baseline. The FY 2014 actual outcome far exceeded the target, reflecting a 186 percent increase over the FY 2013 baseline. This better-than-anticipated outcome resulted from the decision to adopt permanent market rules for Central America's regional market (MER – *Mercado Electrico Regional*) in mid-2013, which provides greater certainty for power trade contracts, as well as drought-induced demand for imports to countries dependent on hydropower. Market data shows a clear acceleration in MER trade growth from mid-2013, after several years in annual trade volume fluctuated around 350GWh. Targets for FY 2015 and beyond have been revised to reflect this rapid growth as well as the upper limits of current transmission capacity. Factors that will affect out-year performance include whether the countries in the Central American Electrical Interconnection System follow through on necessary upgrades to national grid infrastructure and whether they enact regulatory changes to permit firm and long-term contracts.

## Indicator Methodology

Data source: Data is available and owned by the Operating Entity of the Regional Market, available on-line in Spanish at [www.enteoperador.org](http://www.enteoperador.org).

Data quality: No known limitations in the data.

### Key Indicator: Total of electricity imported and exported through regional power pools or through bilateral agreements (in MWh)

	FY 2014 Baseline	FY 2015	FY 2016	FY 2017
Target		10,350	15,500	20,200
Actual	8,300			

## Indicator Analysis

The West Africa Power Pool (WAPP), an activity supported by Power Africa, monitoring activities on the interconnected transmission lines across the region provides electricity traded in each trading year. Based on the trades recorded and the completion timeline for CLSG (Ivory Coast-Liberia-Sierra Leone-Guinea) and the north-core (Nigeria-Niger-Benin-Togo-Burkina Faso) transmission lines, WAPP estimates increase in regional trade especially end of 2017 where most of these interconnections should be completed. These assumptions and projections informed the out-year targets.

- Increasing regional trade across the indicated years aligns with the Power Africa goal of increasing regional trade;
- Data for FY 2012 and FY 2013 are the actuals from WAPP as recorded by the various utilities participating in bilateral trading. The figures for FY 2014, FY 2015, FY 2016 and FY 2017 are

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projections based on the current energy supply and demand matrices and the timelines for completing major generation and interconnection projects by WAPP; and

- Nigeria's privatized energy sector and the adjustment of its gas pricing policy has increased private investment in the gas sector. In addition to this, the West Africa Gas pipelines authority is preparing to provide a reverse flow of gas mechanism so that both Ghana and Nigeria could sell gas through the pipeline to the participating neighboring countries (Togo and Benin). This should take place in quarter one of 2016 to allow the increasing flow of gas in the West Africa Gas Pipeline.

South Africa and East Africa regional power pools are in the beginning stages of capacity development. Both regions with U.S. government assistance are targeted to come online in 2017-2018.

## Indicator Methodology

Data source: Data are collected by WAPP from the various supply and consumption points in the bilateral trading markets. WAPP's monitoring center and coordinator collects data on all the regional interconnected lines where trade takes place.

Data quality: WAPP's monitoring coordinator verifies the data along all the regional transmission lines with the countries who participate in the bilateral trading.

## Key Indicator: Total of public and private funds (in USD) leveraged by U.S. government for energy projects

	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target		1.489 billion	154.501 million	205.436 million	6.80 billion
Actual	1.384 billion	6.90 billion			

## Indicator Analysis

The U.S. government support for power sector transactions, including Power Africa, is intended to encourage private sector participation and improve access to electricity in developing nations. The U.S. government assists several countries and regions by supporting power sector industry groups, energy ministries, and project developers.

For example, Nigeria is undergoing a transition from a public-led to private-led power sector and received U.S. government support to negotiate key power sector agreements like the Power Purchase Agreement, while using the Put Call Options Agreement as a credit enhancement for qualifying green field projects. In Ghana, Power Africa worked with the Energy Commission and Petroleum Commission to develop draft regulations and guidelines for the construction and operation of gas pipelines and processing plants which resulted in the successful commissioning of a gas processing plant. In Tanzania, USAID provided transaction support to the Rural Electrification Agency to advance small scale renewable energy projects and worked with national regulators to develop a Renewable Energy Feed-In Tariff scheme for micro-hydro, photovoltaics, wind, and biomass projects. In East Africa, Power Africa worked with national regulators and utilities and the East Africa

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Power Pool to develop procedures and tariff settings principles for the eventual sale of power from Ethiopia to Tanzania through the Ethiopia-Kenya-Tanzania transmission line.

Under the Energy Utility Partnership Program, USAID's public private partnership with the U.S. Energy Association, both public and private sector utilities and technology leaders from the U.S. provide pro-bono trainings to partner country utilities and energy stakeholders. For example, Power Africa strategically responded to the expanding needs of the Nigerian grid and the estimated \$1 billion planned investment in Nigerian utilities. Since hosting a Distribution System Investment Training program (in 2013 and a follow-on in 2015), several U.S. companies have processed sales of equipment and software to participating African utilities through connections facilitated through the workshop.

## Indicator Methodology

Data source: This indicator tracks investment leveraged for energy projects during the fiscal year. These projects include clean energy projects (wind, hydro, biomass, etc.), natural gas, energy metering and distribution, among others. Investment leveraged could involve either public or private funds and include investments, in-kind contributions, or other sources.

Data quality: The contribution and resources must be measurable (i.e. something of value that permits evaluation of the contribution's impact on achieving desired results). Measurement is taken at the time of commitment, not disbursement of funds.

## Key Indicator: Clean energy generation capacity installed or rehabilitated as a result of U.S. government assistance (in MW)

	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target		250	60	310	275
Actual	29	0			

## Indicator Analysis

The U.S. government goals are to increase in energy supply availability in a commercially and environmentally sustainable manner, improve energy sector guidance, and improve the financial and technical performance of key energy sector organizations. The majority of support in this area is in improving the regulatory and enabling environment for clean energy investment, with some support for infrastructure investments. It takes several years for regulatory improvements and investments to result in new, operational installed capacity or rehabilitated capacity.

In some countries additional support is leveraged for clean energy transactions and infrastructure. Two solar projects reached financial closure in Kenya, which will result in 370 MW of installed capacity in FY 2015 and FY 2016. In Pakistan, the U.S. government has supported several hydroelectric power plants. However, activities

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targeted for support in FY 2014 were reconsidered, resulting in lower than expected results. New activities currently being designed in Indonesia and Vietnam are expected to add an additional 500-600 MW of installed clean energy over the next 5 years.

## Indicator Methodology

Data source: This indicator is measured in MW, and represents the total capacity of the system in the year in which the installation or rehabilitation was completed. The indicator does not measure actual generated capacity, or MWh, that result from these activities.

Data Quality: Performance data, verified using Data Quality Assessments (DQAs), must meet standards of validity, integrity, precision, reliability, and timeliness. Each Operating Unit must document the methodology used to conduct the DQAs. DQA and data source records are maintained in the Performance Management Plans. (For details, refer to USAID's Automated Directive System [ADS] Chapter 203.3.11, <http://www.usaid.gov/sites/default/files/documents/1870/203.pdf>).

## Performance Goal 3.2.3: Power Africa

**Performance Goal Statement: Increase access to electricity for both urban and rural populations and facilitate at least 20 million new household and commercial connections in focus countries by 2020.**

### Performance Goal Overview

More than half of the citizens in sub-Saharan Africa (SSA) have no access to electricity. The IEA estimates that \$300 billion is needed between now and 2030 to bring about universal access to electricity in SSA. The magnitude of SSA's energy poverty is too great for government and donor funding to address alone. A lack of infrastructure and a challenging policy and regulatory environment currently deter private sector investments, which is the critical enabler of power sector development in SSA.

The President's strategy towards SSA, published in 2012, seeks to alleviate poverty and spur economic development. In line with the President's strategy, USAID is addressing extreme poverty and promoting economic growth by promoting policy reform and private sector investments in the power sector. The lack of access to power is one of the main impediments to economic growth, as well as limiting progress in health and education. USAID is also promoting increased access to cleaner forms of energy, especially access to renewable energy, which will have health, climate, and environmental benefits.

Power Africa is a whole-of-government initiative drawing on the expertise and resources of 12 departments and agencies intended to achieve the President's announced goal of adding 30,000 megawatts (MW) to the grid and increasing access to 60 million households and businesses in SSA.



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## Performance Goal Progress Update

### Key Indicator: Number of new electric power connections as a result of U.S. government assistance

	FY 2014 Baseline	FY 2015	FY 2016	FY 2017
Target			Targets will be published in FY 2017 APP	
Actual	20,600			

### Indicator Analysis

Power Africa is progressing towards the President's goal of 60 million household and commercial connections. The connections in FY 2014 represent the efforts from the Beyond the Grid initiative as well as other commissioned projects. This number is primed to accelerate as the Power Africa model takes hold and more transactions reach the commissioning stage. The methodology to count all connections is under review and Power Africa will have targets ready for publication in the FY 2017 APP.

### Indicator Methodology

The data is calculated using inferred access calculation by estimating the average number of households that can be served by additional MWs of new generation capacity in Power Africa countries. The methodology is based on World Bank estimates and takes into account existing residential and per capita consumption, household size, capacity factors for various forms of generation, and other relevant metrics to derive these estimates.

### Key Indicator: Number of MWs of U.S. government supported generation transactions that have achieved financial closure

	FY 2014 Baseline	FY 2015	FY 2016	FY 2017
Target	4,999	5,493	7,000	9,000
Actual	4,147			

### Indicator Analysis

In FY 2014, Power Africa supported large, medium, and small-scale transactions to reach financial closure that are expected to generate 4,229 MWs. This includes 562 MWs of new power plus 3,667 MWs of privatized assets in Nigeria, which will enable more private capital investments to expand and enhancing existing plants.

Power Africa worked with an Ethiopian utility to develop and manufacture two million smart meters that will significantly improve the efficiency of energy use across the national grid. In Kenya, a biomass-fueled, on-grid

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electricity generation project reached financial closure. In Tanzania and Ghana, Power Africa supported 500 MWs of cleaner energy, which are expected to reduce the cost of generating electricity and increase energy access.

The Private Finance Advisory Network leveraged the expertise of mentors in the energy sector to help climate-friendly projects by guiding them through the financing process to financial closure, and helped seven local developers finance a total of 54 MWs.

## Indicator Methodology

This metric measures projects that have reached financial closure, having received an executed agreement for financing from banks or other entities. Actual installed generation capacity may change during construction or operation, through both reductions and expansions. Indicator figures are cumulative over time.



# Strategic Goal 4: Protect Core U.S. Interests by Advancing Democracy and Human Rights and Strengthening Civil Society

## Strategic Objective 4.1: Encourage Democratic Governance as a Force for Stability, Peace, and Prosperity

### Strategies for Achieving the Objective

Only the people of a nation can truly bring about sustainable democracy. U.S. senior officials engage publicly and privately with citizens in countries eager for progress and those burdened by non-democratic forms of governance. The U.S. government pushes back on attempts to dismantle democratic institutions, and works with like-minded governments such as: the United Nations (UN), particularly the Human Rights Council; the UN General Assembly Third (Social, Humanitarian and Cultural Affairs) Committee; and the UN Special Rapporteurs. The U.S. government also engages regional mechanisms such as the Organization for Security and Co-operation in Europe and Organization of American States; and intergovernmental organizations like the Community of Democracies to advance democratic ideals and to deter backsliding by governments. Working with U.S. implementers and directly with local non-governmental organizations (NGOs), U.S. programs build the capacity of government institutions and officials pressing for democratic progress and transparency, and empower citizens and NGOs. The U.S. government works to ensure that civil society continues to demand government accountability, transparency, and services, and engages in their respective political systems. The U.S. government promotes fiscal transparency to improve accountability and citizens' understanding of economic governance and fiscal policy choices. The U.S. government supports rigorous program evaluations to identify promising, effective democratization strategies and to conduct needs assessments and other research to guide program decisions. U.S. rapid response funds and flexible foreign assistance funding mechanisms allows the United States to intercede as unforeseen backsliding or opportunities arise.

Many factors could affect achievement of these goals. Democratic progress can take decades, and setbacks are common. It is difficult to quantify our impact in accomplishing our diplomatic objectives or our medium to longer-term programmatic impact, because success may not be apparent for years and is often the result of the efforts by many contributors. There will be voices that challenge and impede our multilateral democracy and human rights efforts.

In the short-term, authoritarian non-rights-respecting governments may oppose the U.S. public stance or describe U.S. engagement with opposition parties or civil society as interference. These governments may balk at democracy-building measures and threaten to delay agreements or progress on other priorities, be they security, political, or economic priorities. Consistent engagement is necessary for success.

### Strategic Objective Progress Update

The Department of State pursues democratic institution-building priorities around the world. The Department continues work to strengthen constituent- and rights-based democratic institutions wherever they are under assault or in formation—continuing and expanding efforts with the Community of Democracies and with the Open Government Partnership. The Department also continues to support civil society partners' efforts to build sustainable democratic institutions through its Human Rights Democracy Fund.

Recognizing the influential role women can play in society as peace-builders, the Department provided diplomatic support and capacity-building to women leaders to enhance their engagement in conflict prevention and stabilization efforts. The Department invested in building the capacity of women leaders and civil society to prevent and mediate conflict as well as participate in transitional justice processes. This work includes: (1) encouraging women to engage in truth and reconciliation commissions; (2) supporting networks of women to

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speak out against violent extremism; (3) training women to recognize the signs of radicalization to violence; and (4) mediating conflict within their communities to reduce violence.

To help realize its [mission statement](#), USAID continues to explore the relationship of good governance to eradicating extreme poverty, focusing on issues such as land rights, conflict management and mitigation, service delivery, reaching marginalized populations, sustainable local government systems, and overall empowerment and rights-based approaches. USAID is also working to promote the inclusion in the democratic process of underrepresented groups, such as religious and ethnic minorities, persons with disabilities, rural women and lesbian, gay, bisexual, and transgender (LGBT) groups. The Department supports these groups by funding programs which impart critical advocacy, organizational, and legal skills to navigate closed societies globally.

Progress towards tolerance and inclusiveness often involve changes in existing discriminatory legislation or blocking passage of new discriminatory legislation. U.S. foreign assistance programs support the establishment of effective institutions, legislation, and justice systems. U.S. programs also include sensitivity training for the “dominant” population about the issues of marginalized populations. This training includes capacity-building of marginalized populations to better advocate for their basic human rights and intergroup dialogue and exchanges.

In the interest of integrating democracy, human rights and governance across programming, USAID provides seed funding to “Integration Champions”—Angola, Mali, Paraguay, Senegal, and Ukraine. Funding includes financial and technical assistance to establish meaningful integration as models. Ultimately, these models will reflect the full program cycle. These missions are at different stages of integration. Therefore, USAID’s current effort includes design and implementation.

## A New Deal for Engagement in Fragile States:

The United States is a member of the International Dialogue on Peacebuilding and Statebuilding (“the Dialogue”) and co-chairs the Implementation Working Group. The Dialogue is comprised of the G7 group of 20 self-identified fragile states, development partners, and international organizations, who are committed to working together through the New Deal for Engagement in Fragile States. This is a new development architecture to partner for peaceful transitions out of fragility that emphasizes political legitimacy and inclusivity to address the challenges of fragile contexts. Ultimately it’s necessary to build more peaceful states and societies. USAID is supporting this process by playing a critical leadership role on the implementation of the New Deal for Engagement in Fragile States, which is currently being piloted in several key pilot countries.

In Liberia, before the Ebola outbreak, USAID provided support to increase transparency of donor funds. USAID and the World Bank of the Ministry of Public Works conducted a joint public financial management risk assessment. This effort supported the Government of Liberia to conduct periodic risk assessments as part of their monitoring process. Moving forward in Liberia, the principles of the New Deal prioritize investing in key peacebuilding and statebuilding goals, including strengthening country systems. These will play an important role in aligning donor priorities and engaging with the Government of Liberia. USAID and the Department developed an Integrated Country Strategy that aligns with the New Deal Framework in Somalia. Additionally, USAID is currently formulating a stabilization strategy that will align with key priorities articulated in the Peacebuilding and Statebuilding Goals. USAID provides technical assistance to the Aid Coordination Unit, which assists the Federal Government of Somalia to more effectively coordinate development assistance.



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Economic transparency is a key element of durable democracies. The Fiscal Transparency Innovation Fund (FTIF) was created in FY 2012 to support government and civil society organization efforts to improve budget transparency. Transparent government budgets help ensure that public resources are spent in an effective manner that prioritizes accountability, open government, and the needs of the populace. Since 2012, the FTIF has provided nearly \$10 million to enhance fiscal transparency regimes, advance best practices in public financial management, and improve public management of natural resources.

The FTIF has supported projects such as Treasury Department technical assistance to sub-Saharan African governments, launching and maintenance of government websites for sharing budget documents with the public, training civil society organizations on effective means of monitoring and engaging on public spending, and adoption of international best practices for supreme audit institutions. For example, on October 1, the Minister of Finance in Chad launched a website whose development was financed by FTIF. This website makes Chad's national budget and other key fiscal information easily available to the public for the first time. In Vietnam, the Fund supported technical assistance to the Ministry of Finance and the National Assembly to revise the State Budget Law. This helped update legal language that had impeded institutionalizing good fiscal transparency practices at all levels of government. The FTIF will continue to support government and civil society efforts to improve fiscal transparency in FY 2015.

## Performance Goal 4.1.1: Strengthen Democratic Institutions

**Performance Goal Statement: By September 30, 2017, identify and pursue democratic institution-building priorities in 20-25 countries where democratic institutions are weak or missing.**

### Performance Goal Overview

Countries with freely elected, accountable, and representative governments contribute to a freer, more prosperous, and peaceful world. Around the world, transitioning democracies are dealing with predictable setbacks in their quest for political change and are often stunted by the persistence of poor economic performance, social inequality, and societal instability. New democracies that are not yet able to deliver effective governance and rule of law risk the reputation of the system as well as the support of its citizens. Authoritarian governments repress civil society, which is the bedrock of any hope for change.

The Department of State and USAID therefore work to strengthen democratic institutions and processes including through improved electoral administration, enhanced citizen oversight, and political party-building. Because there is no democracy without the inclusion of women and underrepresented groups, the U.S. government also works to ensure their full participation in every aspect of these processes. Strong, moderate, issues-based democratic parties are particularly integral to ensuring healthy political debate and progress that recognizes the importance of all voices in a society.

However, only a nation itself—its people—can truly bring about sustainable democracy within its borders. Studies show that democratic progress can take decades, and setbacks are common. Consistent U.S. engagement is necessary to contribute to sustainable progress.

### Performance Goal Progress Update

In FY 2014, the Department worked with government and NGO leaders in Ukraine to support overdue reforms and provided emerging activists with expertise and tools to help channel demands from protests to constructive



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engagement with the new government. In Burma, the Department is funding grants that support those working in Burma to push for the removal of repressive colonial or junta-era decrees. The Department is also developing programs that strike a balance between meeting the needs of the Burmese majority as well as those of the ethnically-dominated areas in the perimeter. A joint Department of State/USAID trip to Moldova in April launched the Working Group on Democratic Consolidation underneath the framework of the U.S.–Moldova Strategic Dialogue.

