

United States Department of State
United States Agency for International Development

FY 2018 Annual Performance Report

FY 2020 Annual Performance Plan



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Department of State and USAID Overview

Introduction

The Fiscal Year (FY) 2020 Annual Performance Plan (APP) and FY 2018 Annual Performance Report (APR) for the U.S. Department of State (State or the Department) and the U.S. Agency for International Development (USAID or the Agency) presents State and USAID progress toward achieving the strategic objectives, Agency Priority Goals (APG), and performance goals (PGs) articulated in the FY 2018-FY 2022 State-USAID Joint Strategic Plan (JSP). For further information on the Department's or Agency's overview, organizational structure, approach to strategic planning and performance management, use of evidence, and programs, please visit www.state.gov and www.usaid.gov.

Department of State and USAID Overview

The Department of State is the lead U.S. 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 policy worldwide through the Department and its employees. The Department of State protects and advances the interests of American citizens and America's sovereignty by:

- Upholding liberty – by leading and uniting the free world around American values;
- Strengthening our allies and alliances to counter threats and adversaries – through the deepening of our security relationships and partnerships around the world;
- Creating enduring advantages at home – by helping developing nations establish investment and export opportunities for American businesses; and
- Preserving peace – through international cooperation on global security challenges such as nuclear proliferation, terrorism, human trafficking, and the spread of pandemics (including HIV).

As the U.S. Government's lead international development and humanitarian assistance agency, USAID helps societies realize their full potential on their journey to self-reliance. 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, faith-based groups, and non-governmental organizations (NGOs). The President appoints both the Secretary of State and the USAID Administrator, and the Senate confirms them.

As a catalytic actor that drives development results, USAID advances U.S. national security and economic prosperity, demonstrates American generosity, and promotes self-reliance and resilience in developing countries. USAID plays a critical role in our nation's efforts to ensure stability, prevent conflict, and build citizen-responsive local governance. Through the Agency's work and that of its

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partner organizations, development assistance from the American people is transforming lives, communities, and economies around the world. USAID's investments in evidence-based programs are:

- Providing humanitarian assistance – with relief that is timely and effective in response to disasters and complex crises;
- Promoting global health – through activities that save lives and protect Americans at home and abroad;
- Supporting global stability – work that advances democracy and good governance, and helps to promote sustainable development, economic growth, and peace;
- Catalyzing innovation and partnership – by identifying new and innovative ways to engage with the private sector; and
- Empowering women and girls and protecting life – through support for women's equal access to economic opportunities and implementation of the "Protecting Life in Global Health Assistance" policy.

Mission Statement, Strategic Goals, and Objectives

Department of State Mission Statement

On behalf of the American people, we promote and demonstrate democratic values and advance a free, peaceful, and prosperous world.

The U.S. Department of State leads America's foreign policy through diplomacy, advocacy, and assistance by advancing the interests of the American people, their safety and economic prosperity.

USAID Mission Statement

On behalf of the American people, we promote and demonstrate democratic values abroad, and advance a free, peaceful, and prosperous world.

In support of America's foreign policy, the U.S. Agency for International Development leads the U.S. Government's international development and disaster assistance through partnerships and investments that save lives, reduce poverty, strengthen democratic governance, and help people emerge from humanitarian crises and progress beyond assistance.

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The following chart provides an overview of the Department of State and USAID Joint Strategic Goals and Objectives. The complete JSP can be found at:

<https://www.state.gov/s/d/rm/rls/dosstrat/2018/index.htm>.

| Goal 1: Protect America’s Security at Home and Abroad | | | | |
|--|---|---|---|---|
| 1.1: Counter the Proliferation of Weapons of Mass Destruction (WMD) and their Delivery Systems | 1.2: Defeat ISIS, al-Qa’ida and other Transnational terrorist organizations, and counter state-sponsored, regional, and local terrorist groups that threaten U.S. national security interests | 1.3: Counter instability, transnational crime, and violence that threaten U.S. interests by strengthening citizen-responsive governance, security, democracy, human rights, and rule of law | 1.4: Increase capacity and strengthen resilience of our partners and allies to deter aggression, coercion, and malign influence by state and non-state actors | 1.5: Strengthen U.S. border security and protect U.S. citizens abroad |
| Goal 2: Renew America’s Competitive Advantage for Sustained Economic Growth and Job Creation | | | | |
| 2.1: Promote American prosperity by advancing bilateral relationships and leveraging international institutions and agreements to open markets, secure commercial opportunities, and foster investment and innovation to contribute to U.S. job creation | | 2.2: Promote healthy, educated and productive populations in partner countries to drive inclusive and sustainable development, open new markets and support U.S. prosperity and security objectives | 2.3: Advance U.S. economic security by ensuring energy security, combating corruption, and promoting market-oriented economic and governance reforms | |
| Goal 3: Promote American Leadership through Balanced Engagement | | | | |
| 3.1: Transition nations from assistance recipients to enduring diplomatic, economic, and security partners | 3.2: Engage international fora to further American values and foreign policy goals while seeking more equitable burden sharing | 3.3: Increase partnerships with the private sector and civil society organizations to mobilize support and resources and shape foreign public opinion | 3.4: Project American values and leadership by preventing the spread of disease and providing humanitarian relief. | |
| Goal 4: Ensure Effectiveness and Accountability to the American Taxpayer | | | | |
| 4.1: Strengthen the effectiveness and sustainability of our diplomacy and development investments | 4.2: Provide modern and secure infrastructure and operational capabilities to support effective diplomacy and development | 4.3: Enhance workforce performance, leadership, engagement, and accountability to execute our mission efficiently and effectively | 4.4: Strengthen security and safety of workforce and physical assets | |

Department of State and USAID Overview

Organizational Structure

The Foreign Service, Civil Service, and Personal Service Contractor (PSC) employees in the Department and U.S. embassies and missions abroad serve the interests of the American people. They work together to achieve the goals and implement the initiatives of U.S. foreign policy. As of December 2018, State operates 277 embassies, consulates, and other posts worldwide staffed by about 49,780 Locally Employed Staff (which includes Foreign Service Nationals) and about 13,700 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 10,140 employees provides continuity and expertise in performing all aspects of the Department's mission. State's regional, functional, and management bureaus and offices support its mission. 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, and administrative support, and in-depth expertise.