The 4<sup>th</sup> Bilateral Human Rights Working Group with Honduras in May 2014 discussed various elements of democratic institution building, such as combating impunity, police reform, and judicial independence.

The Department has significantly increased pressure on leaders to respect their constitutionally-mandated term limits and refrain from changing constitutions for personal or political gain. In Africa, Secretary Kerry and others have pressed leaders in Burkina Faso, the Democratic Republic of Congo, Republic of Congo, and Burundi to respect their term limits, and raised the importance of abiding by term limits with numerous African and European partners.

## **Key Indicator: Number of executive oversight actions taken by legislature receiving U.S. assistance**

	FY 2011	FY 2012	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target				75	181	183	169
Actual	317	279	359	254			

## **Indicator Analysis**

A critical function of democratic legislatures is to monitor and conduct oversight of executive branch actions and performance. In FY 2013, legislatures in a number of countries took significant actions to address government corruption and mismanagement.

A total of 12 countries reported that legislatures receiving U.S. assistance took executive oversight actions in FY 2014. Countries reporting results included: Armenia, Georgia, Guinea, Haiti, Indonesia, Kenya, Kosovo, Niger, Rwanda, Somalia, Tunisia, and Zimbabwe. The U.S. government significantly exceeded its FY 2014 target for this indicator by 179. This was a result of factors such as heightened legislative scrutiny of the government in the lead-up to national elections in Zimbabwe, and increased oversight activities on the part of national legislatures in Haiti, Vietnam, Georgia, and other countries.

## **Indicator Methodology**

Data Source: FY 2014 Performance Reports as collected in the Foreign Assistance and Coordination System.

Data Quality: Performance data are verified using Data Quality Assessments (DQA) and must meet five data quality standards of validity, integrity, precision, reliability, and timeliness. The methodology used for conducting the DQAs must be well documented by each OU. (For details, refer to USAID's Automated Directive System [ADS] Chapter 203.3.11, <http://www.usaid.gov/policy/ads/200/203.pdf>).



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**Key Indicator: Number of U.S.-supported activities designed to promote or strengthen the civic participation of women**

	FY 2011	FY 2012	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target				231	181	73	59
Actual	325	279	359	106			

## Indicator Analysis

The target captures activities that USAID expects to implement under the Global Women's Leadership Fund, which supports the participation of women in peace processes, negotiations around political transitions, donor conferences, or other decision-making processes relevant to conflict prevention and resolution, democratic development, and human rights.

Additional activities to promote women's civic participation may be supported in the context of USAID-supported emergency programming. However, as this programming is contingency-based, targets for out-years cannot be set with a reasonable degree of certainty.

## Indicator Methodology

Data Source: FY 2014 Performance Reports as collected in the Foreign Assistance and Coordination System.

Data Quality: Performance data are verified using Data Quality Assessments (DQA) and must meet five data quality standards of validity, integrity, precision, reliability, and timeliness. The methodology used for conducting the DQAs must be well documented by each OU. (For details, refer to USAID's Automated Directive System [ADS] Chapter 203.3.11, <http://www.usaid.gov/policy/ads/200/203.pdf>).

## Key Indicator: Number of domestic election observers and/or party agents trained with U.S. assistance

	FY 2011	FY 2012	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target				27,984	14,600	15,250	12,726
Actual	9,006	29,323	41,302	28,892			

## Indicator Analysis

One major contributing program for this indicator is USAID's Elections and Political Processes (EPP) Fund. The EPP Fund provides assistance in cases of critical unanticipated need to support free and fair electoral and political processes in mission countries. Through this fund, USAID advanced innovative programming ideas and supported free and fair elections in 16 countries.

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## Indicator Methodology

Data Source: FY 2014 Performance Reports as collected in the Foreign Assistance and Coordination System.

Data Quality: Performance data are verified using Data Quality Assessments (DQA) and must meet five data quality standards of validity, integrity, precision, reliability, and timeliness. The methodology used for conducting the DQAs must be well documented by each OU. (For details, refer to USAID's Automated Directive System [ADS] Chapter 203.3.11, <http://www.usaid.gov/policy/ads/200/203.pdf>).

### **Key Indicator: Number of individuals/groups from low income or marginalized communities who received legal aid or victim's assistance with U.S. support**

	FY 2011	FY 2012	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target				87,460	168,306	151,402	143,364
Actual	1,322	37,254	36,759	185,631			

## Indicator Analysis

One of the largest contributing programs to this indicator is USAID's program in Ethiopia. In FY 2014, USAID provided free legal services in partnership with Haramaya University's College of Law. Activities have improved access to justice and legal awareness of the neediest populations across East/West Hararghe Zones and Harari regional state. By the end of FY 2014, over 100,000 people received legal aid services through 31 legal aid centers, more than half of which are women.

USAID's programming in Sri Lanka also contributes to this indicator. In FY 2014, 27,599 individuals from low income or marginalized communities across Sri Lanka received legal aid or victim's assistance through the Supporting Professional and Institutional Capacity Enhancement project, Civil Society Initiatives to Promote the Rule of Law Program, and Human Rights First programs.

## Indicator Methodology

Data Source: FY 2014 Performance Reports as collected in the Foreign Assistance and Coordination System.

Data Quality: Performance data are verified using Data Quality Assessments (DQA) and must meet five data quality standards of validity, integrity, precision, reliability, and timeliness. The methodology used for conducting the DQAs must be well documented by each OU. (For details, refer to USAID's Automated Directive System [ADS] Chapter 203.3.11, <http://www.usaid.gov/policy/ads/200/203.pdf>).

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## Performance Goal 4.1.2: Improve Fiscal Transparency and Accountability

**Performance Goal Statement:** By September 30, 2017, the Fiscal Transparency Innovation Fund will support projects that assist central governments or non-governmental organizations working to improve fiscal transparency in at least five countries assessed as not meeting the minimum requirements under the Fiscal Transparency Review process.

### Performance Goal Overview

Governments that are transparent and accountable are more likely to serve as prudent stewards of public finances and meet citizens' needs. They also provide a conducive environment for democracy, stability and prosperity. The United States, through diplomacy and complementary assistance programs, supports efforts to improve fiscal transparency and reduce corruption. President Obama made it a priority to support sound public financial management in foreign policy and development assistance goals in a March 2011 speech, where he encouraged partner countries to promote fiscal transparency, improve tax administration, and fight corruption. The U.S. government further supports these goals through the Congressionally-mandated Fiscal Transparency Review Process, technical assistance programs, and the Department's work on anti-corruption and anti-bribery. U.S. assistance will focus on civil society organizations, partner agencies, and others that seek to remedy weaknesses in public financial management – particularly in countries found non-transparent under the Fiscal Transparency Review Process. U.S. engagement on these issues is crucial to creating an open and democratic environment where citizens have a role in influencing budgetary decisions and holding their government accountable.

### Performance Goal Progress Update

#### Key Indicator: Number of target countries with new Fiscal Transparency Innovation Fund projects

	FY 2014	FY 2015	FY 2016	FY 2017
Target	1	9	9	9
Actual	13			

#### Indicator Analysis

The FTIF is designed to promote fiscal transparency, particularly for those countries deemed non-transparent in the Congressionally-mandated Fiscal Transparency Report prepared by the Department of State. The FTIF supports a variety of projects designed to meet specific constraints identified in each country. This indicator captures the number of countries the Fund is able to support in a given year, not the outcome of the individual interventions which are too diverse to aggregate. The FY 2014 target was exceeded and reflects success in directing the attention of target posts and host country actors to the issue of fiscal transparency. Out-year targets are set based on anticipated resources made available.

During FY 2014, FTIF project managers successfully expanded the number of FTIF projects, improved communications with U.S. embassies and USAID missions to raise awareness of the Fund, and expanded the



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means by which FTIF projects were awarded and delivered. For instance, FTIF funded four projects in sub-Saharan Africa implemented by the Treasury Department's Office of Technical Assistance. Projects funded in FY 2014 are contributing to improved fiscal transparency policies, better public access to information, and enhanced public capacity to monitor public spending and resource management.

## Indicator Methodology

The data for the indicator are derived from program records maintained by the Department of State and USAID. Because the indicator is a simple count of countries assisted, there are no data quality issues.

FTIF project managers maintain a database of projects supported through the Fund. Projects are selected and approved by an inter-agency panel consisting of subject matter experts from the Department and USAID. The FY 2014 indicator lists those projects obligated by September 30, 2014 (which correlates to projects funded with FY 2013 funds).

### **Key Indicator: Tax administration and compliance improved (% increase in tax collections) as a result of U.S. assistance**

	FY 2012	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target			20%	N/A	N/A	N/A
Actual	72%	15%	15%			

## Indicator Analysis

While improving tax compliance and revenue mobilization is important for providing resources for delivery of public services by U.S. partner governments, it does not logically fit as a supporting indicator under Performance Goal 4.1.2. More specifically, this indicator has no correlation to the Performance Goal Statement to, "...improve fiscal transparency in at least five countries assessed as not meeting the minimum requirements under the Fiscal Transparency Review process."

As a result, the Department and USAID will drop this indicator in FY 2015. The Department and USAID will jointly determine another indicator to be included in the FY 2017 Performance Plan that directly supports improved fiscal transparency and accountability.



# Strategic Goal 4: Protect Core U.S. Interests by Advancing Democracy and Human Rights and Strengthening Civil Society

## Strategic Objective 4.2: Promote and Protect Human Rights through Constructive Bilateral and Multilateral Engagement and Targeted Assistance

### Strategies for Achieving the Objective

Secretary Kerry has said, "Human rights are quite simply the foundation for a free and an open society. And history shows us that countries whose policies respect and reflect these rights are far more likely to be more peaceful and more prosperous, far more effective at tapping the talents of their people, far more capable of being innovative and moving rapidly and innovatively in the marketplace, and they are better long-term partners." The National Security Strategy affirms that our human rights policy is guided by the principle, enshrined in the United Nations (UN) Universal Declaration of Human Rights, that all people are "born free and equal in dignity and rights" and the fact that nations that embrace these values for their citizens are ultimately more successful than those that do not.

The United States works to promote and protect universal human rights worldwide, including an individual's right to be free from slavery and involuntary servitude, to speak one's own mind, to assemble without fear, to believe or not to believe in a religion, and to choose his or her own leaders. Those rights also include dignity, tolerance, and equality among all people; including ethnic and racial minorities, religious minorities, women, youth, indigenous persons, displaced persons, stateless persons, persons with disabilities, and lesbian, gay, bisexual, and transgender (LGBT) people. Internationally-recognized labor rights are enshrined in the 1998 International Labor Organization Declaration on Fundamental Principles and Rights at Work.

The U.S. government is working with international partners to reverse the troubling trend of increasing restrictions on the freedoms of expression, association and assembly, civil society organizations, and violence against religious minorities. The U.S. government is broadening and diversifying multi-stakeholder initiatives that provide support for civil society organizations and human rights defenders, especially those under threat.

In September 2013, President Obama launched *Stand with Civil Society*, a global call to action to support, defend, and sustain civil society amid a rising tide of restrictions on its operations globally. Working in partnership with other governments, the philanthropic community, and multilateral initiatives, the U.S. government has focused on three lines of effort over the past year: (1) promoting laws, policies, and practices that foster a supportive environment for civil society in accordance with international norms; (2) coordinating multilateral, diplomatic pressure to push back against undue restrictions on civil society; and (3) identifying innovative ways of providing technical, financial, and logistical support to promote a transparent and vibrant civil society. The U.S. government is the largest supporter of civil society in the world, with more than \$2.7 billion invested to strengthen civil society since 2010.

Through U.S. partnerships with governments, civil society, human rights defenders, and the private sector, the Department of State and USAID seek: (1) the repeal or non-enforcement of discriminatory laws around the world; (2) the adoption of inclusive, rights-respecting legal frameworks in societies in transition; (3) enhanced respect for human rights and accountability within security forces, including the prevention of and response to gender-based violence; (4) justice and accountability for gross human rights violations and atrocities; (5) accountability for perpetrators of human trafficking – including forced labor, sex trafficking, and child soldiering – and protection of victims; and (6) workers' rights, including combating the worst forms of child labor and discrimination. The U.S. government will continue its focus on advancing the ability of people worldwide to exercise freely their universal human rights through new technologies, safely, and without fear of retribution.

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The U.S. government will also continue to work with civil society and business partners to promote responsible business conduct in ways that reinforce our human rights objectives.

## Strategic Objective Progress Update

In 2014, universal human rights were challenged most starkly through the rise of the Islamic State of Iraq and the Levant (ISIL) terrorist movement in Syria and Iraq. In Iraq, this ruthless terrorist group has directed a campaign of murder, kidnapping, and theft at people of all religions and ethnic groups. In Syria, a dictator's use of indiscriminate violence against his own people has triggered the largest humanitarian catastrophe of this century. And there are many other places where a failure to respect human rights, combined with other factors, has produced hostilities that weaken nations and put civilians, including children, at grave risk.

And yet, we live at a time when democratic principles and respect for human rights have greater reach than at any previous time in history. This is due not simply to what governments have done, but to what people around the world have done to elevate, monitor, and enforce human rights standards—the individual human rights defenders and civil society organizations (CSOs) advocating for change in their own countries. The Department of State focused on supporting these defenders through its management of several rapid response mechanisms that make emergency assistance available to human rights defenders and civil society organizations under threat. Above the 80 percent target of human rights defenders and CSOs reported, they are able to carry out their work at some capacity after receiving assistance from these Rapid Response Funds.

USAID utilized a range of tools to support core human rights programs around the globe. USAID provided direct grants to local civil society and human rights defender organizations to monitor, document, promote and protect human rights in Cambodia, Cameroon, Kazakhstan, Mali, Ukraine, and Venezuela, among many other countries. In Mexico, U.S. assistance continues to work with the Mexican government to promote a human rights approach to public policies. In Ukraine, USAID is helping a leading human rights organization in monitoring and reporting on human rights cases, and preparing the country's new human rights strategy. In Paraguay, USAID is supporting economic inclusion of marginalized indigenous communities. In Burundi, USAID is working with the National Independent Commission for Human Rights and supporting independent investigation and documentation efforts, key in holding human rights offenders accountable through future legal and/or international tribunals. Additional examples of support include human rights education in Kyrgyzstan, support to a national dialogue process and consensus-building around the Libyan constitution process, a regional effort to strengthen judicial independence and respect for human rights across Southern Africa, and an effort to support human rights documentation and independent journalists in the Central African Republic.

At the Clinton Global Initiative this year, President Obama announced two major deliverables with regards to the Stand with Civil Society Initiative, led by USAID:

1. Expanding the Legal Enabling Environment Program, implemented by International Center for Not-for-Profit Law, to further strengthen legal and regulatory environments for civil society by providing technical assistance, financial support to partner organizations, training, and expert research to mitigate restrictions on civil society.
2. Launching a groundbreaking initiative to support and connect civil society across the globe through Regional Civil Society Innovation Centers, in partnership with the Government of Sweden and the Aga Khan Development Network. Over the next two years, up to six networked Regional Civil Society Innovation Centers will be created worldwide. Through a new participatory process, USAID and Sida convened a co-creation workshop in early November 2014 to launch the initiative. This workshop was



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attended by 45 thematically-, regionally-, and functionally-diverse CSOs, private funders, and academic institutions from around the world. The innovation center concept will be refined and tailored for each specific region in six regional co-design workshops between March and September 2015 with the goal of having at least one hub established by September 2015.

In FY 2014, the Department of State provided real-time information to contacts in Iraq, Syria, and the United States on locations of ISIL forces and captives, and Yezidi fighters. For civilians in northern Iraq, the Department facilitated humanitarian airdrops to besieged religious minorities. The Department's gender-based violence (GBV) emergency response initiative provided emergency support to Yezidi women and girls who were victims of rape and torture by ISIL. The Department will continue rapid response assistance in the coming year. The Department is also enhancing the objectives in assistance plans for the prevention and accountability on human rights violations by partner nation security forces, and intends to reduce the percentage of Leahy vetting cases left in suspension. Furthermore, USAID is working with its partners to provide women and girls with access to safe and confidential assistance through efforts including: (1) training on the delivery of medical supplies to healthcare providers; (2) support to safe healing and learning spaces; (3) provision of psycho-social support; and (4) assisting highly vulnerable displaced women and children to secure access to safe and sustained shelter.

Multilaterally, the United States continued to work with countries from all regions to address urgent human rights concerns in the UN Human Rights Council (HRC). U.S. leadership helped to keep the Council at the forefront of international efforts to promote and protect human rights, by underscoring the critical role of civil society. This included the Council's adoption of the second-ever UN resolution on violence and discrimination facing LGBT persons world-wide. Brazil, Chile, Colombia and Uruguay led the resolution, with the United States co-sponsoring and lobbying heavily. The HRC's 15th resolution on Syria focused on torture and the situation in Syrian prisons, and reiterated the international community's demand for unfettered humanitarian access in Syria. The United States co-sponsored resolutions on Yemen, the Central African Republic, and the Democratic Republic of Congo, highlighting our shared commitment to protecting human rights through assistance and enhanced dialogue. The Council extended the mandate of the Independent Expert on Sudan, through a resolution that criticized ongoing violations and abuses of human rights in Sudan.

In terms of supporting and promoting LGBT civil society abroad, USAID released the LGBT Vision for Action – Promoting and supporting the inclusion of LGBT individuals; and laid out the key principles and promising approaches through which USAID will promote and protect the human rights of LGBT persons worldwide. Through the Human Rights Grants Program, USAID also provided support to missions and LGBT civil society in Cambodia, Cameroon, Ecuador, Guatemala, Indonesia, Kosovo, Mali, Nicaragua, Nepal, Senegal, Thailand, and Vietnam. Technical assistance included on-the-ground support for program implementation, site visits, and training. Significant progress was made in Asia where USAID and the UN Development Programme jointly implemented the “Being LGBT in Asia” initiative which convened national dialogues and produced country reports on the socioeconomic status of LGBT persons in the region. In Nicaragua, with the USAID | PrevenSIDA program’s support, LGBT organizations succeeded in securing policies and ordinances that ensure LGBT inclusive access to health care, education, and employment. USAID supported a democratic leadership training conference for the LGBT community in Serbia and Peru, where a transgender woman participant was later elected to a municipal office. USAID further strengthened LGBT entrepreneur coalitions in Mexico and Colombia and sponsored a study by the Williams Institute which found inclusion of LGBT people in emerging economies is positively associated with a country’s economic development. In the coming year, USAID will continue to expand its programs and increase financial and technical assistance to field missions and LGBT civil society abroad.



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On the atrocity prevention, the Department and USAID are working to promote transitional justice and accountability. The Department and USAID are working with the interagency Atrocities Prevention Board (APB) to develop and enhance tools, training, and programming. The Department and USAID with the APB are also developing and implementing the Department's diplomatic engagement strategy to increase cooperation with foreign partners and international organizations on atrocity prevention through promoting justice and accountability, both as a broad policy and as country specific initiatives in places where there is the greatest need and opportunity for impact.

The publication of the 2014 Trafficking in Persons Report and the development of action plans for each country help focus the Department of State's efforts to encourage foreign governments to combat human trafficking in the upcoming year. These action plans help strategically prioritize foreign government efforts to combat human trafficking and support U.S. diplomatic engagement on the issue.