USAID is headquartered in Washington, D.C., and has an official presence in 87 countries and programs in 32 other non-presence countries. As of September 2018, more than 1,700 career Foreign Service employees; 1,500 employees from the Civil Service; more than 4,600 Foreign Service Nationals; and 1,850 PSCs and other term-limited employees work together and with other U.S. Government agencies, the private sector, other governments and civil societies to deliver on USAID's mission. USAID's regional, functional, and management bureaus and offices support its mission. These bureaus and offices provide policy guidance, program management, and administrative support, and in-depth expertise to USAID's field missions overseas.

More information on the organizational structure of the Department of State and USAID can be found at www.state.gov/r/pa/ei/rls/dos/99484.htm and www.usaid.gov/who-we-are/organization, respectively.

Employee Engagement

The Department and USAID value an inclusive work environment, one in which the institutions learn from every team member to foster active engagement.

In FY 2018, the Department of State achieved a score of 68 on the Employee Engagement Index of the Federal Employee Viewpoint Survey (FEVS), a one-point decrease from FY 2017. In 2018 the Department ranked 4th in the Strategic Management category and 5th in the Performance-Based Rewards and Advancement category in the Partnership for Public Service's "Best Places to Work in the Federal Government" rankings, which tracks perceptions among staff working for the 16 largest agencies in the Federal government.

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Examples of employee-engagement activities underway at the Department of State include the Emergency Back Up-Care program, a Work Life Wellness initiative that has enhanced productivity and minimized absenteeism by providing emergency dependent care for Department employees. With 3,443 uses in FY 2018, and more than 2,691 workdays saved, this service is clearly meeting a need for Department employees. The Department also launched a Voluntary Leave Bank, a pooled fund of annual and restored leave to support staff who are experiencing personal or family medical emergencies in the event that they have exhausted their available paid leave. As of November 2018, 17,509 employees were enrolled. The Department's Global Employment Initiative helps family members with career development and exploration of employment opportunities while posted overseas.

USAID has a team of professionals in its Office of Human Capital and Talent Management (HCTM) to optimize Agency performance through engaged and effective employees. Continuing its positive trend, in 2018, USAID achieved a score of 71 on the FEVS' Employee Engagement Index Score. To increase employees' engagement, USAID requires all operating units (OUs) to create action plans that identified critical focus areas for improvement based on FEVS results. USAID emphasizes its commitment to improving employee engagement by including related Agency-specific performance requirements in USAID executive performance agreements. In addition, USAID ranked 13th out of 27 midsize agencies in the Partnership for Public Service's "Best Places to Work in the Federal Government" rankings.

Approach to Strategic Planning and Performance Management

To ensure responsible and efficient stewardship of funds, State and USAID implement planning performance management policies and practices based on industry best practices. These policies and practices align with legislation including the Foreign Aid Transparency and Accountability Act (FATAA), the Program Management Improvement Accountability Act (PMIAA), the Foundations for Evidence-Based Policymaking Act of 2018 (the Evidence Act), and the Government Performance and Results Act Modernization Act (GPRAMA). State and USAID coordinate strategic planning and performance management initiatives at the agency, bureau, and country levels. This section describes how State and USAID work to link resources to strategy, support sound program and project management, conduct monitoring and evaluation, and use performance data in decision-making.

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Performance Management

The Department's Managing for Results (MfR) Framework creates feedback loops among planning, budgeting, managing, and learning processes to inform and support programmatic, budget, and policy decisions. To integrate the MfR more fully within bureaus and missions, State created a website to provide information, tools, and templates pertaining to work in all four quadrants of the cycle: planning, budgeting, managing, and learning. The "managing" and "learning" portions of the MfR Framework are supported with the Department's *Program and Project Design, Monitoring, and Evaluation*

Policy, which requires that all major programs and projects have documented goals, objectives, logic models, and plans for monitoring and evaluating performance. The policy can be found at <http://www.state.gov/documents/organization/276338.pdf> along with a Toolkit to support implementation at

Department of State Managing for Results Framework



<http://www.state.gov/documents/organization/268816.pdf.%20In%202018>.

In 2018, all bureaus at State were required to delineate their major programs or projects, and begin formally documenting the design of each one via a logic model (or equivalent) so that subsequent monitoring and evaluation efforts are all tied back to the outputs and outcomes specified in the design. These efforts will improve the completeness and utility of monitoring data, and help ensure the Department is tracking the right metrics to assess progress toward its program- and strategic-level goals, as well as better account for results. The Policy also requires senior Department bureau leaders and chiefs of mission to institute regular reviews to assess progress against strategic objectives, and ensure alignment of policy, planning, resources, and program decision making.

USAID Program Cycle

USAID implements an integrated [Program Cycle Policy](#) (Automated Directive System [ADS] 201), USAID's framework for planning, implementing, assessing, and adapting programs that support countries to advance their journey to self-reliance. The Program Cycle provides policy and procedures

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for making strategic programming decisions to ensure effective use of foreign assistance resources. The guidance integrates continuous learning throughout all Program Cycle components to inform adaptive management and improve achievement of results. Robust monitoring and evaluation practices provide feedback on progress in achieving short- and long-term objectives.

Strategic Planning

The Department and USAID are committed to using strategic planning to achieve the most critical U.S. foreign policy outcomes, and to provide greater accountability to the American people. Robust, coordinated strategic planning processes are an essential component of the MfR Framework and USAID's Program Cycle, and the resulting strategic plans serve as the basis for Mission and Bureau resource requests, and are foundational documents for building the Department and USAID's Congressional Budget Justification. These processes also provide a framework against which the Department and USAID can monitor progress, measure results, drive policy decisions, ensure accountability, and foster greater whole-of-government collaboration.

The Department's and USAID's strategic planning documents include the following:

- [Joint Strategic Plan](#) (JSP) – Four-year strategic plan that outlines State and USAID's overarching goals and objectives, and guides planning at the Bureau and Mission-level;
- [Joint Regional Strategy](#) (JRS) – Four-year strategic plans that set joint State and USAID regional priorities and guide key partner Bureau and mission-level planning;
- [Functional Bureau Strategy](#) (FBS) – Four-year strategic plans that set priorities for each State functional Bureau or office, and guide key partner Bureau and Mission-level planning from a functional perspective;
- [Integrated County Strategy](#) (ICS) – Four-year strategic plans that articulate whole-of-government priorities in a given country and incorporate higher-level planning priorities, as well as the official U.S. Government strategy for all security-sector assistance in that country; and
- [Country Development Cooperation Strategy](#) (CDCS) – Multi-year strategic plans nested within the ICS that define USAID's strategic approach and priorities for development in a particular country or region, and that complement the existing JRS and FBS.