Additionally, the findings of the annual Trafficking in Persons Report guide the Department's foreign assistance funding priorities for anti-trafficking programs, which generally target countries ranked as Tier 3, Tier 2 Watch List, and Tier 2 in the annual Report, and also countries where there is a demonstrable need for resources and where there is political will to address the problems and deficiencies identified in the Report. During FY 2014, the Department funded 41 new and continuation projects worth a little more than \$18 million. With the addition of these grants and cooperative agreements, as of the end of FY 2014, the Department oversaw 98 anti-trafficking projects worth approximately \$59.7 million in 71 countries. Direct results yielded from these foreign assistance programs include: (1) strengthened prosecution efforts via foreign government-developed and implemented anti-trafficking legislation, and training criminal justice officials; (2) increased protection measures and provision of comprehensive services to victims of trafficking, including vocational and livelihood training; and (3) the advancement of key prevention measures through increased awareness-raising activities. In the upcoming year, the Department will continue to support these types of anti-trafficking programs.

Since 2001, USAID has programmed approximately \$16.5 million annually to combat trafficking in over 68 countries and regional missions. In addition, USAID reinvigorated and refocused its counter-trafficking (C-TIP) efforts with the launch of its C-TIP Policy which outlines concrete, measurable Agency-wide programming objectives. These objectives include integrating C-TIP activities across development sectors, investing in rigorous C-TIP research, increasing investments in conflict and crisis-affected areas and countries with global strategic importance and significant trafficking problems, and enhancing institutional accountability within USAID to address trafficking.

Results of USAID C-TIP programming include an increased emphasis on C-TIP within the context of development programs across sectors, such as education, economic growth, health, human rights, and humanitarian assistance; greater awareness and prevention of trafficking worldwide; the provision of direct services to trafficking victims and populations vulnerable to trafficking; the rescue and rehabilitation of children exploited by armed groups; improved C-TIP legal frameworks; strengthened knowledge of C-TIP through training of law enforcement personnel; increased arrests, prosecutions, and convictions of traffickers; enhanced knowledge of trafficking trends, lessons learned and best practices through research; and improved institutional awareness and accountability within USAID to combat trafficking.

USAID implements most of its work promoting and protecting human rights through the provision of technical expertise and programming resources. Technical experts in freedoms of association, assembly, expression, rights of indigenous populations, human trafficking, transitional justice and labor rights, focus on improving



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international and local policies and practices that enhance a rights-respecting environment and build local capacity.

## Performance Goal 4.2.1: Support Human Rights Defenders and Civil Society Organizations (CSO) Under Threat

**Performance Goal Statement:** By September 30, 2017, 80 percent of defenders and CSOs receiving Rapid Response Fund assistance are able to carry out their work after receiving assistance, and/or report back within six months positive impacts on their safety and security due to the assistance.

### Performance Goal Overview

Individual human rights defenders and non-governmental organizations (NGOs) are the cornerstone of human rights progress within a country, identifying government policies that restrict fundamental freedoms and publicizing policy alternatives, corruption, and mismanagement, often at great personal risk. They track abuses, call out governments, give voice to the voiceless, and work to identify and implement needed reforms. In too many countries, these defenders work under harassment and threat of imprisonment and other severe forms of recrimination that endanger their lives, their families, and their work.

The United States actively works to protect and promote the right of individuals and civil society organizations to freely advocate their views and communicate with their own members and the general population, their own and other governments, and international bodies and other elements of civil society inside or outside the countries in which they are based. The United States publicly denounces crackdowns on civil society and independent media, and publicly demonstrates its solidarity with human rights defenders, faith leaders, NGOs, labor unions, and journalists under threat. The Department of State highlights individual cases in the Congressionally-mandated Country Reports on Human Rights Practices and the Annual Report on International Religious Freedom. The United States works with like-minded governments — the UN, and regional mechanisms like the Organization for Security and Co-operation in Europe and the Organization of American States, to hold governments accountable to their obligations under universal human rights and labor norms, including the rights of individual defenders to protest government activities. However, the United States cannot always succeed in persuading a government to stop persecuting individual defenders.

### Performance Goal Progress Update

The Department continues its diplomatic and programmatic efforts to support human rights defenders and CSOs under threat through both diplomatic and programmatic efforts. In 2014, the Department continued its focus on supporting these defenders through its management of a range of rapid response programs. These programs provide real-time emergency support to civil society activists, lawyers, human rights defenders, democracy activists, journalists and bloggers, labor unionists, those persecuted because of their religious beliefs, and those advocating for the rights of LGBT people.

Funds that assist civil society organizations include the Lifeline: Embattled CSOs Assistance Fund, which is a unique international mechanism that supports CSOs when they need funds quickly to fight back against harassment and other attacks on freedoms of assembly and association. Since its founding in 2011, Lifeline has assisted 446 civil society organizations in 85 countries. These funds have provided emergency assistance to more than 800 individuals from every part of the world. Another mechanism in place since 2011 is the Justice Defenders program, which has provided pro bono assistance to embattled local lawyers working on human



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rights cases at the domestic, regional, and even international level. Justice Defenders does not provide financial assistance to lawyers but rather technical legal assistance such as conducting legal research, drafting and filing amicus briefs/curiae, monitoring and reporting on trials, and writing to bar associations or Ministries of Justice on various human rights and rule of law issues.

Short-term emergency assistance is provided to individual human rights defenders who can receive funds to address short-term emergency needs, such as payment of legal and medical bills, temporary relocation, prison visitation, equipment replacement, security, and dependent support. Launched in 2011, the Global Equality Fund provides emergency and long-term assistance to CSOs working to protect and advance the human rights of LGBT persons. Within its first three years, the Fund provided over \$17 million in assistance to civil society organizations in over 50 countries worldwide. The Fund is a public-private partnership and enjoys the support of ten like-minded governments, three corporations and two foundations. In 2014, Chile joined the Fund as the first partner government from Latin America. Finally, in 2014, the Department launched the GBV Initiative, which addresses the immediate security needs of survivors of severe gender-based violence as well as individuals under credible threat of imminent attack due to their gender or gender identity. The training and advocacy component of the GBV Initiative supports integrated trainings for governments, judiciary, and key civil society members in implementing laws that address GBV and cultural attitudes and norms around gender-based violence, including engaging men and boys around GBV prevention. The Department also works to protect those who are persecuted for their religious beliefs.

## Key Indicator: Number of human rights defenders trained and supported

	FY 2011	FY 2012	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target				12,260	28,907	14,878	8,503
Actual	3,345	15,426	21,078	48,224			

## Indicator Analysis

The FY 2014 actual is higher than the target because many programs were able to reach and train more people than planned. In some cases, an unstable political situation in a country with large resources becomes a more stable climate during the year due to peaceful elections; this enabled a 200 percent increase in people supported beyond the target. In other cases, small grants programs enabled local NGOs to train more people than anticipated.

USAID continues to assist field missions in their work with local beneficiaries to promote and protect universally recognized human rights, including the right to be free from violations of physical security, the political and civil rights of all citizens, and equality of opportunity and non-discriminatory access to public goods and services. USAID programs focused on: (1) assistance to human rights defenders and national human rights institutions; (2) monitoring and documentation of human rights abuses; (3) atrocity prevention; (4) transitional justice; (5) combatting trafficking in persons; and (6) assistance to vulnerable populations including LGBT persons, indigenous peoples, persons with disabilities and survivors of organized violence and torture. In FY 2014, USAID

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worked with 15 USAID field missions to strengthen human rights institutions as well as grass roots efforts to promote and protect human rights of all members of society. Funds were provided for human rights activities in Angola, Cambodia, Cameroon, Central African Republic, China, Cote d'Ivoire, Indonesia, Jamaica, Kazakhstan, Madagascar, Mali, Mexico, Paraguay, Philippines, Thailand, Ukraine, Venezuela, and Zimbabwe.

## Indicator Methodology

Data source: The indicator data came from the implementing partner of USAID rapid response and emergency assistance projects. Other programs also generate numbers for this indicator. In addition, posts report defenders trained by experts at embassies, not always using foreign assistance resources.

Data quality: It is relatively easy to assess the number of people reached and helped through the rapid emergency assistance funds. Generally, grantees can provide the number of participants in their trainings.

### **Key Indicator: Number of domestic NGOs engaged in monitoring or advocacy work on human rights receiving U.S. government support**

	FY 2011	FY 2012	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target				777	920	608	146
Actual	4,662	818	914	1,001			

## Indicator Analysis

The U.S. government exceeded its FY 2014 target for the number of domestic NGOs engaged in monitoring or advocacy work on human rights by 224 NGOs due to the initiation of unanticipated activities, and an increase in demand for training. Additional human rights activities the U.S. government provides includes: (1) supporting NGOs that advocate for and monitor human rights; (2) training and supporting human rights defenders and other watchdog groups; (3) providing legal assistance; (4) medical and psycho-social care and treatment to victims of organized violence and torture; (5) supporting atrocity prevention efforts; (6) supporting counter-trafficking in persons efforts; (7) promoting transitional justice initiatives; and (8) promoting and protecting the rights of vulnerable groups including LGBT persons, indigenous peoples, people with disabilities, war victims, and displaced children and orphans.

## Indicator Methodology

Data Source: FY 2014 Performance Reports as collected in the Foreign Assistance and Coordination System.

Data Quality: Performance data are verified using Data Quality Assessments (DQA) and must meet five data quality standards of validity, integrity, precision, reliability, and timeliness. The methodology used for conducting the DQAs must be well documented by each OU. (For details, refer to USAID's Automated Directive System [ADS] Chapter 203.3.11, <http://www.usaid.gov/policy/ads/200/203.pdf>).



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**Key Indicator: Percent of defenders and CSOs receiving Rapid Response Fund assistance (Percent Receiving Assistance) able to carry out work and/or report positive safety or security impacts**

	FY 2014	FY 2015	FY 2016	FY 2017
Target	70%	75%	80%	80%
Actual	86%			

## Indicator Analysis

The FY 2014 actual percentage is higher than the target because the percentage of CSOs, compared to the percentage of defenders that were able to carry out work and/or report positive safety or security impacts was much higher than anticipated. Over 95 percent of the CSOs were able to resume operations once they received assistance just by the virtue of people working together. However, many of the individual defenders that U.S. government assisted needed to be relocated, so they could not return to work. The percentage of defenders who were able to resume operations after assistance was provided was 70 percent.

## Indicator Methodology

Data source: The indicator data came from the implementing partner of these projects. Their monitoring and evaluation specialist follows up with the recipients with a standard survey once they receive their assistance to determine how the assistance may have helped their situation and their ability to continue their work.

Data quality: For a variety of reasons, sometimes it is difficult to follow up with recipients because either the recipients do not respond to follow up requests for information or it is too difficult to contact the recipient after providing the assistance.

## Performance Goal 4.2.2: Prevent, Mitigate, and Redress Atrocities, Address Gross Human Rights Violations, and Combat Human Trafficking

**Performance Goal Statement: By September 30, 2017, the United States develops and implements strategies to prevent, mitigate, and redress atrocities; address gross human rights violations; and/or combat human trafficking in 100 percent of the countries identified as priority countries.**

## Performance Goal Overview

Preventing, mitigating, and redressing atrocities, gross human rights violations, and human trafficking is essential to protecting and promoting human rights, supporting the development of sustainable peaceful democracies, and safeguarding the national security of the United States. In his *Presidential Study Directive 10*, President Obama recognized that “[p]reventing mass atrocities and genocide is a core national security interest and a core moral responsibility of the United States.” Human trafficking is both a grave human rights issue and a fundamental danger to international security. And, as the President’s Executive Order directing the implementation of a United States Strategy on Preventing and Responding to Gender-Based Violence Globally notes, GBV undermines not only the safety, dignity, and human rights of the millions of individuals who



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experience it, but also the public health, economic stability, and security of nations. The Protection Pillar outlined in the President's Executive Order on Women, Peace and Security presents the importance of protecting women and girls from violence, exploitation and abuse. When civilians are systematically slaughtered, refugees flee across borders, traffickers prey on the vulnerable, and murderers, torturers and rapists openly operate with impunity to spread fear, instability, and chaos anywhere in the world, the security of the United States is affected. Moreover, the 2010 National Security Strategy reinforces that "the end of impunity and the promotion of justice are not just moral imperatives; they are stabilizing forces in international affairs."

Unfortunately, atrocities, gross human rights violations, including gender-based violence, and human trafficking continue to devastate the lives of innocent civilians and destabilize communities and regions every day, and in every corner of the world. Moreover, while there is growing international recognition that justice and accountability for such crimes is essential to prevent their recurrence and is a precondition for democracy in post-conflict and post-authoritarian states, impunity persists and victims of the most heinous crimes are often left without redress.

The Department of State and USAID will work with the rest of the U.S. government to develop and implement effective strategies to prevent, mitigate and redress atrocities, gross human rights violations, including gender-based violence, and human trafficking. These strategies will require close collaboration with foreign governments and multilateral institutions. It will include strengthening of foreign government institutions and civil society to ensure their knowledge and capacity to respect and protect human rights, prevent and respond to gender-based violence, combat human trafficking, and prevent and redress atrocities. It will also include strengthening transnational, multinational, and regional efforts and institutions focused on addressing this global problem.

These strategies may require actions that may potentially conflict with other diplomatic or military goals. However, their centrality to international peace and security, international perceptions of core U.S. values, and their direct connection to core U.S. national security interests suggest that they must remain key priorities.

## Performance Goal Progress Update

### Key Indicator: Percentage of NGO or other international organization projects that include dedicated activities to prevent and/or respond to gender-based violence

	FY 2011	FY 2012	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target				35%	37%	37%	37%
Actual	38%	45%	56%	30%			

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## Indicator Analysis

Since 2000, the Department of State has taken a leading role in raising and addressing the special protection needs of women and children in all humanitarian responses, both by incorporating a gender lens into overall program activities and by providing more than \$116 million in targeted GBV programming.

In FY 2014, 30 percent of the Department's NGO or other international organization (IO) projects included activities to prevent and respond to GBV. This is slightly below the FY 2014 target of 35 percent. The drop is attributed to a 56 percent increase in the total number of NGO or other IO projects funded by the Department globally in 2014 while the number of projects with GBV components remained steady. The Department's overall funding toward GBV increased in 2014, reflecting efforts to expand GBV programming, and some of the additional GBV funding was provided to primary IO partners not included in this indicator. The Department will explore why the number of NGO and other IO projects with GBV components did not increase at the same rate.

The Department of State supported more than \$24.9 million worth of programs specifically focused on preventing and responding to GBV through both regular GBV regional programming and *Safe from the Start*, a joint initiative with USAID developed and led by the Department designed to strengthen prevention and response to GBV in humanitarian emergencies. These projects were implemented in every region of the world, and included a range of activities, such as: (1) trainings for medical and psychosocial personnel to improve services to GBV survivors; (2) direct services and case management; and (3) activities to reduce women's vulnerability, including cash assistance and livelihood training.

In September 2014, Secretary Kerry announced an additional \$12 million in new funding for *Safe from the Start*. The announcement brings the total funding for *Safe from the Start* to more than \$22 million since Secretary Kerry launched this initiative in September 2013. These programs are responding to immediate needs in current crises and laying the groundwork for system-wide change to better prevent and respond to GBV in future emergencies. The Department has provided *Safe from the Start* funding to IOs and NGOs to hire and train new staff including new surge deployments of GBV experts to Iraq, Cameroon and Ethiopia, and to launch new GBV programs such as providing mobile GBV services for adolescent refugee girls in Lebanon and mitigating risks faced by South Sudanese refugee women by installing solar lighting in refugee camps in Uganda.

In FY 2014, the Department of State funded NGOs to address GBV among conflict-affected populations. These programs are intended to identify recurrent risks for GBV in emergencies, enabling the Department and its partners to improve future responses. The Department of State provided funding to establish GBV prevention and response activities among newly arrived South Sudanese refugees in Ethiopia and among Central African Republic refugees and Chadian returnees in southern Chad. Funding also went toward piloting a livelihood assistance project aimed at decreasing vulnerability for these groups in Southern Chad.

As part of the Syrian response, the Department of State funded international and NGO partners: (1) to provide direct services for women and children, including case management, individual and group therapy, and health services in Jordan; (2) to improve how referrals for services are made and tracked in Lebanon; and (3) to conduct GBV prevention and response assistance programs for refugees in Turkey.

In Iraq, the Department of State funded international organizations and NGOs to conduct several programs for GBV prevention and response. Among these are GBV prevention and response training for NGO workers, GBV response capacity building, livelihoods programming particularly for women and young people, protection monitoring, GBV counselling, and cash assistance for extremely vulnerable individuals including women and



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girls. The Department also supported programs to increase knowledge and awareness of GBV in refugee and Internally Displaced People communities in Iraq and provide legal and psychosocial support services to females who were survivors of violence as well as a project designed to improve capacity of and enhance coordination among service providers to respond to GBV.

## Indicator Methodology

Data Source: Department of State, Bureau of Population, Refugees and Migration (PRM). Internal award document tracking system and from implementing partner reports (verbal or written).

Data Quality: A weakness of this indicator is its inability to assess the quality and impact of GBV program activities. Data for the indicator are reviewed by the Bureau's gender, monitoring and budget officers.

### **Key Indicator: Number of anti-TIP policies, laws or international agreements strengthened with U.S. government assistance**

	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target		24	24	24	24
Actual	24	24			

## Indicator Analysis

The establishment of a comprehensive legal framework that criminalizes human trafficking and holds traffickers accountable for their crimes serves as the foundation for an effective government-led response. Without proper laws, confusion exists over the definition of this crime and traffickers are often charged with lesser offenses, or worse, able to operate with impunity. Laws and policies that comprehensively prohibit and penalize human trafficking crimes may serve as a foundation for effective investigations and prosecutions, and victim protection.

The Department of State helps strengthen government structural and legal frameworks via country-specific programming as well as through global short-term, targeted training and technical assistance. In FY 2014, these efforts resulted in the creation and/or strengthening of anti-human trafficking laws, policies, and/or agreements in Afghanistan, Bangladesh, Botswana, Burundi, Djibouti, Guatemala, Haiti, Honduras, Lesotho, Maldives, Mexico, Namibia, the Republic of the Congo, Seychelles, Sri Lanka, and Swaziland.

Some of the key achievements affected by Department grantees in these countries include the approval of anti-trafficking national action plans by Djibouti and the Republic of the Congo, and the promulgation of a comprehensive anti-trafficking law by Haiti. Additionally, a grantee in Guatemala provided technical assistance to officials to improve public policy and protocols for identifying victims of forced labor, including by promoting the inclusion of various forms of forced labor and exploitation in the country's 2013-2023 *National Action Plan to Combat Trafficking in Persons and revised Public Policies Against Trafficking in Persons*. That same grantee

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also assisted in the redrafting of the Guatemalan government's *Protocols on Repatriation and Victim Protection* through inclusion of promising practices and lessons learned from recent cases of forced labor.