Bureau and mission strategic planning are informed by and aligned with State-USAID joint strategic goals and objectives in the JSP. All Department of State bureaus and missions were required to update their strategies in 2018, either as a strategy refresh or wholesale rewrite. These updates align with the four-year cycle covered by the JSP.

USAID develops new CDCSs as existing strategies expire. However, CDCSs are not static documents and they are periodically updated or amended to reflect significant changes in country context or USAID priorities, including JSP strategic goals and objectives. Beginning in 2018, USAID is using 17 self-reliance metrics to develop [Country Roadmaps](#) that plot where countries fall along the self-reliance

spectrum. The self-reliance metrics are a set of 17 third-party, publicly-available indicators designed to give a high-level sense of a given country's commitment and capacity to plan, finance, and implement solutions to solve its development challenges. Though the metrics are not determinative, the data from these metrics will inform USAID's strategic decisions about country partnerships and strategies and help reorient agency policies, processes and strategies to supporting countries on their journey to self-reliance. USAID will update all existing CDCSs with this new approach by the end of 2020.

Strategic Review Summary of Progress

In summer 2018, State and USAID each held Strategic Review meetings with the Office of Management and Budget (OMB) to review progress on strategic planning objectives and enterprise risk management, as well as management initiatives supporting the [President's Management Agenda \(PMA\)](#) and program oversight legislation. The Department of State and USAID review progress against the 16 strategic objectives in the JSP through various ongoing fora throughout the year and continue to leverage planning, performance, evaluation, and budgeting processes to strengthen the use of data and evidence to inform decisions. This review fosters a culture of continuous review and improvement.

State designated two strategic objectives as areas of Noteworthy Progress and one strategic objective as a Focus Area for Improvement.

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- Noteworthy Progress
 - Strategic Objective 1.5: Strengthen U.S. border security and protect U.S. citizens abroad
 - Strategic Objective 2.2: Promote healthy, educated, and productive populations in partner countries to drive inclusive and sustainable development, open new markets, and support U.S. prosperity and security objectives
- Focus Area for Improvement
 - Strategic Objective 4.2: Provide modern and secure infrastructure and operational capabilities to support effective diplomacy and development.

USAID designated two strategic objectives as areas of Noteworthy Progress and one strategic objective as a Focus Area for Improvement.

- Noteworthy Progress
 - Strategic Objective 1.3: Counter instability, transnational crime, and violence that threaten U.S. interests by strengthening citizen-responsive governance, security, democracy, human rights, and rule of law
 - Strategic Objective 2.2: Promote healthy, educated, and productive populations in partner countries to drive inclusive and sustainable development, open new markets, and support U.S. prosperity and security objectives
- Focus Area for Improvement
 - Strategic Objective 3.3: Increase partnerships with private sector and civil-society organizations to mobilize support and resources and shape foreign public opinion.

Evidence Building

The Department and USAID have made major progress on building evidence through monitoring and evaluation as well as other sources, and using evidence-based analysis to inform decisions and determine what is working and what is not.

Using the policies, products, and processes of the MfR Framework and the tools put in place to support performance management, State continues to improve our capacity to build evidence, increase the quality of evaluations, and to improve feedback loops among planning, budgeting, managing, and learning processes in a way that helps inform programmatic, budget, and policy decisions. State also collects information on planned, ongoing, and completed evaluations for both State and USAID, including estimated budgets, type of evaluation, schedule, and final reports.

State continues to implement FATAA through its Design, Monitoring and Evaluation policy, and is currently analyzing the new requirements of the Evidence Act, which includes further requirements

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surrounding data collection and use, evidence building, evaluation, and transparency. Current and upcoming efforts include:

- Continuing implementation of FATAA, through our Program and Project Design, Monitoring and Evaluation Policy;
- Developing a coordinated, integrated response to the Foundations Act; and
- Continuing technical assistance, a Community of Practice, and formal training to bureaus on sound design, monitoring, evaluation, and learning practices.

To ensure programs and country strategies are achieving results, USAID's Program Cycle policy sets requirements for evidence needed to inform country strategies, and design of projects and activities. The policy also sets requirements for monitoring, evaluation and learning, and ensures USAID is meeting legislative requirements related to FATAA and the Evidence Act. These include establishing a USAID Mission-wide Performance Management Plan and Project and Activity Monitoring, Evaluation, and Learning Plans. As part of these plans, for example, USAID missions ensure that progress toward key results are measured through valid and relevant indicators of performance; that every project has a plan for at least one high-quality external evaluation of a specific activity under that project or to assess whole-of-project level performance; and that gaps in evidence or knowledge are identified and a plan for building evidence to fill those gaps and inform future decisions is articulated. More information about USAID's program monitoring, evaluation, and learning practices is located at www.usaid.gov/evaluation.

Based on requirements in the Evidence Act, USAID is developing an enterprise-wide learning agenda (or evidence plan) to prioritize a small set of questions related to the Agency's objective of supporting partner countries on their journey to self-reliance. These questions will focus USAID's evidence building efforts around this key policy priority, and marshal investments in studies, evaluations, and other learning activities to continuously learn and improve USAID's approach to operationalizing this objective. USAID bureaus also develop learning agendas to inform their work. In one example, USAID's Bureau for Management has an operations-focused learning agenda that guides a range of studies to improve management operations at USAID, which includes benchmarking studies, business process reviews, data-driven after-action reviews, and cost savings studies.

Additional information on the Department of State and USAID's use of evidence and evaluation is available in the FY 2020 Congressional Budget Justification (Annexes 1 and 2) at <https://www.state.gov/s/d/rm/rls/ebs/2020/pdf/index.htm>.

Quality and Validation of Data

The Department of State and USAID obtain and use performance data from three sources: (1) primary collection directly by the Department or USAID, or by an entity funded by the Department or USAID; (2) data compiled by State and USAID implementing partners in the field; and, (3) third-party data from sources such as other Federal Government Departments and Agencies, NGOs, or other development

organizations. To ensure the quality of evidence from a performance monitoring system is sufficient for decision-making, bureaus and field offices use an assurance checklist to assess these five standards of data-quality: validity, integrity, precision, reliability, and timeliness.

All performance indicators reported in the APP/APR have associated Indicator Reference Sheets that fully define the indicator including its data source, known limitations, and use of the indicator data. For Foreign Assistance performance indicators, Data-Quality Assessments (DQAs) are required within 12 months prior to the indicator being reported, and then they must be conducted at least every three years thereafter. Furthermore, State and USAID meet with bureaus annually to review the accuracy, completeness, and utilization of all indicator data submitted by the field, and continuously make adaptations to our systems and processes based on what is learned from these reviews. Substantial improvements in data quality and completeness have been documented as a result of the annual review process.

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

Federal Cross-Agency Priority Goals

Consistent with the GPRA Modernization Act's requirement to address cross-agency priority (CAP) goals in the agency strategic plan and the APP/APR, refer to www.Performance.gov for State and USAID's contributions to these goals and progress, where applicable. State and USAID currently contribute to the following CAP Goals:

- Modernize Information Technology (IT) to Increase Productivity and Security
- Leveraging Data as a Strategic Asset
- People: Developing a Workforce for the 21st Century
- Improving Customer Experience
- Sharing Quality Services
- Shifting from Low-Value to High-Value Work
- Category Management
- Results-Oriented Accountability for Grants
- Improving Outcomes through Federal IT Cost Transparency
- Improve Management of Major Acquisitions

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Agency Priority Goals

In collaboration with OMB, the Department of State and USAID have identified seven APGs for the FY 2018-FY 2019 cycle:

- Food Security and Resilience (USAID)
By September 30, 2019, Feed the Future will exhibit an average reduction in the prevalence of poverty and stunting of 20 percent, across target regions in Feed the Future's focus countries, since the beginning of the initiative in FY 2010.
- Maternal and Child Health (USAID)
By September 30, 2019, U.S. global leadership and assistance to prevent child and maternal deaths will annually reduce under-five mortality in 25 maternal and child health U.S. Government-priority countries by an average of 2 deaths per 1,000 live births per year as compared to 2017.
- Effective Partnering and Procurement Reform (USAID)
By September 30, 2019, USAID will have increased the use of collaborative partnering methods and co-creation within new awards by 10 percentage points, measured by percentage of obligated dollars and procurement actions.
- HIV/AIDS (State and USAID)
By September 30, 2019, new infections are fewer than deaths from all causes in HIV-positive patients in up to 13 high-HIV burden countries through leadership by State and implementation by USAID; the U.S. Department of Health and Human Services and its Agencies, including the Centers for Disease Control and Prevention, the Health Resources and Services Administration, and the National Institutes of Health; the Departments of Defense, Labor, and Treasury; and the Peace Corps.
- Category Management (State and USAID)
By September 30, 2019, meet or exceed Federal targets for Best-In-Class (BIC) contract awards.
- Visa Security (State)
By September 30, 2019, the Department will update the DS-160 and DS-260 nonimmigrant and immigrant visa application forms and add the newly-collected fields to our data sharing feeds for interagency partners.
- IT Modernization (State)
By September 30, 2019, the Department will establish a secure cloud-based platform to improve Information Technology (IT) service delivery by: implementing an Identity Management System

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(IDMS) solution for all Department systems, transitioning users to cloud collaboration platforms, closing redundant data centers, modernizing target architecture, and continuing to deploy wireless (Wi-Fi) Department wide.

Please refer to www.Performance.gov for more information, including the latest quarterly progress update, on each APG.

Major Management Priorities and Challenges

Every year, Inspectors General for State and USAID identify management challenges that affect the ability of the Department and USAID to engage diplomatically or deliver foreign assistance. The Department and USAID implement immediate remedial actions in response to the recommendations of their respective Office of the Inspector General (OIG). For a full description of the challenges identified by the two OIGs and the responses to them, please see:

- Department of State: see pages 105-131 of the FY 2018 Agency Financial Report (AFR) ([FY 2018 Department of State Agency Financial Report](#))
- USAID: see pages 131-150 of the FY 2018 USAID Agency Financial Report (AFR) ([FY 2018 USAID Agency Financial Report](#))

Strategies articulated in JSP Strategic Goal Four address several of the management and performance challenges identified by the OIGs. The Department and USAID track progress toward successful completion of the strategic objective performance goals across Strategic Goal Four annually in the APP/APR. The Performance Improvement Officers at State and USAID are the officials responsible for encouraging and advocating greater impact through innovation; increasing effectiveness and efficiency; and improving customer service. At USAID, Angelique M. Crumbly, the Acting Assistant Administrator for Management, is the Performance Improvement Officer. At the Department of State, Douglas Pitkin, Director of the Bureau of Budget and Planning, is the Performance Improvement Officer.

Lower-Priority Program Activities

The President's Budget identifies the lower-priority program activities, where applicable, as required under the Government Performance and Results Modernization Act (GPRAMA), 31 U.S.C. 1115(b) (10). The public can view and download the volume at www.whitehouse.gov/omb/budget.

Regulatory Indicators

In February 2017, President Trump passed Executive Order (E.O.) 13777: Enforcing the Regulatory Reform Agenda to lower regulatory burdens on the American people. E.O. 13777 supports E.O. 13771: Reducing Regulation and Controlling Regulatory Costs, and requires that departments and agencies establish a Regulatory Reform Task Force to evaluate existing regulations and make

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recommendations to the head of the organization regarding their repeal, replacement, or modification. Additionally, departments and agencies are to incorporate, in their APPs, five performance indicators, established by OMB, that measure progress toward meeting the Regulatory Reform Agenda. OMB has waived several departments and agencies' compliance with this E.O.; this includes USAID. The Department of State's progress on the five regulatory reform indicators is as follows:

Key Indicator: Number of evaluations to identify potential E.O. 13771 deregulatory actions that included opportunity for public input and/or peer review.

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 1 | 1 | 0 |
| Actual | N/A | N/A | 1 | 1 | | |

Note: The Department published a Federal Register notice in summer 2018.

Key Indicator: Number of E.O. 13771 deregulatory actions recommended by the Regulatory Reform Task Force to the agency head, consistent with applicable law.