In Seychelles, a Department grantee worked in partnership with the government to develop and enact comprehensive anti-trafficking legislation in April 2013. Under this new law, criminal justice and security sector officials now have the tools to adequately investigate, prosecute, and punish trafficking offenders. And in the

Maldives, leading up to the December 2013 passage of a comprehensive anti-trafficking law, a Department grantee worked with the government to raise the awareness of law enforcement and the judiciary via targeted anti-trafficking training. This engagement resulted in the government's first ever conviction and sentencing of a trafficking offender. Since the passage of the new law, the grantee is continuing to train an increased number of law enforcement personnel, prosecutors, judges, and victim advocates to understand and implement the new legislation.

Worldwide, Department grantees continue to develop and strengthen anti-trafficking laws, policies, and agreements; and where such frameworks exist, grantees may work to encourage implementation. For example, during FY 2014 in Laos, a grantee reviewed existing laws that can be used to prosecute cases of human trafficking and delivered a presentation to key government stakeholders that included six key recommendations and more than 90 concrete legislative suggestions. Meanwhile, the grantee is assisting the Lao government's drafting committee to create a strengthened anti-trafficking law with enhanced protections for victims and stronger penalties for perpetrators. This has been a multi-year process, but Government of Laos counterparts express optimism that the new law will pass in the coming year. In Papua New Guinea, a grantee that previously raised awareness of human trafficking and worked alongside government partners to draft the country's first anti-trafficking law, which passed in July 2013, continued to train law enforcement officers and prosecutors on the new law during FY 2014. The grantee is also working on developing a victim-centered protection and referral mechanism for victims of human trafficking in the national capital area.

The key challenge to strengthening government structural and legal frameworks to combat trafficking is overcoming political and bureaucratic hurdles and coordinating inputs across several branches of government. As a result, efforts to adopt legislation and policy are frequently time-consuming and require strong political will. To overcome these challenges, the Department seeks to align its foreign assistance with bilateral diplomacy efforts. For example, in Haiti, U.S. engagement linked multiple U.S.-funded long-term anti-trafficking projects and legislative training and technical assistance (ongoing since 2011), and diplomatic engagement by Embassy Port-au-Prince during 2013 and 2014. This engagement supported the Haitian government as it promulgated of the comprehensive anti-trafficking law mentioned above. Fulfilling the Haitian government's long-term promise to pass robust anti-trafficking legislation, the law provides a sound legal definition for human trafficking, enshrines protections for victims, and facilitates law enforcement's vigorous prosecution of trafficking offenders.

## Indicator Methodology

Data for this indicator is collected by the Department via routine grant oversight and monitoring activities. Close oversight of awarded projects enables the Department to ensure effective use of foreign assistance in targeted countries. Performance monitoring and evaluation is accomplished through routine desk audits and/or site visits that include management and technical assistance; reviewing regular programmatic and financial progress reports; and frequent and routine correspondence with grantees. Oversight also includes the use of common performance indicators for all anti-trafficking programs.



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**Key Indicator: Number of training and capacity-building activities conducted with U.S. government assistance that are designed to promote the participation of women or the integration of gender perspectives in security sector institutions or activities**

	FY 2012	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target			254	229	147	137
Actual	145	149	219			

## Indicator Analysis

While the FY 2014 result is slightly below the target, the Department of State has increased its level of capacity-building activities designed to promote the participation of women or the integration of gender perspectives in security sector institutions or activities in many areas. For example, throughout security sector reform programming, the Department took steps to enhance the specialized training and guidance for program management and curricula, with a view toward increasing the number of women in leadership positions in the security sector and improving compliance with gender equality standards. The capacity building activities counted in this indicator represent workshops, courses, and other training events for the security sector, which incorporated topics related to women, peace, and security.

## Indicator Methodology

Data for this indicator is collected by each Operating Unit from project/program documents, such as grants or contract reports describing completed training and capacity building activities. This indicator counts the number of U.S.-funded activities that promote: (1) the participation of women in security sector institutions and activities; (2) the integration of gender perspectives, needs, and priorities in security sector initiatives or activities; or, (3) the increased ability of individuals or institutions in the security sector to address the distinct needs and priorities of males and females. The activity will count under this indicator if the activity's primary objective is to accomplish the above objectives or if the activity contains the above objectives as a secondary objective (e.g., peacekeeping pre-deployment training event with a gender needs/Sexual and Gender Based Violence (SGBV) block of instruction). Security sector training initiatives include but are not limited to training events (i.e. workshops, courses, and seminars) as well as projects that produce tangible training documents (i.e. course program of instruction or POI, manuals & publications). Information generated will be used for future planning, program adjustments, budget decisions, and accountability of funds spent in respect to "Outcome 2.1" of the *National Action Plan on Women, Peace, and Security*.



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**Key Indicator: Percentage of priority atrocity prevention countries in which the Department of State and USAID are working to promote credible transitional justice and accountability mechanisms**

	FY 2014	FY 2015	FY 2016	FY 2017
Target	100%	100%	100%	100%
Actual	100%			

## Indicator Analysis

History demonstrates that societies that do not properly address systematic human rights violations and mass atrocities risk perpetuating cycles of violence and conflict. Credible transitional justice and accountability mechanisms can help countries address legacies of abuse in ways that enable them to move forward nonviolently. In practice, transitional justice refers to a range of tools—judicial and non-judicial, formal and informal, retributive and restorative—that aim to support and strengthen peace, security, development, reconciliation, and governance through carefully balancing sometimes competing imperatives, including the desire for truth, accountability, reparative justice, institutional reform, and reconciliation. Together, these measures can help a society address and heal from the past and prevent atrocities recurring in the future.

The Department and USAID identified eleven priority atrocity prevention countries for FY 2014 which had ongoing atrocity situations or histories of atrocities with high risk of recurrent violence. These eleven countries were Afghanistan, Burma, the Central African Republic (CAR), the Democratic Republic of Congo (DRC), Iraq, Nigeria, Pakistan, Somalia, South Sudan, Sudan, and Syria. The promotion of justice and accountability mechanisms in these countries is one of several important strategies to help mitigate ongoing atrocities and prevent future atrocities.

In Syria, ongoing conflict obviated the potential of domestic justice and accountability, however the Department and USAID have funded a number of NGO initiatives focused on transitional justice and atrocity documentation. These initiatives aim to build a foundation for future accountability for war crimes committed on all sides of the Syrian conflict, including those committed by the Assad regime, ISIL, and other groups. The Department facilitated the release of the nearly 55,000 “Caesar photos” taken by a Syrian army defector, providing evidence that the Assad regime tortured and killed thousands of detainees, including women and children. State has worked with the FBI to determine if any of these detainees might be foreign citizens so that prosecutions for their death could be brought against the regime in foreign courts. State has also promoted justice and accountability for Syria at the UN, supporting a Human Rights Council (HRC) resolution to establish and extend the mandate of a Commission of Inquiry (COI) to document atrocities committed by all parties to the conflict in Syria, as well as a UN Security Council resolution to refer the situation in Syria to the International Criminal Court (ICC).

To promote justice for atrocities being committed in Iraq, the Department and USAID have designed and begun to implement program efforts to assist victims and their families. These efforts also gather, analyze, secure and preserve evidence of ISIL’s atrocities to lay the foundation for future accountability and other important transitional justice priorities.



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In the CAR, the Department and USAID designed and implemented programs to empower religious and other grassroots leaders in leading inter-faith dialogue and reconciliation efforts in communities torn apart by religious and ethnic violence. The Department is helping to re-establish CAR's criminal justice system, working with police, investigators, prosecutors, courts and prisons and worked on initiatives to promote justice and accountability for SGBV crimes. The Department recognizes the key role that the UN peacekeeping mission (MINUSCA) would need to play in rebuilding the domestic judicial sector and ending impunity. The Department ensured that MINUSCA's mandate provided fulsome authority to assist national justice authorities, and continues to work with the CAR Transitional Government and the UN to establish a domestic Special Criminal Court to investigate and prosecute serious violations of international humanitarian law. The Department has played a key role in ensuring the establishment of a UN COI to investigate and make recommendations about responding to serious violations of international humanitarian law. In the absence of capacity and political independence at the national level to hold high-level perpetrators responsible, the Department also supported an investigation by the ICC, which was initiated at the request of the national government.

In the DRC, ongoing conflict and violence by armed groups continues to victimize the civilian population. Sexual and gender based violence is pervasive, as these crimes are often used as weapons of war. The Department has funded programs to combat impunity and support the investigation and prosecution at the domestic level of serious violations of human rights and international humanitarian law, including sexual violence. These programs include mobile courts; and prosecution support cells, which provide international investigators and prosecutors to advise and assist Congolese justice officials on crimes against humanity and war crimes prosecutions.

In Somalia, ongoing conflict and instability, and the lack of a U.S. Embassy in-country, present challenges for promoting implementing transitional justice policies and mechanisms. However, the Department has continued to support the Ministry of Justice in setting up a traditional dispute resolution unit, engaging local sheikhs and elders, and piloting a community acceptance process for the return of low-risk former fighters from al-Shabaab who have passed through the government's reintegration program.

The Department continued to support the ICC's ongoing cases in Darfur, Sudan. The U.S. government engaged in diplomatic efforts to discourage other countries from inviting or allowing President Bashir to travel, and urged States Parties to abide by their obligations under the Rome Statute. The Department continued to support the efforts of the UN's peace keeping force (UNAMID) to investigate and document allegations of human rights abuses such as the alleged mass rape in Tabit and support the work of the UN Independent Expert on Sudan. Ambassador-at-Large, Stephen Rapp spoke on a panel on Accountability for Crimes Against Women in Darfur with ICC Prosecutor Fatou Bensouda at a symposium on Women and Genocide in the 21st century.

In South Sudan, the Department supported an assessment to examine existing and potential justice, accountability and reconciliation measures that could respond to the current conflict in South Sudan. The assessment provided a detailed set of recommendations for an integrated strategy for mechanisms to investigate and prosecute perpetrators, establish the truth about how violations occurred and advance reconciliation efforts in the country. The Department has supported the efforts of the African Union COI to conduct investigations into serious violations of international human rights and humanitarian law, and provided for independent forensic investigators to be deployed with the COI. Ambassador-at-Large Stephen Rapp has also traveled to Juba to meet with government officials and the UN SRSG to promote the need for accountability mechanisms and discuss the form those mechanisms could take to address conflict-related crimes in South Sudan. The U.S. government has also participated in the revising of the mandate for UNMISS to refocus efforts



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on investigating and documenting human rights violations, among other things, in order to lay the groundwork for future accountability efforts.

In Nigeria, the Department has focused on diplomatic efforts to press the Nigerian government to fully investigate and prosecute atrocity crimes committed by Boko Haram, as well as by Nigerian forces. The Department has partnered with the Nigerian government and civil society to fight corruption and strengthen rule of law around transnational crimes.

In Afghanistan, the Department worked to strengthen the justice sector by building the capacity of Afghan officials within the Ministry of Justice, the Attorney General's Office, the Ministry of Women's Affairs, and other justice organizations. USAID has also conducted an annual survey of the Afghan people to gather information regarding a wide variety of issues including those related to justice and reconciliation, amongst other things.

In Pakistan, the Department conducted a rule of law program focused on building the prosecutorial and judicial capacity of local actors through skills training, material support, and construction of key infrastructure. The Department has also engaged in police training which included a new Human Rights Training Module directly tied to hiring and promotion decisions.

In Burma, USAID helped support the creation of a judiciary strategic plan which would help the Supreme Court tackle issues related to access to justice, public trust and confidence, as well as judicial independence and accountability. The Department also promoted justice in Burma through supporting HRC resolutions calling for the government to ensure accountability and end impunity for all violations of international human rights and international humanitarian law.

The Department and USAID will continue to work to promote credible transitional justice and accountability mechanisms in priority atrocity prevention situations as well as other situations where such mechanisms can help prevent, mitigate or redress atrocities going forward.

## Indicator Methodology

Information about priority atrocity prevention countries come from the Department and USAID's analysis. Initiatives to promote credible transitional justice and accountability mechanisms in these countries are taken from information provided by USAID and the Department's Bureau of Democracy, Human Rights and Labor, Bureau of Conflict and Stabilization Operations, Bureau of International Narcotics and Law Enforcement Affairs, and Office of Global Criminal Justice.

### **Key Indicator: Number of people reached by a U.S.-funded intervention providing GBV services (e.g. health, legal, psycho-social counseling, shelters, hotlines, other)**

	FY 2011	FY 2012	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target				782,967	528,125	756,522	750,903
Actual	1,757,601	1,886,460	800,634	2,515,862			

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## Indicator Analysis

Building on the work of over two decades, USAID is leading efforts to implement the *United States Strategy to Prevent and Respond to Gender-Based Violence Globally*. This Strategy defines GBV “as violence that is directed at an individual based on his or her biological sex, gender identity, perceived adherence to socially defined norms of masculinity and femininity.” GBV takes on many forms, such as, female infanticide, child marriage, forced marriage, female genital mutilation/cutting, intimate partner violence, sex trafficking, forced labor and “honor killings”.

The GBV Strategy has four complementary objectives: (1) enhanced interagency coordination; (2) integration of GBV into policies and programs; (3) improved data and research; and (4) expansion of programming.

To achieve these objectives in 2014, USAID made further strides in developing guidance for operating units on how to integrate GBV across sectors, such as, economic development, health, infrastructure and education. Staff capacities for GBV integration are being strengthened through new toolkits, and expanded training and technical assistance. USAID staff play active roles in co-chairing and supporting the interagency GBV committees. As a result, GBV programming is becoming more focused, sectorally diverse, and expansive.

In FY 2014, 2,515,862 individuals benefited from a U.S.-funded intervention providing GBV services exceeding the FY 2014 target of 537,175 persons. Twenty three USAID missions reported on this indicator in FY 2014 with 11 missions exceeding their FY 2014 targets: Bangladesh, Benin, the DRC, Ghana, Guatemala, Kenya, Mexico, Pakistan, Sri Lanka, Tanzania, and the USAID Bureau for Democracy, Conflict and Humanitarian Assistance. For example Bangladesh’s GBV interventions reached 14,784 beneficiaries exceeding its FY 2014 target of 13,254 persons. The Bangladesh results are due to significant improvements in integrated services for female survivors which allowed USAID to reach more female survivors than anticipated. In the DRC, USAID’s GBV service interventions in FY 2014 reached 40,656 beneficiaries compared to the FY 2014 target of 13,828 persons. The DRC interventions included education for GBV prevention in 54 schools. Members of Youth Clubs and School Student Governance Clubs were trained on GBV prevention and how to access referral systems.

Eight missions reporting on this indicator did not meet their FY 2014 targets. For example, Rwanda explained that its target of 160,000 cases was an interagency target. The USAID specific target was 7,183 set for its Rwanda Family Health Project. Since Rwanda’s GBV interventions reached 4,456 persons, the mission achieved 62 percent of its FY 2014 target. Vietnam reported that its FY 2014 results (389) on this indicator were lower than the target (489) because it took the mission more time than expected to prepare training materials for GBV relating to Persons with Disability, a subject that has not been openly discussed in Vietnam until recently. Mali and Ethiopia did not report FY 2014 targets or results, but set targets for FY 2015, illustrating growing interest in GBV programming and performance measurement within USAID.

## Indicator Methodology

Data source: The data for this indicator was collected and reported by USAID implementing partners. The data was gathered from USAID mission-selected projects in multiple sectors (health, education, humanitarian assistance, governance, etc.) designed to raise awareness of GBV or prevent GBV.

Data quality: There are limitations to this indicator. This indicator does not provide information about the quality of GBV services or the geo-social distribution of GBV services. Data gathering may run the risk of multiple-counting.



# Strategic Goal 4: Protect Core U.S. Interests by Advancing Democracy and Human Rights and Strengthening Civil Society

## Strategic Objective 4.3: Strengthen and Protect Civil Society, Recognizing the Essential Role of Local Capacity in Advancing Democratic Governance and Human Rights

### Strategies for Achieving the Objective

The State Department and USAID have developed new capabilities and partnerships that expand our capacity for engagement with civil society, and implement programs and policies to foster vibrant civic ecosystems worldwide. USAID is also working with local grassroots civil society organizations in an effort to increase local capacity.

The State Department is enhancing its people-to-people exchange programs and elevating youth issues as a policy priority. The State Department's youth policy led to the creation of a Special Adviser on Global Youth Issues and an Office of Global Youth Issues, and has exponentially expanded our outreach to young people around the world via direct engagement by diplomatic posts, exchange programs, virtual classrooms, and social media. Through these efforts, the United States is building ties to young professionals and emerging leaders in a global economy.

The Department of State engages a full range of tools, including diplomacy, foreign assistance and public-private partnerships, to optimize the Open Government Partnership (OGP) as a vehicle to support civic participation and make government more responsive, effective, and accountable.

The U.S. government also funds a broad range of technical assistance programs supporting civil society, including programs that track and monitor legislation that restricts the work of civil society in more than 40 countries. The Department works through the Community of Democracies to coordinate diplomatic responses to actions, including pending legislation abroad, that threaten civil society or could increase restrictions on the freedoms of association, assembly, and expression, online and offline. We also work multilaterally to provide targeted technical assistance to Civil Society Organizations (CSOs) and partner with 18 other governments and foundations through the *Lifeline. Embattled CSOs Assistance Fund* to offer emergency financial assistance when civic groups are threatened.

Defending Internet freedom is a central component of U.S. support for civil society, both through diplomatic efforts and the expenditure of over \$120 million in programming funds to date. For example, the United States supports the Digital Defenders Partnership, which provides emergency assistance for activists, bloggers, citizen journalists, and common citizens who have been harassed, threatened, or arrested for exercising their human rights online. This Partnership has also invested millions to strengthen civil society's capacity to advocate for laws and policies that facilitate unfettered Internet access. We support the development of technologies for activists in highly repressive environments and provide training to protect activists in these environments from harm. In developing countries, we strengthen civil society role in Internet policymaking and support their participation in global Internet governance. The Department of State and USAID will continue to strengthen civil society by providing training and offering tools for success while also working with partners in the philanthropic community to encourage domestic philanthropy and volunteerism abroad.

External factors, including competing U.S. geopolitical priorities, budgetary constraints on our foreign assistance, austerity measures by partner governments, and a lack of political will from like-minded partners to engage systematically, could impede our progress in advancing this objective.



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## Strategic Objective Progress Update

In 2014, an increasing number of governments inhibited the free operation of civil society and cut off CSOs ability to receive funding from legitimate sources, including foreign funding. In some cases, these restrictions arose out of the implementation of laws, regulations, and administrative measures that were being inappropriately applied; in other cases, the laws, regulations, and administrative measures by authoritarian governments were themselves problematic. This closing space for civil society is increasingly becoming a global development challenge. Governments have also become increasingly adept at sharing “worst practices” for cracking down on CSOs. The United States and a growing number of like-minded governments continued efforts to address this problem through President Obama’s *Stand With Civil Society* initiative, which mobilizes international like-minded partners to work together to combat increasing restrictions to civil society globally.

Although efforts to assist CSO are extremely important, successes have been rare and fragile. Libya's fledgling government consulted closely with civil society during the creation of its draft NGO law, but increasing recent governance and security challenges, particularly threats to civil society actors as well as administrative measures, have overshadowed the legislation process. One area of success – in terms of promoting consultative lawmaking - has been the recent passage in Burma of the Association Registration Law (ARL), which lays out regulations for the formation and registration of local and international NGOs. Through a combination of diplomatic engagement and foreign assistance, the U.S. government helped support the ARL’s public consultation process, which has been lauded by outside observers.