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 1 | 1 | 0 |
| Actual | N/A | N/A | 7 | 0 | | |

Note: There were no new recommendations from the Regulatory Reform Task Force after the seven previously made. The numbers for 2020 are projected as "0" since the Regulatory Reform Task Force might not be in operation then. State will make a decision on its future.

Key Indicator: Number of E.O. 13771 deregulatory actions issued that address recommendations by the Regulatory Reform Task Force.

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 3 | 3 | 0 |
| Actual | N/A | N/A | 1 | 1 | | |

Note: "Issued" is interpreted as "final rule." There was one such rule published in FY 2018, identified as 1400-AD31.

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Key Indicator: Number of E.O. 13771 regulatory actions and, separately, E.O. 13771 deregulatory actions issued (listed as regulatory/deregulatory).

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 0/2 | 0/2 | 0/1 |
| Actual | N/A | N/A | 0/0 | 0/0 | | |

Note: The two deregulatory final rules projected for FY 2018 (1400-AC36 and 1400-AE30) were not published as anticipated. Both are projected for publication in FY 2019.

Key Indicator: Total incremental cost of all E.O. 13771 regulatory actions and E.O. 13771 deregulatory actions (including costs or cost savings carried over from previous fiscal years).

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | |
|--------|---------|---------|---------|-----------------|-----------------|---|
| Target | N/A | N/A | N/A | -\$1.14 million | -\$1.14 million | 0 |
| Actual | N/A | N/A | 0 | 0 | | |

Note: Because those two deregulatory rules (AC36 and AE30) were not published, State did not meet its cost goal in FY 2018. If both are published in FY 2019, as is projected, the Department will make its goal. State has projected “0” regulatory costs in FY 2020.

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Summary of Key Performance Indicators¹

| Indicator Title | FY 2015 Result | FY 2016 Result | FY 2017 Result | FY 2018 Target | FY 2018 Result | FY 2019 Target | FY 2020 Target |
|--|--|--|---|---|--|--|--|
| Strategic Goal 1: Protect America's Security at Home and Abroad | | | | | | | |
| Amount of declared Chemical Weapon Convention schedule chemicals decreased around the world (in metric tons) | 64,437 | 67,243 | 69,412 | 69,612 | 69,857 | 70,000 | 70,480 |
| Number of new countries that have signed, received Board of Governors approval of, and/or brought into force IAEA Additional Protocols | 3 | 4 | 2 | 2 | 5 | 2 | 2 |
| Number of new countries adopting the control lists of one or more of the multilateral export control regimes | 2 | 0 | 2 | 4 | 5 | 4 | 3 |
| Number of missile defense capabilities, enabled by the Department, deployed in host countries as part of the U.S. homeland and regional defense | 11 | 19 | 27 | 35 | 27 | 35 | 43 |
| Number of civilian casualties from ISIS-directed or ISIS-inspired terrorist attacks outside of Iraq and Syria | Total: 1,046 Killed: 350 Wounded: 696 | Total: 3,316 Killed: 1,039 Wounded: 2,277 | Total: 1,827 Killed: 506 Wounded: 1,321 | Total: 0 | TBD | Total: 0 | Total: 0 |
| Total number of internally displaced persons (IDPs) who have safely and voluntarily returned to territories liberated from ISIS in Iraq and Raqqa, Syria | Total: 402,660 Iraq: 402,660 Raqqa, Syria: 0 | Total: 947,904 Iraq: 947,904 Raqqa, Syria: 0 | Total: 2,330,370 Iraq: 2,282,370 Raqqa, Syria: 48,000 | Total: 4,513,991 Iraq: 4,465,991 Raqqa, Syria: 48,000 | Total: 4,331,625 Iraq: 4,165,320 Raqqa, Syria: 166,305 | Total: 5,265,320 Iraq: 5,065,320 Raqqa, Syria: 200,000 | Total: 6,250,000 Iraq: 6,000,000 Raqqa, Syria: 250,000 |
| Number of countries who have joined and are providing military, humanitarian, and stabilization support in the Global Coalition to Defeat ISIS | Coalition Members: 62 | Coalition Members: 67 | Coalition Members: 73 | Coalition Members: 74 | Coalition Members: 79 | Coalition Members: 80 | Coalition Members: 81 |
| Number of Countering Violent Extremism (CVE) programs directly related to U.S. Government CVE objectives implemented in country by civil society and partner governments | N/A | 96 | 237 | 200 | 96 | 120 | 120 |

¹ Data for standard foreign assistance indicators, reported through Annual Foreign Assistance Performance Plans and Reports (PPRs), was pulled from the Foreign Assistance Coordination and Tracking System on 1/28/2019. Indicator results and targets may be revised slightly during the PPR data quality review period through March. Any adjustments will be reflected in future APP/APRs.

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| Indicator Title | FY 2015 Result | FY 2016 Result | FY 2017 Result | FY 2018 Target | FY 2018 Result | FY 2019 Target | FY 2020 Target |
|--|----------------|----------------|------------------------|----------------|----------------|----------------|----------------|
| Number of capability assessments of foreign messaging centers completed by the GEC's Messaging Integration & Coordination (MIC) team | N/A | N/A | 3 | 8 | 5 | 6 | 4 |
| Number of counterterrorism messaging campaigns completed, to include those that involve cooperation with foreign governments and/or foreign messaging centers | 1 | 2 | 15 | 6 | 18 | 7 | 4 |
| Number of USG-funded events, trainings, or activities designed to build support for peace or reconciliation on a mass scale | 4,982 | 35,386 | 6,103 | 5,135 | 7,460 | 4,512 | 1,953 |
| Number of people participating in USG-supported events, trainings, or activities designed to build mass support for peace and reconciliation | 1,557,002 | 339,467 | 324,546 | 127,937 | 359,766 | 469,695 | 464,009 |
| Number of local women participating in a substantive role or position in a peacebuilding process supported with USG assistance | 41,762 | 49,395 | 37,150 | 13,185 | 5,852 | 4,200 | 4,636 |
| Number of individuals receiving voter education through U.S. Government-assisted programs | N/A | 1,448,778 | 2,734,067 | 3,207,041 | 64,220,603 | 7,832,400 | 5,260,200 |
| Number of individuals receiving civic education through U.S. Government-assisted programs | N/A | 169,982 | 4,462,613 | 6,638,345 | 11,762,001 | 7,943,525 | 7,440,770 |
| Number of non-state news outlets assisted by USG | 1,770 | 1,227 | 1,704 | 1,005 | 1,707 | 1,170 | 1,051 |
| Number of judicial personnel trained with USG assistance | 10,230 | 28,774 | 34,039 | 26,289 | 46,294 | 26,452 | 27,000 |
| Number of USG-assisted civil society organizations (CSOs) that participate in legislative proceedings and/or engage in advocacy with national legislature and its committees | 40 | 77 | 334 | 173 | 224 | 129 | 91 |
| The number of host nation criminal justice personnel who received USG-funded Anti-Trafficking in Persons training | 3,525 | 4,566 | 4,529 | 4,529 | 5,560 | 5,600 | 6,000 |
| Metric tons of illicit narcotics seized by U.S. Government-supported host government units in USG-assisted areas | 419.414 MT | 11,600.369 MT | Jan-Jun 2017: 3,063 MT | 7,000 MT | 1,990 MT | 2,000 MT | 2,000 MT |