In September, President Obama deepened U.S commitment to *Stand with Civil Society* by issuing a Presidential Memorandum directing all U.S. agencies engaged abroad to strengthen and protect civil society. The Department has worked through the White House’s Stand With Civil Society interagency process to: (1) produce a menu of options for posts facing existing and prospective threats to civil society; (2) identify, in consultations with the regional bureaus, countries where the United States might intensify its efforts; and (3) set up an intranet site to which posts can share information on both the challenges they are facing and opportunities that exist despite those challenges. The Department also greatly increased the number of accredited NGOs which can participate at the UN.

OGP has grown from eight participating countries in 2011 to 65 countries today and over 2,000 commitments that affect over 1.5 billion people. However, government engagement of civil society as partners in developing and implementing transformative open government reforms has varied among OGP’s participants. The Department will utilize the full range of tools available to encourage participating countries to fully engage civil society in developing national action plans that meaningfully advance transparent, accountable government. We will also support the implementation of a one-year pilot Rapid Response mechanism that addresses when participating countries fail to uphold the values and principles of inclusive, transparent, and accountable government.

The Department is committed to providing core funding for the Community of Democracies (CD) to strengthen the architecture for global diplomatic action when governments are considering new laws, regulations, or administrative measures that restrict civil society in a manner inconsistent with their international obligations and commitments. This funding will also help CD facilitate expert consultations and dialogue with civil society representatives from repressive environments. We are also supporting an effort that enables CD governments and organizations to pool resources and co-finance projects that strengthen civil society and democracy worldwide—the CD-UNITED. The State Department continues diplomatic and financial support for Lifeline: Embattled CSOs Assistance Fund, a multilateral initiative in which the United States participates. Looking



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forward, additional U.S. funding to Lifeline will augment emergency assistance available to CSOs under threat and deliver more coordinated diplomatic engagement in priority countries.

Responding to the President's *Stand with Civil Society* agenda, USAID has: (1) expanded the CSO Legal Enabling Environment Program to work on improving the legal environment for civil society, and to respond to threatening restrictions; (2) provided critical mentoring to civil society organizations on how to assess and manage their digital security risks; (3) explored developing a new, innovative model to support civil society in restrictive environments through regional hubs; (4) partnered with USAID Regional Development Mission in Asia to develop a new Nonprofit Management Program at a Thai University; and (5) supported innovation grants, scale-up, and research to empower citizens to engage with government to voice their concerns and demands, and enable governments to respond through Making All Voices Count, a \$55 million partnership with the United Kingdom, Sweden Omidyar Network, and the Open Society Foundation.

The Department of State's Middle East Partnership Initiative (MEPI) program is a regionally-focused effort that empowers citizens in the Middle East and North Africa to develop more pluralistic, participatory, and prosperous societies. In FY 2013, MEPI provided assistance to over 800 CSOs engaged in community activism and made 91 grants directly to local organizations throughout the region. Through these awards, individuals across the region volunteered in their communities, identified issues of public concern and presented these to public officials.

## Performance Goal 4.3.1: Strengthen Civil Society, including Youth-Led Civil Society Organizations

**Performance Goal Statement:** By September 30, 2017, mainstream and expand engagement with civil society and youth-led CSOs, including by increasing by 25 percent the number of meetings U.S. embassies in countries participating in the Open Government Partnership (OGP) process convene between Civil Society Organization (CSO) OGP participants and CSO non-participants to broaden CSO participation in OGP, and by increasing to 85 percent the number of foreign participants under the age of 30 taking part in international exchange programs with the United States.

### Performance Goal Overview

The United States has made outreach to and support for civil society a cornerstone of its foreign policy. Non-state actors, ranging from NGOs to businesses to religious groups, are playing an ever greater role, both locally and globally. Global demographics are altering the political and economic landscape such that youth now have greater influence among non-state actors. More than 60 percent of the world's population is under the age of 30. That demographic, increasingly empowered by new technologies, is a major driver of economic and social progress. It is also among the great potential challenges to regional stability and security: 86 percent of all countries experiencing a new outbreak of civil conflict have populations with a significant majority under 30.

Today's most pressing foreign policy challenges require complex, multi-dimensional public engagement strategies to forge important bilateral, regional, and global partnerships. American diplomats meet not only with their foreign ministry counterparts, but also with tribal elders, youth activists, and local authorities. And for this reason, public diplomacy has become an essential element of effective diplomacy in the 21st century. Working with civil society is not just a matter of good global citizenship, but also a more effective and efficient path to advancing key foreign policy objectives.



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Other governments have recognized these dynamics and are developing new tools to enhance their engagement with civil society as well. In 2010, President Obama challenged the members of the United Nations General Assembly to work together to make all governments more open and accountable to their people. In September 2011, the United States and Brazil, joined by six other heads of state, announced the creation of the OGP. OGP is a multilateral initiative that supports national efforts to promote transparency, fight corruption, strengthen accountability, and empower citizens. At the core of the Partnership is a commitment from participating countries to undertake meaningful new steps as part of a concrete action plan, developed and implemented in close consultation with their citizens.

## Performance Goal Progress Update

### Key Indicator: Number of participants in the Young African Leaders Initiative

	FY 2014	FY 2015	FY 2016	FY 2017
Target	500	500	3,400	3,400
Actual	500			

### Indicator Analysis

The President's Young African Leaders Initiative (YALI) is a five-year initiative to support the next generation of African leaders as they work to drive economic growth, enhance democratic governance, and strengthen the civil society structures that will help the continent grow and prosper. This indicator reflects coordination between the U.S. Department of State and USAID on the YALI Mandela Washington Fellows (MWF) Program and, starting in FY 2016, on YALI Regional Leadership Centers (RLCs) located in Accra, Dakar, Pretoria and Nairobi. The Department of State manages the selection of MWFs, their training at host U.S. university institutes, and internships in the United States; while USAID oversees MWF professional development support for one year after their return to Africa. USAID is responsible for management of the RLCs and their training for YALI Participants.

In FY 2014 500 MWFs were selected and trained in the United States. Of these participants, 247 were women, 252 were men, and 1 was gender non-conforming. For FY 2015, 500 MWFs will be selected with a similar gender split, and four YALI Regional Leadership Centers will be procured and begin training YALI Participants on the continent. For FY 2016, 1,000 MWFs will be selected, and an estimated 2,400 YALI Participants will be trained at the RLCs.

### Indicator Methodology

Data source: For YALI participants who were Mandela Washington Fellows: Program records (including: participant signatures and scans of J-1s sent from U.S. Institute hosts; weekly check-in call reports; and, signature records from U.S. Summit). For YALI participants trained at Regional Leadership Centers in Africa: Program records (including: participant signatures and signature records from Center events).



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Data quality: For YALI participants who were Mandela Washington Fellows: Steps taken to ensure data reflect actual attendance include in-person verification of Fellow presence at U.S. Institutes and Presidential Summit by Institute and IREX staff. For YALI participants who trained at Regional Leadership Centers in Africa: Steps taken to ensure data reflect actual attendance include in-person verification of participant presence at Centers by USAID Regional YALI Coordinators and staff from four implementing partners and one monitoring and evaluation partner. Known data limitations are that these data sources do not confirm quality of participation.

**Key Indicator: Number of meetings U.S. embassies in Open Government Partnership (OGP) countries convene between CSO OGP participants and CSO non-participants to broaden CSO participation in the OGP process**

	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target		8	10	13	16
Actual	0	8			

## Indicator Analysis

The OGP met its FY 2014 target of eight meetings convened between CSO OGP participants and CSO non-participants in order to broaden CSO participation in the OGP process. While a total of 25 CSO OGP meetings were reported by posts, only eight were clearly described as including non-OGP CSO participants. With these FY 2014 results, the OGP countries are on track to meeting a 25 percent increase in the target for FY 2015.

FY 2014 results reported by posts in Sierra Leone, South Africa, Croatia, and Romania are examples of how this program relates to achieving the performance goal of strengthening civil society and the broader Strategic Objective of advancing democracy and human rights. In Sierra Leone, the Campaign for Good Governance praised the government's commitment to OGP. In South Africa, the embassy directly reached out to an NGO not currently involved in OGP. In Croatia, the government has approached its engagement with civil society in general as an element of OGP programming. And in Romania, the general approach is to reach a wider audience to increase public demand for open data.

## Indicator Methodology

Data source: The data for this indicator was collected by reaching out to select posts with: (1) host countries that participate in OGP; and (2) where the post is especially engaged in OGP dialogue and programs with the host country. Two countries in particular, Dominican Republic and Georgia were specifically contacted because they signed onto the 1 x 3 strategy to broaden the participation of CSOs.

Data quality: In collecting this data from U.S. Embassies, the Department has become aware of several limitations of utilizing this indicator. First is the distinction of OGP participant vs non-participant CSOs where U.S. Embassies do not necessarily have this information. Second is the assumption that broadening the network of CSOs is going to be each country's approach where in some cases it's strengthening existing CSO relationships or broadening public participation. Third, hosting meetings between currently participating and hitherto non-participating CSOs is just one means at U.S. Embassies' disposal to encourage broadening CSO participation in



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OGP; diplomatic efforts to encourage host governments to expand outreach to CSOs, and technical assistance efforts to build CSO capacity for participation or government capacity for managing inclusive processes may be just as if not more impactful. Finally, CSO engagement is a very important component of OGP but not the only one; which more broadly seeks to promote transparency and accountability in government as well as government responsiveness to citizens. There may be a more comprehensive indicator that could capture a fuller range of U.S. diplomatic and programming actions and their impacts on country efforts to optimize OGP as a tool for improving democratic governance. The Department is currently conducting a review of the use of this indicator and its data quality.

### **Key Indicator: Percentage of under-30 foreign participants in U.S. government and private sector-sponsored international exchange programs**

	FY 2014	FY 2015	FY 2016	FY 2017
Target	79%	81%	83%	85%
Actual	79%			

### **Indicator Analysis**

The percentage of under-30 participants in both private sector and official U.S. exchanges is at target for FY 2014. In both categories, young people who apply for professional, study and/or cultural experience in the United States — or who are recruited for State Department-sponsored international exchanges — remain a priority for embassies and for the relevant Washington program offices. The target levels off at 85 percent in FY 2017, given the natural age mix of both funded and private sector exchange programs and the need to include both senior and young leaders in public diplomacy efforts globally.

### **Indicator Methodology**

The data source for under-30 foreign participants in exchange programs sponsored or overseen by the State Department is the SEVIS database, used by the Department of Homeland Security to track all non-immigrant visitors under the J and G visa classification. The figures drawn from SEVIS show all participants in private-sector and U.S. government-funded exchange programs who started their programs in the U.S. in FY 2014, comparing the under-30 participants to the overall total. The targets for out years show only a modest rise, as the variables for funding of official exchanges and for private sector participation can fluctuate.



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**Key Indicator: Number of individuals receiving voter and civic education through U.S. government-assisted programs**

	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017
Target				55,087,384	73,589,893	33,243,280	27,667,175
Actual	19,108,679	58,020,113	140,950,044	65,046,830			

## Indicator Analysis

The provision of voter and civic education in developing democracies will help ensure that voters have the information they need to be effective participants in the democratic process, contributing to the development or maintenance of electoral democracy. This indicator counts any eligible voter that receives voter or civic education messages through print, broadcast, or new media, as well as via in-person contact. Voter and civic education also includes community-based trainings in underserved areas, public service announcements on electronic media, written materials, internet-based information and messages using the new media. Content may include voter motivation, explanation of the voting process, the functions of the office(s) being contested and descriptions of the significance of the elections in democratic governance.

One major contributing program for this indicator is USAID's Elections and Political Processes (EPP) Fund. The EPP Fund provides assistance in cases of critical unanticipated need to support free and fair electoral and political processes in mission countries. Through this fund, USAID advanced innovative programming ideas and supported free and fair elections in 16 countries.

## Indicator Methodology

Data Source: FY 2014 Performance Reports from Department of State and USAID Operating Units as collected in the Foreign Assistance and Coordination System.

Data Quality: Performance data are verified using Data Quality Assessments (DQA) and must meet five data quality standards of validity, integrity, precision, reliability, and timeliness. The methodology used for conducting the DQAs must be well documented by each OU. (For details, refer to USAID's Automated Directive System [ADS] Chapter 203.3.11, <http://www.usaid.gov/policy/ads/200/203.pdf>).



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**Key Indicator: Number of Civil Society Organizations receiving U.S. assistance engaged in advocacy interventions**

	FY 2011	FY 2012	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target				16,875	10,950	9,102	7,277
Actual	4,362	11,247	13,570	18,238			

## Indicator Analysis

Civil society participation in democratic policymaking improves the transparency and accountability of one's government and the legislative process. This measure captures more than one democracy and governance outcome—it indicates that CSOs have the capacity to substantively participate in democratic policymaking and that legislators are open to public participation. The indicator below measures CSOs' active participation in or engagement with the legislature, including: attending and contributing to committee meetings, sending policy briefs, sending comments on proposed legislation, and providing research. Civil society advocacy efforts, both with legislatures and legislative outreach and openness to civil society engagement, are also activities under this indicator.

While the targets for the indicator were met in the majority of reporting countries, the targets four out-years are declining due to refocused activities in Kenya from advocacy to community engagement after the 2013 election period and the closure of a program in Tunisia in FY 2014.

## Indicator Methodology

Data Source: FY 2014 Performance Reports from Department of State and USAID Operating Units as collected in the Foreign Assistance and Coordination System. Major programs that contribute to this indicator include USAID's Global Labor Program and the Office of Transition Initiative's programs in Tunisia, Yemen, Honduras, and Burma that support CSOs on reform efforts and democratic governance.

Data Quality: Performance data are verified using Data Quality Assessments (DQA) and must meet five data quality standards of validity, integrity, precision, reliability, and timeliness. The methodology used for conducting the DQAs must be well documented by each OU. (For details, refer to USAID's Automated Directive System [ADS] Chapter 203.3.11, <http://www.usaid.gov/policy/ads/200/203.pdf>).

# Strategic Goal 5: Modernize the Way We Do Diplomacy and Development

## Strategic Objective 5.1: Enable Diplomats and Development Professionals to Influence and Operate more Efficiently, Effectively, and Collaboratively

### Strategies for Achieving the Objective

The Department of State and USAID are pursuing several courses of action to achieve this objective. They will continue to explore balanced, smart, and lean approaches to addressing joint management issues. The Joint Management Board, which was a direct result of Government Accountability Office recommendations, will continue to find ways to drive efficiency into our overseas operations and reduce operating costs. The Department and USAID will continue to adopt balanced, smart, and lean methodologies for continuously improving core business processes, including the completion of joint voucherizing efficiencies by September 30, 2014. The Department and USAID will also leverage learning from each other to advance efficiency and effectiveness in their contributions to the achievement of Federal Cross-Agency Priority (CAP) Goals.

USAID and the Department will enhance their effectiveness by implementing new technology solutions. These are geared to improving the provision of American citizens services, streamlining and simultaneously enhancing the scrutiny given visa applicants, reducing operating costs, boosting collaboration, improving security and countering extremist threats, and broadening engagement opportunities. By applying existing and new analytical tools and data sources, USAID and the Department are aiming to strengthen their staffing and operations through identifying opportunities for more cost-effective procurement processes and foreign assistance management.

Another focus of the Department's efforts involves transitioning its engagement activities from ones which tended toward engagements that involved limited, exclusive, and direct contacts to an approach based on a culture of openness. This has resulted in the expanded use of digital communications platforms such as social media, digital video conferencing, smart phone applications, and similar means that allow the Department to reach directly to people and that open up its public engagement to all who are interested, not just the limited audience that can be invited to attend our events in person.

Innovations at USAID make it possible to deliver results on a larger scale while simultaneously pursuing more strategic, focused, sustainable, and results-oriented approaches that maximize the impact of our development dollars. Evidence-based planning and increased operational efficiency and effectiveness are among the factors accounting for the impressive improvements in performance and results.

USAID is also promoting sustainable development through building high-impact partnerships. USAID is collaborating with and directly supporting host governments, the private sector, civil society, and academia, all of which serve as engines of growth and progress for their own nations. USAID is using, strengthening, and rendering accountable local partners so they can sustain their own development. These and other efforts have made it possible to identify and scale up innovative, breakthrough solutions to hitherto intractable development challenges. For USAID, the power of science, technology, innovation, and partnerships are all being applied to the goal of delivering more effective, cost-efficient results for sustainable global development.

### Strategic Objective Progress Update

The Department of State and USAID have determined that performance towards this objective is making noteworthy progress in implementing management activities aligned around five key priorities which directly



# Strategic Goal 5: Modernize the Way We Do Diplomacy and Development

support the Joint Strategic Plan (JSP) Goal of enabling diplomats and development professionals to influence and operate more effectively, collaboratively, and efficiently.

USAID is modernizing the way it does development, advancing new theories of change, and institutionalizing its new model of development through enhanced public-private partnerships and multi-stakeholder alliances. These actions are part of the JSP, building on the USAID Forward reforms begun in 2010. USAID began systematically tracking activities that support this objective at a corporate level in November 2013 through the Agency's Administrator's Leadership Council. The Agency is beginning to make significant progress on its five corporate objectives due to these reforms.

Specifically, one of USAID's five corporate objectives focuses on ensuring it is a strategically managed and effective development partner. To accomplish this, USAID has adapted evidence-based strategic planning and results management best practices for its operations, which includes using data to drive management improvements and decision-making. For example, as part of its procurement reform and efforts to reduce the Procurement Administrative Lead Time (PAL), the Agency tracks the percentage of Independent Government Cost Estimates and Technical Evaluation Panel memoranda that meet Agency standards and the percent of memoranda of negotiation on file. In FY 2014, USAID met or surpassed the targets for these indicators. Moreover, by tracking these metrics USAID has identified areas that need improvement, such as specific training for procurement professionals and streamlining the process for evaluating technical panel memoranda.

## **Excellence in Consular Service Delivery (APG):**

In the face of increasing demand, the Department of State maintains timely and high quality consular service delivery by leveraging technology and building on best practices to ensure that American citizen and visa service delivery to the public is efficient, vigilant, professional, and within the targeted timeframes. The Department continues to exceed its goal of processing 99 percent of passport applications within the targeted timeframe. Passport Services processed 100 percent, 99.1 percent, 99.9 percent, and 99.4 percent of passport applications within the service level commitment to the American public in quarters one, two, three and four, respectively, and anticipates that it will continue to exceed its goal.

Executive Order 13597 (Establishing Visa and Foreign Visitor Processing Goals and the Task Force on Travel and Competitiveness), issued in January 2012, required the Department of State to increase its visa processing capacity in Brazil and China by 40 percent and ensure that 80 percent of nonimmigrant visa (NIV) applicants worldwide are interviewed within three weeks of receipt of an application. The Department surpassed the Executive Order target of a 40 percent increase in capacity, as defined by the number of adjudicating staff, in Brazil in June 2012 and in China in November 2012. Since January 2012, the Department added 60 new consular officer positions in Brazil and 92 in China, for a total of 118 and 196, respectively, as of end of CY 2014. In FY 2014, the Department of State adjudicated 11.6 million nonimmigrant visa applications, a 9.31 percent increase over FY 2013, and issued more than 9.9 million nonimmigrant visas. In FY 2014, 94 percent of applicants worldwide, on average, were able to schedule an interview within three weeks of submitting their applications, a significant change over the 82 percent in FY 2013.

'Excellence in Consular Service Delivery' provides additional benefits toward the achievement of the Department's goals. The Department's efforts facilitated the travel of 69.8 million visitors to the United States in 2013, who, according to the Department of Commerce, spent \$214 billion in the U.S. International travel supported an estimated 1.1 million jobs in the United States. In addition to the economic benefits, the



# Strategic Goal 5: Modernize the Way We Do Diplomacy and Development

Department's vigilant adjudication of visa and passport applications contributes to U.S. security by preventing applicants seeking to travel to the United States for illegitimate purposes.

ConsularOne is the Department's major information technology initiative to modernize, restructure, and enhance our consular software, as well as improve efficiency, security, and consistency across consular workflows. ConsularOne comprises a complete consular suite of application services, which will incorporate virtually all the major functions of domestic and overseas consular work into a common, intuitive, and integrated user interface, and improve how information is shared within the Department and across the government. The first phase of ConsularOne will be an online passport renewal (OPR), a service, which will enable U.S. citizens to submit passport renewal applications, payments, and photos electronically. OPR is scheduled to begin deployment in December 2015.

## **USAID Procurement Reform (APG):**

As a cornerstone of the USAID Forward reform agenda, the Agency is placing a greater emphasis on public-private partnerships; channeling funding to local governments and organizations that have the in-country knowledge and expertise to create sustainable positive change; and building new multi-partner alliances. USAID has nearly doubled the percent of mission program funds provided to local organizations and governments from 9.6 percent in FY 2010 to 17.9 percent in FY 2013 (FY 2014 data will be available in April 2015). USAID aspires to reach 30 percent by FY 2015.

USAID is also focused on streamlining the procurement process and institutionalizing a series of procurement reforms. One of its goals is to reduce the time it takes to award a contract, specifically to decrease its PALT by 40 percent from its 2009 baseline. As USAID anticipated, PALT increased in FY 2014 as the Agency works to address a backlog of large procurements which began prior to its reform efforts. USAID expects PALT to decrease in FY 2015 as the Agency institutionalizes the training and reforms to procurement processes and systems made during FY 2014. USAID is also supporting procurement reforms by developing templates, instituting an accountability review for complex awards, establishing procurement surge capacity, and disseminating best practices and lessons learned worldwide.

USAID has significantly increased contractor past performance assessment reporting (CPARS) from 11 percent at the end of FY 2012 to 59 percent at the end of FY 2014. Timely past performance data leads to improved technical evaluation panel reviews, which expedite the procurement process. In the fourth quarter of FY 2014, USAID's improvement stagnated due to an increase in contracting activity. The end of each fiscal year is very demanding on contracting personnel and they are unable to focus as much attention on bringing their CPARS current. However, USAID is taking strong and definitive action to meet the Office of Management and Budget's (OMB's) ambitious target for 100 percent CPARS completion by FY 2015, including the following: 1) providing CPARS online training and workshops; 2) updating CPARS guidance, and 3) providing days for global staff to devote all their attention to bringing all their past performance reports current and providing one-on-one technical support.

USAID is also increasing its number of small businesses partners. Small businesses are vital to the U.S. economy and provide critical resources that contribute to the mission of USAID. USAID more than doubled the percent of prime contract acquisition dollars obligated to U.S. small businesses worldwide from 5.5 percent in the beginning of FY 2014 to 12.1 percent in the final quarter, far surpassing the target of 6.5 percent. Performance against this indicator has been so successful that USAID has increased its FY 2015 target from 9 percent to 10 percent.



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## **Stakeholder Collaboration and Audience Engagement:**

USAID and the Department of State have made progress on enhancing stakeholder collaboration and audience engagement. USAID launched a new social and content collaboration platform, MyUSAID.gov, which enables all USAID employees to better connect, collaborate, and locate the information and resources needed to execute our mission. USAID also established the Information Governance Committee to ensure that USAID adopts a unified, collaborative, and transparent approach to information and data collection, sharing, quality assurance, and integration. The body defines information and data governance roles and responsibilities, develops policy, applies lessons learned, and ensures compliance with OMB and Agency policy to make data open and machine readable. USAID's Development Data Library, [www.usaid.gov/data](http://www.usaid.gov/data), currently contains 77 datasets available for public use and is updated on an ongoing basis. The site also offers the public an opportunity to post questions or comments about the data on public forums.

In October 2014, USAID released its first ever open data policy, requiring that all USAID-funded data be submitted to the Development Data Library and released publicly to the greatest extent possible, while affording all protections for individual privacy, operational and national security, and other considerations allowable by law. Evaluation Reports are already available through the Development Experience Clearinghouse (DEC). Of the almost 230 project evaluations completed in FY 2014, close to 40 percent are already available online in the DEC as of January 12, 2015 and many more are expected to be posted online in the coming months.

## **Human Capital Management and Business Process Improvement:**

The Department of State is on track to continue efforts to implement its respective human capital management strategies and regularly review existing business practices and processes to identify areas for improvement and innovation. The Department is on pace to create a more diverse and representative employee population and achieve an 80 percent fill rate of Language Designated Positions by employees who meet or exceed the language requirements.

## **A Secure Diplomatic and Development Platform:**

The Department of State is on track to complete a Master Plan revision by September 2014 and an Environmental Impact Study by 2015 for the Foreign Affairs Security Training Center (FASTC). In addition to this effort, the Department moved 1,439 personnel into more secure, safe, and functional facilities in FY 2014, under the Capital Security Construction Program.

USAID has a dedicated program underway to implement the Homeland Security Presidential Directive-12 requirement of Personal Identification Verification (PIV) usage across USAID. One hundred percent of Microsoft desktops and laptops are now equipped with PIV card readers inside Washington facilities. As of February 2015, all USAID Washington personnel are now required to log on using a PIV card. Implementing PIV overseas will require policy review and collaboration between USAID and the Department to determine how we should incorporate Foreign Service National staff.



# Strategic Goal 5: Modernize the Way We Do Diplomacy and Development

## Performance Goal 5.1.1 (Agency Priority Goal): Excellence in Consular Service Delivery

**Performance Goal Statement:** Through September 30, 2015, maintain a 99 percent rate of all passport applications processed within the targeted timeframe and ensure 80 percent of nonimmigrant visa applicants are interviewed within three weeks of the date of application.

### Performance Goal Overview

The mission of the Bureau of Consular Affairs (CA) at the Department of State is to provide consular operations that most efficiently and effectively protect U.S. citizens, ensure U.S. security, facilitate the entry of legitimate travelers, and foster economic growth. Two core functions of this mission are the provision of passports and visas. Demand for passport and visa documents is inherently unpredictable in the long term, and this variability can greatly affect workload planning efforts. This is true especially with regard to the current Congressional discussion surrounding comprehensive immigration reform and the potential challenges the State Department would face in implementing any reform legislation. While the proposed reforms would have a major impact on consular operations and workload, the Department will work closely with Congress and its interagency partners to be sure it has the human and financial resources to implement any changes to U.S. law efficiently and effectively.

Domestically, the State Department supports a significant presence across the country to respond to the consular service needs of the U.S. public. Most notably, this presence consists of 29 passport agencies and centers and a network of more than 8,441 public offices managed by other federal, state, and local government agencies/offices that are designated to accept passport applications. The number of valid passports in circulation has doubled in the past decade. Approximately 114 million U.S. citizens, or 37 percent of the population, have valid passports. In FY 2013, the Department issued 13.5 million passport book and card products, a 3.1 percent increase over FY 2012.

Executive Order 13597 (Establishing Visa and Foreign Visitor Processing Goals and the Task Force on Travel and Competitiveness), issued in January 2012, required the Department of State to increase its visa processing capacity in Brazil and China by 40 percent and ensure that 80 percent of NIV applicants worldwide are interviewed within three weeks of receipt of an application. The Department surpassed the Executive Order target of a 40 percent increase in capacity, as defined by the number of adjudicating staff, in Brazil in June 2012 and in China in November 2012. Since January 2012, the Department added 60 new consular officer positions in Brazil and 92 in China, for a total of 118 and 196, respectively, as of end of CY 2014. In FY 2014, the Department of State processed 11.6 million nonimmigrant visa applications, a 9.31 percent increase over FY 2013, and issued more than 9.9 million nonimmigrant visas. In FY 2014, 94 percent of applicants worldwide, on average, were able to schedule an interview within three weeks of submitting their applications, a significant change over the 82 percent in FY 2013.

The ‘Excellence in Consular Service Delivery’ goal provides additional benefits toward the achievement of the Department’s goals. The Department’s efforts facilitated the travel of 69.8 million visitors to the United States in 2013, who, according to the Department of Commerce, spent \$214 billion. International travel supported an estimated 1.1 million jobs in the United States. In addition to the economic benefits, the Department’s vigilant adjudication of visa applications contributes to U.S. security by refusing applications from persons seeking to travel to the United States for illegitimate purposes.



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## Performance Goal Progress Update

The Department effectively distributed applications across the network of passport agencies and centers to ensure that resources were fully employed and customer service timeframes were met. The Department's analysis of workload ensured the timely processing of passport applications in the highest demand months. The Department implemented new efficiencies and process improvements to exceed the requirements of Executive Order 13597, which mandates that 80 percent of NIV applicants are interviewed within three weeks of requesting an appointment.

**Key Indicator: Percent of all passport applications processed within the targeted timeframe, as shown on the Department's website**

	FY 2013	FY 2014	FY 2015
Target	99%	99%	99%
Actual	99%	99%	

### Indicator Analysis

The Department continued to meet its goal of processing 99 percent of passport applications within the targeted timeframe. The Department anticipates that Passport Services will continue to meet its goal in the first quarter of FY 2015. In FY 2014, the Department issued 14.1 million passport book and card products, a 4.1 percent increase over FY 2013.

### Indicator Methodology

Data source: CA generates reports out of its management information system of record in order to determine if we are meeting our customer service expectations posted on travel.state.gov. The reports track the total number of days an application takes to complete, including processing times.

Data quality: There are no known data limitations and the reports are automatically generated based on workload data from passport processing systems. The reports are checked for completeness and compared to prior reports for trend analysis.

**Key Indicator: Percent of all applicants interviewed worldwide within three weeks of the date of application (Target = 80% per Executive Order 13597)**

	FY 2012	FY 2013	FY 2014	FY 2015
Target	80%	80%	80%	80%
Actual	80%	90%	94%	

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## Indicator Analysis

The Department continued to exceed the goal of interviewing at least 80 percent of applicants for B1/B2 (tourism and business) visas within three weeks of their request for an interview.

## Indicator Methodology

Data source: CA collects information from the Consular Consolidated Database (CCD) and reports on the percentage of applicants able to obtain an interview appointment within the next 21 days

Data quality: The data obtained through CCD is potentially subject to human error as well as occasional inconsistency in the timeliness of updating this data. CA is making efforts to ensure data quality through the establishment of automated wait times data reports, which would eliminate the potential errors. Until such time, CA is conducting ad hoc audits of CCD wait times data to ensure accuracy.

## Performance Goal 5.1.2 (Agency Priority Goal): USAID Procurement Reform

**Performance Goal Statement: By September 30, 2015, USAID will reduce procurement administrative lead time (PAL) by 40 percent from the 2009 baseline of 513 calendar days, increase the percentage of program funding going directly to local partners to 30 percent, and meet or exceed the prime contract acquisition dollars obligated to U.S. small businesses worldwide by 10 percent from the FY 2013 baseline of 8.2 percent.**

## Performance Goal Overview

As a cornerstone of its USAID Forward reform agenda, USAID has begun a critical shift in the way the Agency administers assistance, placing a greater emphasis on public-private partnerships, channeling funding to local governments and organizations that have the in-country knowledge and expertise to create sustainable positive change, and expanding the Agency's partner base. USAID is also focused on streamlining the procurement process, building new partnerships, and institutionalizing the Agency's USAID Forward reforms.

USAID is committed to working with local governments and organizations and is tailoring its approach to doing business accordingly. The Agency's Local Solutions initiative will focus on the following:

- Convening USAID partners from across local organizations, such as governments, civil society, the private sector, donors, and implementing resource partners, to identify development challenges;
- Connecting these stakeholders with innovative products, processes, or policies to address these challenges; and
- Contextualizing and scaling up these solutions within local systems

By doing the above, the Agency will support sustainable development results and allow cooperative and mutually accountable relationships to grow. These relationships between USAID and partner country stakeholders are critical to the development of resilient societies that can deliver results to their citizens.

The Agency collaborates with local stakeholders by investing in in-country projects and programs through its procurement process. Given the important role that procurement plays in enabling USAID to carry out its mission around the world, it is critical that the Agency's acquisition and assistance processes operate efficiently



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and effectively to achieve the Agency's development objectives. In FY 2009, the average time for USAID to award a contract originating in Washington was 513 calendar days. This delay in PALT for awarding contracts resulted in a delay in program implementation. Therefore, reducing the time it takes to make an award is a critical priority for the Agency.

Small businesses are vital to the U.S. economy and provide critical resources that contribute to the mission of USAID. By expanding opportunities for U.S. small businesses, the Agency energizes the U.S. economy and leverage a greater diversity of experience and expertise in the Agency's development objectives. U.S. small businesses make up a majority of U.S. businesses, and USAID partners with these businesses to increase innovation and provide new approaches to the Agency's programs.

## Performance Goal Progress Update

The Agency continues to strive to improve the way it does business, modernizing the way it does development and enhancing efficiency and effectiveness. USAID's indicators for this performance goal provide a snap shot of these processes as they relate to procurement reform.

In FY 2014, the Agency made tremendous progress on this APG. USAID exceeded its target for prime contract acquisition dollars obligated to U.S. small businesses by nearly six percentage points, demonstrating the value add of working with this critical market segment. While USAID did not reach the target for its CPARS indicator, the Agency jumped nearly 50 percentage points since the end of FY 2012. USAID also met or exceeded its contracting officer fill rate indicator for most of FY 2014, until the final quarter, but expects to recover in FY 2015. Due to a backlog of old procurements in the Agency pipeline, PALT for Washington Acquisitions increased three days over the FY 2009 baseline. USAID anticipated the increase and expects PALT to decrease in FY 2015 as it institutionalizes the training and reforms to procurement processes and systems made during FY 2014.

### Key Indicator: Procurement Administrative Lead Time (PALT) for Washington Acquisitions in calendar days

	FY 2014	FY 2015
Target	268	268
Result	517	

### Indicator Analysis

As expected, PALT for Washington Acquisitions increased to 517 calendar days in FY 2014 due to the processing of backlogged procurement actions that had been in the system since before reforms were initiated. USAID completed the backlog and no old procurements remain in the pipeline. Therefore, the Agency expects PALT to decrease in FY 2015. USAID has taken the following steps to promote procurement efficiency and effectiveness, helping ensure this decrease occurs and reach its goal of the 40 percent reduction from the FY 2009 baseline of 513 calendar days:

- Developing additional procurement trainings and templates;
- Instituting an accountability review for complex awards;



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- Hiring additional contracting personnel to effectively manage the procurement workload;
- Streamlining the number of PALT milestones in the Agency's electronic procurement system, Global Acquisition and Assistance System (GLAAS);
- Instituting mandatory scanning and storage of all award documentation in the Agency Secure Image and Storage Tracking system for immediate, worldwide access;
- Requiring milestone plans as part of the submissions to the Contract Review Board for awards \$25 million and above; and
- Streamlining procurement planning.

## Indicator Methodology

USAID calculates PALT using data from GLAAS, and the memoranda of negotiation (hard copy) for each award. The Agency averages the number of calendar days for each award, then submits the full milestone plan and dates to the Bureau for Management for review, which provides a final quality check and approves the calculations.

USAID includes only full and open acquisition awards based in Washington worth \$25 million or above in the PALT indicator. These awards are the most complex and tend to take a longer period of time to complete. The sample pool is small; consequently, PALT can vary widely from year to year. To adjust for these variations, USAID reports a three-year average for each year.

## Key Indicator: Percentage of mission program funds implemented through local systems.

	FY 2014	FY 2015
Target	USAID does not establish public interim targets	30%
Result	N/A	

## Indicator Analysis

FY 2014 data for the indicator "Percentage of mission program funds implemented through local systems" will be available in April 2015.

## Indicator Methodology

USAID collects data for this indicator using Phoenix, the Agency's corporate financial management system. Data are taken from a consistent set of 79 missions overseas. The data is subsequently reviewed and verified by missions, regional bureaus, and Local Solutions subject matter experts.

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**Key Indicator: Percent of contractor performance assessment reports (CPARS) completed in Past Performance Information Retrieval System (PPIRS).**

	FY 2014	FY 2015
Target	80%	100%
Actual	59%	

## Indicator Analysis

Bringing performance reports current makes the vendor selection process more efficient, thus reducing the time to make an award. It also allows USAID to choose the top-performing contractors for future awards. USAID increased its CPARS compliance rate significantly, jumping from 11 percent at the end of FY 2012 to 59 percent by the end of FY 2014. In FY 2015, USAID is committed to both bringing overdue assessments up-to-date, and more fully integrating past performance reporting into its standard business practices, so that future assessments are kept current year-round. The Bureau for Management and Agency staff have increased focus on past performance reporting and are taking the following steps to reach OMB's ambitious FY 2015 goal of 100 percent completion:

- Providing online CPARS training that educates staff on policies and regulations, past performance reporting workflow, and system navigation;
- Providing a CPARS workshop focused on writing contractor performance narratives;
- Updating CPARS guidance and templates;
- Instructing contracting personnel to keep a log of contractor performance for when an official assessment report is required, and entering these notes into CPARS on a quarterly basis;
- Providing “Focused Engagement Days” for global staff to devote all their attention to bringing all past performance reports current, and providing one-on-one technical support; and
- Providing monthly reports to Agency leadership to enable them to better hold staff accountable for compliance.

## Indicator Methodology

Contracting personnel are required to enter performance reports into CPARS when applicable for the contract. USAID generates the CPARS compliance rate from PPIRS, and reports the figures to Agency leadership at least quarterly.



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**Key Indicator: Percent of prime contract acquisition dollars obligated to U.S. small businesses worldwide.**

	FY 2014	FY 2015
Target	6.5%	10%
Actual	12.1%	

## Indicator Analysis

In recent years, USAID has actively promoted the use of small businesses by bureaus and missions in their contracts. In FY 2014, the Agency increased its percent of prime contract acquisition dollars obligated to U.S. small businesses worldwide to 12.1 percent, surpassing the target of 6.5 percent. Due to this success, the Agency increased its FY 2015 target to 10 percent from 9 percent.

USAID attributes its success to increased leadership communication regarding small business use. The Agency holds meetings with senior leadership to plan and discuss procurement awards to ensure that the Agency meets its needs in the most effective, economical, and timely manner possible. These meetings also provide an opportunity to highlight small business use and identify opportunities to expand their use. The Agency utilizes U.S. small businesses to build capacity of local organizations at some missions, and sees an opportunity to replicate this model in other countries in the future.