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| Indicator Title | FY 2015 Result | FY 2016 Result | FY 2017 Result | FY 2018 Target | FY 2018 Result | FY 2019 Target | FY 2020 Target |
|--|----------------|-----------------|------------------------------|-----------------|-----------------|-----------------|-----------------|
| Number of vetted and specialized law enforcement units receiving support | N/A | N/A | Jan-Jun 2017: 209 units | 215 | 195 | 205 | 205 |
| Arrests made by USG-assisted law enforcement personnel for trafficking crimes of illegal gathering, transportation, and distribution of drugs, chemicals, wildlife, weapons, or humans | N/A | N/A | Jan-Jun 2017: 63,610 arrests | 115,000 arrests | 142,267 arrests | 125,000 arrests | 125,000 arrests |
| The dollar value of public and private investment and other financial resources mobilized behind international strategic energy infrastructure projects as a result USG action | N/A | \$6.839 billion | \$3.45 billion | \$3.5 billion | \$3.714 billion | \$3.5 billion | \$4 billion |
| Number of countries, economies, and/or regional organizations with which the Department of State has new or sustained engagement on cyber issues | N/A | N/A | 86 | 89 | 126 | 106 | 89 |
| Number of enhanced diplomatic engagements facilitated by the Department of State on cyber issues | N/A | N/A | 0 | 30 | 148 | 79 | 22 |
| Number of new governments sharing information with the United States to prevent terrorists from reaching the border | 4 | 9 | 10 | 10 | 3 | 5 | 5 |
| Number of multilateral and regional initiatives that the CT Bureau funds to raise awareness of and increase political will and capacities of countries to adopt U.S. standards and approaches | 1 | 2 | 3 | 4 | 3 | 1 | 3 |
| Activation of appropriate Consular crisis response tools within six hours after notification of a crisis event | N/A | N/A | N/A | 100% | 0% | 100% | 100% |
| Achieve all required dissemination targets for travel advisory content within three hours of final Department clearance for each country that moves into the Level 3 (Reconsider Travel) or Level 4 (Do Not Travel) category | N/A | N/A | TBD | 90% | 32% | 90% | 90% |
| Review and update all country information pages on travel.state.gov at least once annually to ensure current and relevant safety and security information | 0% | 0% | TBD | 100% | 76% | 100% | 100% |

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| Indicator Title | FY 2015 Result | FY 2016 Result | FY 2017 Result | FY 2018 Target | FY 2018 Result | FY 2019 Target | FY 2020 Target |
|--|----------------|-----------------|-----------------|----------------------------------|----------------------------------|----------------------------------|----------------|
| Process 99 percent of passport applications within publicly available time-frames | 99.7% | 99.9% | 99.9% | 99% | 99.9% | 99% | 99% |
| Strategic Goal 2: Renew America's Competitive Advantage for Sustained Economic Growth and Job Creation | | | | | | | |
| Number of annual State Department high-level commercial advocacy efforts to support U.S. export of goods and services | 58 | 44 | 44 | 48 | 34 | 38 | 42 |
| Number of U.S. aviation agreements reached or expanded | 4 | 2 | 2 | 2 | 6 | 2 | 2 |
| The World Bank's Doing Business Trading Across Borders score for partner countries with USAID trade facilitation programming | 65.9 | 67 | 71.4 | 70 | 72.8 | 70 | 70 |
| Value of information and communications technology services exports | N/A | \$66.1 billion | \$68 billion | \$68 billion | \$70.9 billion | \$73 billion | \$75 billion |
| Number of companies participating in the U.S.-EU Privacy Shield | 0 | 0 | 2,480 | 2,850 | 4,000 | 4,500 | 5,000 |
| Number of economies participating in the Asia-Pacific Economic Cooperation Cross-Border Privacy Rules (APEC CBPR) Process | N/A | 4 | 4 | 6 | 8 | 10 | 12 |
| Number of private sector firms that have improved management practices or technologies as a result of USG assistance | N/A | N/A | 2,119 | 1,574 | 1,443 | 989 | 1,046 |
| Number of countries that participate in State scientific fellowships and exchanges | 36 | 52 | 48 | 45 | 49 | 45 | 45 |
| Value of incremental sales generated with U.S. Government assistance | \$829 million | \$906 million | \$1.122 billion | \$850 million | TBD | \$425 million | N/A |
| Number of farmers who have applied new technologies and management practices (including risk management technologies and practices) as a result of U.S. assistance | 9 million | 11 million | 11.3 million | 9.75 million | TBD | 4.875 million | N/A |
| Value of new private sector investment in the agriculture sector leveraged by Feed the Future implementation | \$154 million | \$218.8 million | \$243 million | \$220 million | TBD | \$110 million | N/A |
| Number of children reached by nutrition interventions | 18 million | 27.7 million | 22.6 million | 18 million | TBD | 9 million | N/A |
| Number of USAID Feed the Future evaluations | N/A | N/A | N/A | Q1: 2 Q2: 2 Q3: 2 Q4: 2 | Q1: 4 Q2: 5 Q3: 5 Q4: 6 | Q1: 2 Q2: 2 Q3: 2 Q4: 2 | N/A |

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| Indicator Title | FY 2015 Result | FY 2016 Result | FY 2017 Result | FY 2018 Target | FY 2018 Result | FY 2019 Target | FY 2020 Target |
|---|----------------|----------------|----------------|----------------|----------------|----------------|----------------|
| Percentage of female participants in USG-assisted programs designed to increase access to productive economic resources (assets, credit, income or employment) | 41.02% | 53.55% | 52.61% | 55.42% | 50.39% | 55.99% | 56.34% |
| Percentage of participants reporting increased agreement with the concept that males and females should have equal access to social, economic, and political resources and opportunities | N/A | N/A | 41.75% | 54.72% | 51.89% | 48.8% | 60.26% |
| Number of people reached by a U.S. Government-funded intervention providing gender-based violence services (e.g., health, legal, psycho-social counseling, shelters, hotlines, other) | 11,837,166 | 3,146,925 | 4,338,089 | 843,156 | 5,050,870 | 2,058,131 | 2,014,625 |
| Number of legal instruments drafted, proposed, or adopted with USG assistance designed to improve prevention of or response to sexual and gender-based violence at the national or sub-national level | 30 | 2 | 47 | 61 | 56 | 86 | 21 |
| Number of countries with improved learning in primary grades | N/A | N/A | N/A | 2 | N/A | 4 | 6 |
| Number of learners in primary schools or equivalent non-school based settings reached with USG education assistance | 7,569,082 | 20,004,643 | 25,259,173 | 23,389,069 | 35,095,910 | 30,651,536 | 24,840,007 |
| Number of firms receiving USG-funded technical assistance for improving business performance | N/A | 1,614 | 71,347 | 14,471 | 99,546 | 98,959 | 53,667 |
| Full-time equivalent employment of firms receiving USG assistance | N/A | 21,259 | 25,002 | 7,483 | 19,345 | 18,764 | 27,325 |
| Number of people gaining access to safely managed drinking water services as a result of USG assistance | N/A | 188,168 | 391,394 | 1,955,501 | 1,071,386 | 469,054 | 666,000 |
| Number of people gaining access to a basic sanitation service as a result of USG assistance | 2,431,211 | 2,964,497 | 1,554,451 | 7,333,314 | 7,439,323 | 8,506,634 | 7,429,914 |
| Number of people with improved economic benefits derived from sustainable natural resource management and/or biodiversity conservation as a result of USG assistance | 824,958 | 1,429,079 | 363,863 | 544,522 | 585,555 | 883,988 | 651,096 |

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| Indicator Title | FY 2015 Result | FY 2016 Result | FY 2017 Result | FY 2018 Target | FY 2018 Result | FY 2019 Target | FY 2020 Target |
|---|-----------------|-----------------|-----------------|-----------------|-----------------|-----------------|----------------|
| Number of people receiving livelihood co-benefits (monetary or non-monetary) associated with the implementation of USG sustainable landscapes activities | 1,152 | 13,870 | 59,493 | 24,800 | 174,410 | 100,315 | 100,000 |
| Number of countries that have positive engagements on strategically addressing air pollution with the USG | N/A | N/A | 0 | 2 | 1 | 8 | 15 |
| Number of beneficiaries with improved energy services due to State and USAID assistance | 4,694,294 | 11,189,631 | 9,210,497 | 8,689,284 | 9,500,500 | 2,929,988 | 2,870,391 |
| Value of U.S. exports of: 1) natural gas, 2) energy sector services, and 3) energy technologies, including future contracted sales that are supported by State and USAID efforts | N/A | N/A | \$3.374 billion | \$5 billion | \$5.175 billion | \$7 billion | \$8 billion |
| Amount of investment mobilized (in USD) for energy projects (including clean energy) as supported by USG assistance | \$9,793,480,831 | \$9,175,299,861 | \$7,634,319,593 | \$7,613,218,763 | \$5,999,249,920 | \$5,749,918,073 | \$883,076,890 |
| Energy generation capacity (MW) supported by USG assistance that has achieved financial closure | 1,079 | 3,642 | 5,094 | 13,812 | 7,895 | 8,325 | 3,568 |
| Number of energy sector laws, policies, regulations, or standards formally proposed, adopted, or implemented as supported by U.S. Government assistance | 278 | 474 | 427 | 167 | 235 | 213 | 161 |
| Number of countries that reduced their percentage of total gas consumption from a dominant supplier or their oil imports supplied through foreign subsidy schemes supported by State and USAID efforts (from a 2016 baseline) | N/A | N/A | N/A | 2 | 1 | 4 | 6 |
| Number of government officials receiving U.S. Government-supported anti-corruption training | 16,681 | 11,289 | 13,991 | 10,036 | 15,804 | 10,753 | 9,429 |
| Number of people affiliated with non-governmental organizations receiving U.S. Government-supported anti-corruption training | 7,339 | 4,689 | 15,127 | 13,814 | 15,875 | 12,125 | 11,485 |
| Number of anti-corruption measures proposed, adopted or implemented due to USG assistance, to include laws, policies, or procedures | 126 | 163 | 331 | 125 | 704 | 125 | 125 |
| Number of target countries with new Fiscal Transparency Innovation Fund projects | 10 | 12 | 12 | 7 | 15 | 7 | 7 |

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| Indicator Title | FY 2015 Result | FY 2016 Result | FY 2017 Result | FY 2018 Target | FY 2018 Result | FY 2019 Target | FY 2020 Target |
|---|-----------------|------------------|----------------|----------------|-----------------|----------------|----------------|
| Strategic Goal 3: Promote American Leadership through Balanced Engagement | | | | | | | |
| Percentage of USAID Country Development Cooperation Strategies that include a Development Objective, Intermediate Result, Sub-Intermediate Result, or transition section that addresses ways to strengthen host country capacity to further its self-reliance | N/A | N/A | N/A | N/A | 3.17% | 15.87% | 44.44% |
| United Nations peacekeeping rate of assessment | 28.4% | 28.6% | 28.5% | 28.4% | 28.4% | 25% | 25% |
| Amount of resource commitments by non-U.S. Government public and private entities in support of U.S. foreign policy goals | \$7.131 billion | \$28.416 billion | \$25.3 billion | \$28.9 billion | \$0.005 billion | \$28.9 billion | \$9 billion |
| Number of civil society organizations (CSOs) receiving U.S. Government assistance engaged in advocacy interventions | 17,978 | 5,158 | 7,524 | 5,755 | 7,696 | 6,021 | 4,988 |
| Number of U.S. school communities (K-12 schools, colleges, and universities), businesses, and other private sector organizations in support of USG-funded diplomatic exchange programs | 33,219 | 29,082 | 29,766 | 29,766 | 33,000 | 29,766 | 29,766 |
| Percent of participants reporting ability to apply digital skills learned at TechCamp to their work | N/A | 80.79% | 84.58% | 90% | 91% | 95% | 98% |
| Visitors to exchange program events, U.S. educational advising, cultural offerings, information sessions and professional networking opportunities at American Spaces | 37.8 million | 40.4 million | 58.9 million | 12.9 million | 68.3 million | 70.3 million | 72.5 million |
| Percent of U.S. Government-sponsored foreign exchange program participants who report a more favorable view of the American people | 88.57% | 87.75% | 93.45% | 90% | 89% | 90% | 90% |