## Indicator Methodology

USAID generates the data for this indicator from the Federal Procurement Data System. The Agency then aggregates the prime contract dollars of the U.S. small business acquisition dollars obligated in a fiscal year. (These small businesses must be identified as a small business in GLAAS.) USAID then divides this number by its total worldwide prime contract acquisition dollar obligations.

**Key Indicator: Percent of Office of Acquisition and Assistance (M/OAA) contracting officer series 1102 (Civil Service) and BS 93 (Foreign Service) positions filled.**

	FY 2014	FY 2015
Target	91%	94%
Actual	87.7%	



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## Indicator Analysis

The contracting officer fill rate continued to climb throughout FY 2014, until the final quarter, when it stagnated. This is due to several factors, the primary being that the final quarter is when Foreign Service Officers (FSO) transfer missions. Many FSOs are not at their new post yet, some are in language training, some new positions are unfilled, and some missions have staffing level changes.

The Agency expects to increase the contracting officer fill rate in FY 2015, and is working hard to do so by continuing the planning exercises that align staffing with priorities, including hiring additional contracting officers. Hiring additional staff in recent years has provided USAID with the necessary contracting officers to more effectively manage the workload and help reduce the amount of time it takes to make an award.

## Indicator Methodology

USAID calculates the contracting officer fill rate by dividing the number of filled positions by the total number of available positions. USAID tracks the contracting officer fill rate by referencing monthly Agency staffing patterns. For Civil Service (1102), the staffing pattern is located on the Agency's intranet. USAID's procurement office maintains its own staffing pattern for Foreign Service contracting officers (BS-93), which is more complicated due to consistent movement of Foreign Service Officers.

## Performance Goal 5.1.3: Stakeholder Collaboration and Audience Engagement

**Performance Goal Statement:** By September 30, 2017, increase the number and effectiveness of communication and collaboration tools that leverage interactive digital platforms to improve direct engagement with both domestic and foreign publics. This will include increasing the number of publicly available data sets and ensuring that USAID-funded evaluations are published online, expanding publicly available foreign assistance data, increasing the number of repeat users of International Information Programs' digital services, and better directly countering extremist messaging via the Department's Center for Strategic Counterterrorism Communications.

## Performance Goal Overview

Improving collaboration with internal and external customers and stakeholders and advancing the Department and USAID's digital communication strategy to better engage with various audiences and counter extremist messages are the key priorities for this performance goal. To facilitate collaboration and enhance transparency, USAID and State have embraced the President's Open Government and Data Initiatives, which support efforts to create a more efficient, effective, and accountable federal government.

USAID is working hard to ensure that it effectively communicates its development efforts and successes to the American people, stakeholders, and partners at home and abroad. By making data, programs, and evaluations easily accessible, the Agency is helping to create a global commons of development practice that is evidence-based and shares knowledge to inform new approaches in development.



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## Performance Goal Progress Update

As the Department's lead public diplomacy communications bureau, the Bureau of International Information Programs (IIP) adopted a new strategy in FY 2014 to create and distribute content in a digital-first format, making it findable and shareable across a wide variety of platforms. To support this, the bureau launched a new site, ShareAmerica.state.gov, a tool that allows for ease of sharing and distribution of the Department of State content on the web. The content itself is created in a timely manner to keep up with the pace of social media and is designed to engage the user, encouraging them to share the content with others and continue the discussion. The content is comprised of high-quality multimedia and written pieces and is centered on our key U.S. foreign policy priorities. The more the content is shared, the broader the conversation around U.S. foreign policy topics will become.

USAID issued its first ever open data policy ([ADS 579 – USAID Development Data](#)) on October 1, 2014, and all USAID grants, contracts, and cooperative agreements now require implementing partners to submit datasets created under their awards directly to the Development Data Library (DDL) at [www.usaid.gov/data](http://www.usaid.gov/data). The DDL also provides a mechanism for domestic and foreign publics to engage with USAID about its public data. Thanks to these efforts, USAID is one of only two U.S. government agencies that are 100 percent compliant in all eight metrics related to open data, as reported on the Performance.gov website. This represents a significant step in improving and enhancing stakeholder collaboration and audience engagement. It also complements the existing qualitative foreign assistance resources available on the DEC.

### Key Indicator: Change in the number of repeat users of the Bureau of International Information Programs' (IIP) digital services, platforms and products.

	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target		417,804	459,584	505,543	556,097
Actual	379,822	826,314			

### Indicator Analysis

The FY 2014 result is a good indicator that this new digital-first strategy will allow IIP to meet its strategic goals. Since this is the first year using the ShareAmerica platform, the Department expects the increase in users to continue as the bureau continues to hone its digital outreach strategy. In FY 2014, IIP instituted processes for analytics data to inform the editorial decisions and content creation, which sets up the structure for the bureau to improve program performance and meet future targets. With the use of this new approach in FY 2014, IIP not only met performance goal, but increased the number of repeat users of its digital content by more than 100 percent from the previous year.

- *Data for this performance goal has been updated as of January 2015 to reflect a full fiscal year. The previous metric had only included one quarter of data. We are now able to go farther back and look at historical data for the entire fiscal year. As a result, the data now more accurately reflects the usage and reach of IIP's digital outreach strategies.*



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## Indicator Methodology

Data is collected via Google Analytics reporting for each of IIP's digital outreach platforms. While this data shows the number of repeat visitors to IIP's digital public diplomacy content, challenges still exist with respect to analyzing usage and reach.

### Key Indicator: Percent of USAID-funded evaluations that are published online.

	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target		80%	75%	80%	99%
Actual	67%	38%*			

\* FY 2014 results are preliminary based on data collected as of January 2015.

## Indicator Analysis

As of January 2015, preliminary data reported by USAID missions and bureaus suggest that at least 38 percent of evaluation reports completed in FY 2014 are posted online and available to the public. This percentage will improve over the next few months as evaluation reports from FY 2014 are finalized and posted.

USAID will be working with staff and partners to ensure that all evaluation reports are posted online, barring rare exceptions related to safeguarding partners or foreign assistance interests. Based on previous year data, less than 5 percent of evaluations fall under these exceptions.

## Indicator Methodology

Data Source: USAID operating units that report in the Performance Plan and Report (PPR) and upload reports to the DEC and then compiled and cleaned by USAID Washington Bureau for Policy, Planning and Learning staff.

Numerator (number of completed evaluations): Self-reported by USAID Operating Units (OUs) each year in the Evaluation Registry of the PPR. That number is then reviewed with some entries being excluded based on errors.

Denominator: (number of completed evaluations submitted to the DEC): Self-reported by USAID OUs each year in the Evaluation Registry of the PPR. Each evaluation entry has a field where the link to the report on the DEC should be provided.

Data Quality: Limitations include (1) a time lag in the data since it comes from the previous year's PPR, and (2) reporting errors or under-reporting by Missions.



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## Key Indicator: Number of data sets added to usaid.gov/data

	FY 2014	FY 2015	FY 2016	FY 2017
Target	200	20	20	20
Actual	77			

### Indicator Analysis

USAID's target of adding 200 datasets in FY 2014 was set anticipating that the data from each country receiving USAID assistance as noted on the Foreign Assistance Dashboard (FA.gov) would be listed as a distinct dataset. At the request of the Office of Management and Budget in the White House, USAID consolidated the FA.gov listings into a single data set, which reduced the total dataset count in FY 2014.

With the issuance of USAID's first ever open data policy ([ADS 579 – USAID Development Data](#)) on October 1, 2014, all USAID awards require implementing partners to submit datasets directly to the DDL ([www.usaid.gov/data](#)). The number of datasets submitted (and ultimately posted for public use) will gradually increase over the coming years, once awards have had time to generate and validate data. The pace at which datasets are added will also increase gradually as USAID replaces manual clearance procedures with automated business processes.

### Indicator Methodology

Data source: The total number of datasets available to the public can be ascertained via the DDL website at [www.usaid.gov/data](#). USAID staff also maintain a roster of all datasets as they pass through a rigorous clearance process. This roster includes a record of the publication date for each dataset. The total number of datasets added to [www.usaid.gov/data](#) annually (or for any other time period) is derived from the publication date in this roster.

Data quality: USAID's [submission form](#) for the DDL offers submitters the opportunity to record any known issues with the quality of the data. This information is also made available to the public once the dataset itself is published. Once datasets are submitted, USAID staff also perform a quality check to ensure that data are in machine-readable, non-proprietary formats, and are accompanied by descriptive documentation such as codebooks or data dictionaries.

### Performance Indicator Change from FY 2015 APP

The FY 2015 APP included an additional key performance indicator, "Number of CVE support engagements with U.S. Embassies in target countries." This performance indicator has been removed for a number of reasons. The focus of this performance goal is Stakeholder Collaboration and Audience Engagement, specifically "through leveraging interactive digital platforms to improve direct engagement with domestic and foreign publics," and "better directly countering extremist messaging via the Department's Center for Strategic Counterterrorism Communications." However, this specific indicator is intended to measure CSCC's Countering Violent Extremism



# Strategic Goal 5: Modernize the Way We Do Diplomacy and Development

(CVE) support engagements with U.S. Embassies, and not to measure countering extremist messaging, per se. In general, CVE programming more closely resembles programs for curtailing recruitment into militias or gangs than traditional public diplomacy or development programming, particularly that which is digitally based. Therefore, a count of number of CVE support engagements with U.S. embassies does not measure performance against the performance goal that is focused on stakeholder collaboration and audience engagement.

This performance goal also includes – and should retain - countering extremist messaging via the Department's interagency Center for Strategic Counterterrorism Communications (CSCC), an effort separately implemented from the CVE programming mentioned above.

Additionally, the CSCC coordinates, orients, and informs government-wide foreign communications activities targeted against terrorism and violent extremism, particularly al-Qaida and its affiliates and adherents.

## Performance Goal 5.1.4: Human Capital Management and Business Process Improvement

**Performance Goal Statement:** Through September 30, 2017, the Department will continue efforts to implement its respective human capital management strategies and regularly review existing business practices and processes to identify areas for improvement and innovation. The Department will create a more diverse and representative employee population and achieve an 80 percent fill rate of Language Designated Positions by employees who meet or exceed the language requirements.

### Performance Goal Overview

Diversity, included in the Quadrennial Diplomacy and Development Review and the Bureau of Human Resources (HR) Functional Bureau Strategy, remains a priority goal for the Department.

To help guide our efforts through FY 2017, HR and the Office of Civil Rights are updating the Department's Diversity and Inclusion Strategic Plan. The plan, together with our extensive workforce planning and analysis of the results of the Employee Viewpoint Survey, will move the Department toward achieving its goal of representing every face and every corner of our diverse nation, while promoting fairness and transparency and maximizing performance to meet the challenges of 21st century diplomacy.

Foreign language proficiency is one of the Department's strengths, central to meeting our national security objectives. To fulfill those objectives, the Department has strategically grown language-designated positions, recruited for specific languages, introduced advanced training for certain languages/positions, and continues to develop methods to improve the maintenance of language skills – all with the goal of ensuring that employees arrive at their assignment on-time, with the required foreign language skills.

### Performance Goal Progress Update

In FY 2014, the Department continued to make steady progress on filling Language Designated Positions (LDPs), meeting the target of a 77 percent fill rate. Proficiency in languages such as Arabic and Chinese, among others, is required to conduct outreach to foreign audiences, negotiate and consult with foreign governments, and effectively assist American citizens at embassies and consulates around the world.



# Strategic Goal 5: Modernize the Way We Do Diplomacy and Development

**Key Indicator: Percent of Language Designated Positions (LDPs) filled by employees who meet or exceed the language requirements**

	FY 2011	FY 2012	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target				77%	78%	79%	80%
Actual	72%	74%	76%	77%			

## Indicator Analysis

The Department's LDP fill rate is progressing according to our set goal. The actions that have contributed to our progress include the development of a separate and earlier assignment cycle for priority posts, strategic use of limited non-career employees, and increased availability of language training (that resulted from FY 2010 and FY 2011 hiring).

The assignment cycle and greater access to short and long term training have contributed to better matching between assignments and officers. Additionally, strategic hiring and the use of limited non-career appointees to fill the rapidly growing number of Consular LDPs at posts in Brazil, China and Mexico has also contributed to the increase in the LDP fill rate (and the decrease in overall vacancy rates abroad).

Annual Foreign Service attrition is about 3-4 percent. When officers leave the Foreign Service, they take their language and tradecraft skills; thus, it is important that the Department has a cadre of trained officers who can succeed retiring/exiting officers. Maintaining this cadre of well-trained officers is contingent upon our budget and our ability to: (1) hire new officers; and, (2) offer more opportunities for short and long-term language training without creating vacancies abroad.

## Indicator Methodology

Because of the timing of Foreign Service (FS) assignment cycle, the most complete picture of LDP fill rates falls in the second quarter of the fiscal year (due to FS personnel transitioning between posts and positions at certain times of the year, especially during the summer months). Therefore, we are using LDP fill rates for the second quarter of FY 2014 (January to March).

## Performance Goal 5.1.5: A Secure Diplomatic and Development Platform

**Performance Goal Statement:** By September 30, 2017, the Department and USAID will: relocate 6,000 U.S. government employees into more secure and functional facilities; ensure that 100 percent of all State and 100 percent of USAID personnel use Personal Identity Verification (PIV) Card authentication as required by Homeland Security Presidential Directive 12 (HSPD-12); achieve 80 percent completion on a Foreign Affairs Security Training Center (FASTC) toward a full training capability in FY 2018; and neutralize cyber threats detected against the Department's network and assets.



# Strategic Goal 5: Modernize the Way We Do Diplomacy and Development

## Performance Goal Overview

The Department of State and USAID are focusing on improving the security of their respective networks by implementing the U.S. government's priority cyber security capabilities.

Per Homeland Security Presidential Directive 12 (HSPD-12), every U.S. government department and agency will improve their protection against unauthorized system and facility access through the use of an advanced identity management mechanism.

Ensuring that only the right people are allowed on the systems, coupled with an increasingly sophisticated cyber security infrastructure, means that the Department and USAID are able to carry out our mission while maintaining our security.

As the number and variety of the Department's activities continue to grow, the Department's ability to keep personnel safe from physical and virtual threats is a top priority. Since 2013, Congress has provided \$2.2 billion in security related capital funds, enabling us to build new, more secure facilities and mitigate risks in existing facilities.

The Department of State and USAID are striving to ensure that all personnel, whether they are diplomats, development professionals, security agents or family members, receive the right training at the right time so that everyone is a contributor to overall security.

## Performance Goal Progress Update

**Key Indicator: Number of U.S. government employees overseas moved into secure, safe, and functional facilities**

	FY 2013 Baseline	FY 2014	FY 2015	FY 2016	FY 2017
Target		1,500	1,500	1,500	1,500
Actual	2,290	1,439			

## Indicator Analysis

The Bureau of Overseas Building Operations (OBO) achieved the FY 2014 target for the number of U.S. government employees overseas moved into secure, safe, and functional facilities. The FY 2014 result of 1,439 total people moved is the equivalent of achieving the desired target. Setting target years in advance for construction projects are made with the understanding that final totals may be slightly above or below the target number.

New Embassy Compounds are constructed to meet the required building population as determined by various right-sizing exercises. New Embassy Compounds vary considerably in size and building population. The 1,500 target was based on a multi-year average and was deemed acceptable by all parties concerned.



# Strategic Goal 5: Modernize the Way We Do Diplomacy and Development

Continuing Congressional support for the Capital Security Construction Program in future years is critical to the Department achieving these targets. Congress has been supportive in the past and we anticipate meeting or exceeding our annual targets if the Congress continues to fund the program at requested levels.

## **Indicator Methodology**

Information is provided internally from OBO's Office of Construction Management. Data is collected, monitored, and reported on a monthly basis to senior staff. There are no known data limitations or quality issues. Bureau offices review the data to track project milestones and project completions ensuring the accuracy of total people moved in the fiscal year.



# Annex I: Summary of Key Performance Indicators

## Annex I: Summary of Key Performance Indicators

Indicator Title	FY2013 Results	FY 2014 Target	FY 2014 Results	FY 2015 Target	FY 2016 Target	FY 2017 Target
<b>Strategic Goal 1: Strengthen America's Economic Reach and Positive Economic Impact</b>						
The number of State Department high-level commercial advocacy efforts to support U.S. export of goods and services	24	28	35	34	40	48
Time to export (in days)	29	28	28	28	27	27
Time to import (in days)	35	34	34	33	32	31
Number of foreign students studying in the U.S.	819,644	860,626	886,052	903,657	948,840	996,282
Number of senior-level science and technology innovation dialogues with key foreign governments	8	9	10	10	11	12
Percent of U.S. Global Development Lab innovations/technologies that reach more than 1 million people	N/A	10%	N/A	10%	10%	10%
Percent of U.S. Global Development Lab innovations/technologies that reach more than 5 million people	N/A	1%	N/A	1%	1%	1%
Number of farmers and others who have applied new technologies or management practices as a result of U.S. government assistance	N/A	7 million	6.8 million	8 million	N/A (APG)	N/A (APG)
Amount of Feed the Future funds disbursed since 2010	See Performance Goal 1.2.1 for Quarterly Result and Target Data					
Percent of operating units using at least one Gender Empowerment and Female Equality indicator in their Performance Report	N/A	30%	45%	40%	50%	60%

# Annex I: Summary of Key Performance Indicators

Indicator Title	FY2013 Results	FY 2014 Target	FY 2014 Results	FY 2015 Target	FY 2016 Target	FY 2017 Target
Number of sex-disaggregated indicators demonstrating improvements toward equality in gender integration	8	8	7	9	10	10
Number of people trained in disaster preparedness as a result of U.S. government assistance	28,647	16,805	148,714	34,428	34,804	29,628
Number of communities and stakeholders involved in the development of plans, policies, and strategies related to hazard risk reduction.	N/A	60	117	60	60	60
Proportion of countries with focused resilience zones that have exhibited reduced depth of poverty rates within those zones	N/A	N/A	N/A	50%	Targets to be published in FY 2017 APP	
<b>Strategic Goal 2: Strengthen America's Foreign Policy Impact on our Strategic Challenges</b>						
Number of country programs that aim to decrease youth unemployment rates	7	7	7	7	7	7
MENA region Trade Accords and Protocols	N/A	At least one country participates in exploratory talks on trade and investment protocols.	3	At least two countries participate in exploratory talks on trade and investment protocols.	Hold negotiating rounds with at least three countries on trade and investment protocols.	Conclude at least three new trade and investment protocols.
Percentage of participants in U.S.-funded APEC capacity building activities responding that they applied trade and investment liberalization practices	N/A	N/A	N/A	50%	60%	60%



## Annex I: Summary of Key Performance Indicators

<b>Indicator Title</b>	<b>FY2013 Results</b>	<b>FY 2014 Target</b>	<b>FY 2014 Results</b>	<b>FY 2015 Target</b>	<b>FY 2016 Target</b>	<b>FY 2017 Target</b>
Percentage of participants in U.S.-funded APEC capacity building activities responding that laws, regulations or processes in their home economy have changed as a result of the trade and investment liberalization practices shared	N/A	N/A	N/A	3%	5%	7%
Number of technical meetings held with U.S. government support among U.S. government and Asian counterparts to strengthen mutual cooperation	N/A	N/A	69	75	75	75
Percent of designated USAID focus countries in which foreign assistance resources are aligned with the U.S. National Action Plan on Women, Peace and Security	54%	65%	74%	75%	85%	85%
Number of new groups or initiatives created through U.S. government funding with a mission related to resolving the conflict or the drivers of the conflict	12,733	14,296	10,849	492	342	261
Percent of U.S. government-declared international disasters responded to within 72 hours	N/A	95%	86%	95%	95%	95%
Number of internally displaced and host population beneficiaries provided with basic inputs for survival, recovery or restoration of productive capacity as a result of U.S. government assistance	61,315,940	46,462,565	54,079,863	46,381,077	50,750,582	50,033,482



## Annex I: Summary of Key Performance Indicators

<b>Indicator Title</b>	<b>FY2013 Results</b>	<b>FY 2014 Target</b>	<b>FY 2014 Results</b>	<b>FY 2015 Target</b>	<b>FY 2016 Target</b>	<b>FY 2017 Target</b>
Percent of planned emergency food aid beneficiaries reached with U.S. government assistance	90%	93%	90.86%	93%	93%	93%
Percentage of refugees admitted to the U.S. against the regional ceilings established by presidential determination	99.99%	100%	99.98%	100%	100%	100%
Number of countries that have signed, received Board of Governors approval of, and/or brought into force NPT/IAEA Additional Protocols	9	3	3	3	2	2
Number of countries that have ratified the Amended Convention on the Physical Protection of Nuclear Material	12	7	13	3	2	2
Number of ballistic missile defense interceptors deployed as part of regional missile defense approaches	0	0	0	24	24	24
Amount of Chemical Weapons Convention prohibited schedule chemicals decreased around the globe (in metric tons)	56,247 MT	59,914 MT	59,400 MT	62,000 MT	64,000 MT	66,000 MT
Number of countries with which the U.S. has signed agreements to strengthen the criminal justice system, or with the judicial, police or corrections sectors	N/A	40	72	40	40	40
Number of U.S. government-assisted courts with improved case management systems	1,344	917	1,256	339	291	179

## Annex I: Summary of Key Performance Indicators

<b>Indicator Title</b>	<b>FY2013 Results</b>	<b>FY 2014 Target</b>	<b>FY 2014 Results</b>	<b>FY 2015 Target</b>	<b>FY 2016 Target</b>	<b>FY 2017 Target</b>
Number of domestic NGOs engaged in monitoring or advocacy work on human rights receiving U.S. government support	914	777	1,002	422	304	146
Number of countries in which International Strategy for Cyberspace is implemented	18	22	27	28	38	50
Percentage of countries with professionals that have successfully completed specialized cybersecurity training	N/A	24%	44%	48%	74%	100%
Number of adults and children with advanced HIV Infection receiving antiretroviral therapy	6.7 million	N/A	7.7 million	Targets to be published in FY 2017 APP		
Number of HIV-positive pregnant women who received antiretrovirals to reduce risk of mother-to-child transmission	781,800	N/A	745,369	Target to be published in FY 2017 APP		
Number of males circumcised as part of the voluntary medical male circumcisions for HIV prevention program within the reporting period.	2,230,075	N/A	2,242,267	Target to be published in FY 2017 APP		
Absolute change in under-five mortality rate	N/A	-2	-2.4	-2	N/A (APG)	N/A (APG)
Absolute change in modern contraceptive prevalence rate	N/A	+1	+1	+1	N/A (APG)	N/A (APG)
Percent of shipments of contraceptive commodities that are on time	See Performance Goal 2.5.2 for Quarterly Result and Target Data					
Annual total number of people protected against malaria with insecticide treated nets	45,000,000	45,000,000	89,000,000	45,000,000	N/A (APG)	N/A (APG)

## Annex I: Summary of Key Performance Indicators

<b>Indicator Title</b>	<b>FY2013 Results</b>	<b>FY 2014 Target</b>	<b>FY 2014 Results</b>	<b>FY 2015 Target</b>	<b>FY 2016 Target</b>	<b>FY 2017 Target</b>
Annual total percentage of births attended by a skilled doctor, nurse or midwife	51.3%	52.4%	59.9%	53.4%	N/A (APG)	N/A (APG)
Annual total percentage of children who received DPT3 by 12 months of age	60.4%	61.1%	74.5%	61.7%	N/A (APG)	N/A (APG)
Prevalence of stunted children under five years of age	N/A	38.2%	37.7%	37.0%	36.3%	35.6%
Prevalence of anemia among women of reproductive age	38.5%	37.9%	35.1%	37.4%	33.2%	32.2%
Number of people gaining access to an improved sanitation facility.	1,884,169	1,717,076	1,903,544	2,087,731	1,762,951	1,800,939
Number of people gaining access to an improved drinking water source.	3,131,707	3,266,609	3,232,648	4,226,216	3,437,446	3,421,050
First Birth under 18	22.5%	21.4%	23.3%	22.6%	21.9%	21.2%
Number of Neglected Tropical Disease Treatments Delivered through U.S. government-funded Programs	169.5 million	190 million	133.4 million	218 million	200 million	200 million
Case Notification Rate in New Sputum Smear Positive Pulmonary TB Cases per 100,000 Population Nationally	129 per 100,000	131 per 100,000	131 per 100,000	133 per 100,000	134 per 100,000	135 per 100,000
Percent of Registered TB Cases That Were Cured and Completed Treatment (all forms) (Treatment Success Rate)	N/A	86%	N/A	87%	88%	88%
<b>Strategic Goal 3: Promote the Transition to Low-emission, Climate-resilient World while Expanding Access to Sustainable Energy</b>						
Number of officials and practitioners with strengthened capacity and knowledge through participation in the LEDS Global Partnership	See Performance Goal 3.1.1 for Quarterly Result and Target Data					

## Annex I: Summary of Key Performance Indicators

<b>Indicator Title</b>	<b>FY2013 Results</b>	<b>FY 2014 Target</b>	<b>FY 2014 Results</b>	<b>FY 2015 Target</b>	<b>FY 2016 Target</b>	<b>FY 2017 Target</b>
Number of major milestones achieved by partner countries as a result of U.S. assistance, each reflecting significant, measurable improvement in national frameworks for low emission development.	N/A	10	9	30	N/A (APG)	N/A (APG)
Number of major milestones achieved by partner countries as a result of U.S. assistance, each reflecting significant, measurable improvement in LEDS implementation	N/A	4	6	15	N/A (APG)	N/A (APG)
Number of countries in which U.S. government technical assistance for low emission development strategies has been initiated	22	25	25	25	N/A (APG)	N/A (APG)
The number of U.S. diplomatic engagements with key institutions of global energy governance	30	35	34	37	40	42
Total of electricity traded through the regional power market in Central America, which has been the focus of U.S. policy and technical assistance engagements to increase power sector integration (in GWh)	506	961.8	1445.8	1600	1800	2000
Total of electricity imported and exported through regional power pools or through bilateral agreement (in MWh)	N/A	N/A	8,300	10,350	15,500	20,200
Total of public and private funds (in USD) leveraged by U.S. government for energy projects	1.384 billion	1.489 billion	6.90 billion	154.501 million	205.436 million	6.80 billion



## Annex I: Summary of Key Performance Indicators

<b>Indicator Title</b>	<b>FY2013 Results</b>	<b>FY 2014 Target</b>	<b>FY 2014 Results</b>	<b>FY 2015 Target</b>	<b>FY 2016 Target</b>	<b>FY 2017 Target</b>
Clean energy generation capacity installed or rehabilitated as a result of U.S. government assistance	29	250	0	60	310	275
Number of new electric power connections as a result of U.S. government assistance	N/A	N/A	20,600	Targets will be published in FY 2017 APP		
Number of MWs of U.S. government supported generation transactions that have achieved financial closure	N/A	4,999	4,147	5,493	7,000	9,000
<b>Strategic Goal 4: Protect Core U.S. Interests by Advancing Democracy and Human Rights and Strengthening Civil Society</b>						
Number of executive oversight actions taken by legislature receiving U.S. government assistance	359	75	254	181	183	169
Number of U.S. government-supported activities designed to promote or strengthen the civic participation of women	359	231	106	181	73	59
Number of domestic election observers and/or party agents trained with U.S. government assistance	41,302	27,984	28,892	14,600	15,250	12,726
Number of individuals/groups from low income or marginalized communities who received legal aid or victim's assistance with U.S. government support	36,759	87,460	185,631	168,306	151,402	143,364
Number of target countries with new Fiscal Transparency Innovation Fund projects.	N/A	1	13	9	9	9
Tax administration and compliance improved (% increase in tax collections) as a result of U.S. government assistance	15%	20%	15%	N/A	N/A	N/A



## Annex I: Summary of Key Performance Indicators

<b>Indicator Title</b>	<b>FY2013 Results</b>	<b>FY 2014 Target</b>	<b>FY 2014 Results</b>	<b>FY 2015 Target</b>	<b>FY 2016 Target</b>	<b>FY 2017 Target</b>
Number of human rights defenders trained and supported	21,078	12,260	48,224	28,907	14,878	8,503
Number of Domestic NGOs Engaged in Monitoring or Advocacy Work on Human Rights Receiving U.S. government Support	914	777	1,001	422	304	146
Percent of defenders and CSOs receiving Rapid Response Fund assistance (% Receiving Assistance) able to carry out work and/or report positive safety or security impacts	N/A	70%	86%	75%	80%	80%
Percentage of NGO or other International Organization projects that include dedicated activities to prevent and/or respond to Gender-Based Violence	56%	35%	30%	37%	37%	37%
The number of anti-TIP policies, laws or international agreements strengthened with U.S. government assistance	24	24	24	24	24	24
Number of training and capacity-building activities conducted with U.S. government assistance that are designed to promote the participation of women or the integration of gender perspectives in security sector institutions or activities	149	254	219	229	147	137
Percentage of priority atrocity prevention countries in which the Department of State and USAID are working to promote credible transitional justice and accountability mechanisms	N/A	100%	100%	100%	100%	100%

## Annex I: Summary of Key Performance Indicators

<b>Indicator Title</b>	<b>FY2013 Results</b>	<b>FY 2014 Target</b>	<b>FY 2014 Results</b>	<b>FY 2015 Target</b>	<b>FY 2016 Target</b>	<b>FY 2017 Target</b>
Number of people reached by a U.S. government-funded intervention providing Gender-Based Violence services	800,634	782,967	2,515,862	528,125	756,522	750,903
Number of participants in the Young African Leaders Initiative	N/A	500	500	500	3,400	3,400
Number of meetings U.S. embassies in Open Government Partnership (OGP) countries convene between CSO OGP participants and CSO non-participants to broaden CSO participation in the OGP process	0	8	8	10	13	16
Percentage of under-30 foreign participants in U.S. government and private sector-sponsored international exchange programs	N/A	79%	79%	81%	83%	85%
Number of individuals receiving voter and civic education through U.S. government-assisted programs	140,950,044	55,087,384	65,046,830	73,589,893	33,243,280	27,667,175
Number of civil society organizations receiving U.S. government assistance engaged in advocacy interventions	13,570	16,875	18,238	10,950	9,102	7,277
<b>Strategic Goal 5: Modernize the Way we do Diplomacy and Development</b>						
Percent of all passport applications processed within the targeted timeframe, as shown on the Department's website	99%	99%	99%	99%	N/A (APG)	N/A (APG)
Percent of applicants interviewed worldwide within three weeks of the date of application	90%	80%	94%	80%	N/A (APG)	N/A (APG)



## Annex I: Summary of Key Performance Indicators

<b>Indicator Title</b>	<b>FY2013 Results</b>	<b>FY 2014 Target</b>	<b>FY 2014 Results</b>	<b>FY 2015 Target</b>	<b>FY 2016 Target</b>	<b>FY 2017 Target</b>
Procurement Administrative Lead Time (PAL) for Washington acquisitions in calendar days	N/A	268	517	268	N/A (APG)	N/A (APG)
Percentage of mission program funds implemented through local systems	N/A	N/A	N/A	30%	N/A (APG)	N/A (APG)
Percent of contractor performance assessment reports completed in Past Performance Information Retrieval System	N/A	80%	59%	100%	N/A (APG)	N/A (APG)
Percent of prime contract acquisition dollars obligated to U.S. small businesses worldwide	N/A	6.5%	12.1%	10%	N/A (APG)	N/A (APG)
Percent of Office of Acquisitions and Assistance series 1102 and BS 93 positions filled	N/A	91%	87.70%	94%	N/A (APG)	N/A (APG)
Change in the number of repeat users of International Information Programs' digital services, platforms and products.	379,822	417,804	826,314	459,584	505,543	556,097
Percent of USAID-funded evaluations published online.	67%	80%	38%	75%	80%	99%
Number of data sets added to usaid.gov/data.	N/A	200	77	20	20	20
Percent of language-designated positions filled by employees who meet or exceed the language requirements	76%	77%	77%	78%	79%	80%
Number of U.S. government employees overseas moved into secure, safe, and functional facilities during the fiscal year	2,290	1,439	1,500	1,500	1,500	1,500



## Annex II: Data Quality Assessments

### Annex II: Data Quality Assessments

DQAs are systematic reviews of data reported for each indicator based on the five data quality standards of: Validity, Reliability, Timeliness, Precision, and Integrity. A DQA is required for all results data reported in the PPR, including both standard and custom indicator data.

#### **Recommendations for Conducting Data Quality Assessments**

1. Data Quality (DQ) assessors should make sure that they understand the precise definition of the indicator by checking the Performance Indicator Reference Sheet. Please address any issues of ambiguity before the DQA is conducted.
2. DQ assessors should have a copy of the methodology for data collection in hand before assessing the indicator. For USAID Missions, this information should be in the PMP's Performance Indicator Reference Sheets for each indicator. Each indicator should have a written description of how the data being assessed are supposed to be collected.
3. Each implementing partner should have a copy of the method of data collection in their files and documented evidence that they are collecting the data according to the methodology.
4. DQ assessors should record the names and titles of all individuals involved in the assessment.
5. Does the implementing partner have documented evidence that they have verified the data that has been reported? Partners should be able to provided USAID with documents (process/person conducting the verification/field visit dates/persons met/activities visited, etc) which demonstrates that they have verified the data that was reported. Note: Verification by the partners should be an ongoing process.
6. The DQ assessors should be able to review the implementing partner files/records against the methodology for data collection laid out in the PMP (for USAID Missions only). Any data quality concerns should be documented.
7. The DQ should include a summary of significant limitations found. A plan of action, including timelines and responsibilities, for addressing the limitations should be made.

See the optional DQA tool below that can be useful for documenting DQA findings.



## Annex II: Data Quality Assessments

### Data Quality Assessment Checklist and Recommended Procedures

This Data Quality Assessment (DQA) Checklist is provided as a recommended tool that an operating unit (OU) may use to complete its DQAs. If the OU prefers or has successfully used a different tool for conducting and documenting its DQAs in the past, it is free to continue the use of that tool instead. The checklist below is intended to assist in assessing each of the five aspects of data quality and provide a convenient manner in which to document the OU's DQA findings.

Operating Unit Name:	
Title of Performance Indicator: <i>[Indicator should be copied directly from the Performance Indicator Reference Sheet]</i>	
Linkage to Foreign Assistance Standardized Program Structure, if applicable (i.e. Program Area, Element, etc.):	
Result This Indicator Measures <i>[For USAID only]</i> (i.e., Specify the Development Objective, Intermediate Result, or Project Purpose, etc.):	
Data Source(s): <i>[Information can be copied directly from the Performance Indicator Reference Sheet]</i>	
Partner or Contractor Who Provided the Data: <i>[It is recommended that this checklist is completed for each partner that contributes data to an indicator– it should state in the contract or grant that it is the prime's responsibility to ensure the data quality of sub-contractors or sub grantees.]</i>	
Period for Which the Data Are Being Reported:	
Is This Indicator a Standard or Custom Indicator?	<input type="checkbox"/> Standard Foreign Assistance Indicator <input type="checkbox"/> Custom (created by the OU; not standard)
Data Quality Assessment methodology: <i>[Describe here or attach to this checklist the methods and procedures for assessing the quality of the indicator data. E.g. Reviewing data collection procedures and documentation, interviewing those responsible for data analysis, checking a sample of the data for errors, etc.]</i>	
Date(s) of Assessment:	
Assessment Team Members:	
USAID Mission/OU Verification of DQA Team Leader Officer approval  X _____	



## Annex II: Data Quality Assessments

		YES	NO	COMMENTS
<b>VALIDITY</b> – Data should clearly and adequately represent the intended result.				
1	Does the information collected measure what it is supposed to measure? (E.g. A valid measure of overall nutrition is healthy variation in diet; Age is not a valid measure of overall health.)			
2	Do results collected fall within a plausible range?			
3	Is there reasonable assurance that the data collection methods being used do not produce systematically biased data (e.g. consistently over- or under-counting)?			
4	Are sound research methods being used to collect the data?			
<b>RELIABILITY</b> – Data should reflect stable and consistent data collection processes and analysis methods over time.				
1	When the same data collection method is used to measure/observe the same thing multiple times, is the same result produced each time? (E.g. A ruler used over and over always indicates the same length for an inch.)			
2	Are data collection and analysis methods documented in writing and being used to ensure the same procedures are followed each time?			
<b>TIMELINESS</b> – Data should be available at a useful frequency, should be current, and should be timely enough to influence management decision making.				
1	Are data available frequently enough to inform program management decisions?			
2	Are the data reported the most current practically available?			
3	Are the data reported as soon as possible after collection?			
<b>PRECISION</b> – Data have a sufficient level of detail to permit management decision making; e.g. the margin of error is less than the anticipated change.				
1	Is the margin of error less than the expected change being measured? (E.g. If a change of only 2% is expected and the margin of error in a survey used to collect the data is +/- 5%, then the tool is not precise enough to detect the change.)			
2	Has the margin of error been reported along with the data? (Only applicable to results obtained through statistical samples.)			
3	Is the data collection method/tool being used to collect the data fine-tuned or exact enough to register the expected change? (E.g. A yardstick may not be a precise enough tool to measure a change)			



## Annex II: Data Quality Assessments

	of a few millimeters.)			
<b>INTEGRITY</b> – Data collected should have safeguards to minimize the risk of transcription error or data manipulation.				
1	Are procedures or safeguards in place to minimize data transcription errors?			
3	Is there independence in key data collection, management, and assessment procedures?			
3	Are mechanisms in place to prevent unauthorized changes to the data?			

<b>SUMMARY</b>
Based on the assessment relative to the five standards, what is the overall conclusion regarding the quality of the data?
Significance of limitations (if any):
Actions needed to address limitations prior to the next DQA (given level of U.S. government control over data):

IF NO DATA ARE AVAILABLE FOR THE INDICATOR	COMMENTS
If no recent relevant data are available for this indicator, why not?	
What concrete actions are now being taken to collect and report these data as soon as possible?	
When will data be reported?	