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| Indicator Title | FY 2015 Result | FY 2016 Result | FY 2017 Result | FY 2018 Target | FY 2018 Result | FY 2019 Target | FY 2020 Target |
|---|----------------|----------------|----------------|--|--|--|------------------|
| Number of engagements generated by ShareAmerica content delivered to impact targeted narratives | N/A | N/A | N/A | Establish baseline engagement | 952 engagements per article | N/A ² | N/A ³ |
| Absolute change in all-cause under-five mortality (U5MR) | -1.7 | -2.2 | -2.3 | -2 | -2.1 | -2 | TBD |
| Absolute change in total percentage of children who received at least three doses of pneumococcal vaccine by 12 months of age | +1.6 | +1.6 | N/A | +5 | +1.65 | +2 | +2 |
| Absolute change in total percentage of births delivered in a health facility | N/A | +0.4 | N/A | +1 | +1.05 | +1 | +1 |
| Absolute change in Modern Contraceptive Prevalence Rate (mCPR) | +1.2 | +1.4 | N/A | +1 | +1.1 | +1 | +1.1 |
| Annual total number of people protected against malaria with insecticide treated nets (ITN) | 72 million | 87 million | 59 million | 77 million | 126 million | 80 million | 85 million |
| Percent of shipments of contraceptive commodities that are on time | N/A | N/A | N/A | Q1: 80% Q2: 80% Q3: 80% Q4: 80% | Q1: 75% Q2: 81% Q3: 84% Q4: 91% | Q1: 80% Q2: 80% Q3: 80% Q4: 80% | N/A |
| Percent of shipments of contraceptive commodities that are on time and in full | N/A | N/A | N/A | Q1: 80% Q2: 80% Q3: 80% Q4: 80% | Q1: 57% Q2: 74% Q3: 63% Q4: 85% | Q1: 80% Q2: TBD Q3: TBD Q4: TBD | N/A |
| Number of adults and children currently receiving antiretroviral therapy (ART) | N/A | N/A | 13,206,682 | 15,878,510 | 14,730,437 | Q1: 15,612,172 Q2: 16,493,908 Q3: 17,375,643 Q4: 18,257,378 | TBD |
| Number of adults and children newly enrolled on antiretroviral therapy (ART) | N/A | N/A | 2,774,524 | 4,021,968 | Q1: 573,936 Q2: 650,010 Q3: 643,889 Q4: 810,729 | Q1: 833,079 Q2: 833,079 Q3: 833,079 Q4: 833,079 | TBD |

² Because significant changes to IIP's organization/mission are in the process of being implemented, we are unsure of the future of this particular indicator, and are not able to provide out-year targets at this time. While ShareAmerica will continue to operate, the direction and methods of evaluation for the program may be impacted.

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| Indicator Title | FY 2015 Result | FY 2016 Result | FY 2017 Result | FY 2018 Target | FY 2018 Result | FY 2019 Target | FY 2020 Target |
|---|--------------------------|--------------------------|---------------------------|--|--|--|--------------------------|
| Number of males circumcised as part of the voluntary medical male circumcision (VMMC) for HIV prevention program within the reporting period | N/A | N/A | 3,382,541 | Q1: 970,744 Q2: 970,745 Q3: 970,744 Q4: 970,745 | Q1: 714,338 Q2: 839,088 Q3: 1,086,402 Q4: 1,094,386 | 3,823,495 | TBD |
| Percentage of NGO or other international organization projects that include dedicated activities to prevent and/or respond to gender-based violence | 35% | 37% | 34.85% | 37% | 35.77% | 37% | 37% |
| Protection Mainstreaming in NGO proposals | N/A | N/A | N/A | 95% | 100% | 95% | 95% |
| Percentage of UNHCR Supplementary Appeals and ICRC Budget Extension Appeals that PRM commits funding to within three months | N/A | 100% | 100% | 100% | 100% | 100% | 100% |
| Percent of disaster declarations responded to within 72 hours | 88% | 100% | 100% | 95% | 89% | 95% | 95% |
| Percentage of targeted implementing partners with completed benchmark plans | N/A | N/A | N/A | 50% | 87% | 80% | 100% |
| Strategic Goal 4: Ensure Effectiveness and Accountability to the American Taxpayer | | | | | | | |
| Percentage of completed evaluations used to inform management and decision making | State: 89% USAID: N/A | State: 94% USAID: N/A | State: 100% USAID: N/A | State: 95% USAID: 95% | State: 100% USAID: 99.4% | State: 95% USAID: 95% | State: 95% USAID: 95% |
| Percent of completed foreign assistance evaluations with a local expert as a member of the evaluation team | N/A | 49% | 59% | 50% | 64.8% | 65% | 65% |
| Percentage of Awards using co-creation | N/A | N/A | N/A | Baseline | 18% | Q1: 20% Q2: 22% Q3: 24% Q4: 28% | N/A |
| Percentage of Obligations using co-creation | N/A | N/A | N/A | Baseline | 21% | Q1: 23% Q2: 25% Q3: 27% Q4: 31% | N/A |
| Number of New Partners | N/A | N/A | N/A | Baseline | 226 | Q1: 22 Q2: 31 Q3: 51 Q4: 145 | N/A |
| Percentage of addressable contract dollars awarded to Best in Class vehicles (State) | N/A | N/A | N/A | Q1: 35% Q2: 35% Q3: 35% Q4: 35% | Q1: 32% Q2: 52% Q3: 37% Q4: 40% | Q1: 37% Q2: 37% Q3: 37% Q4: 37% | N/A |

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| Indicator Title | FY 2015 Result | FY 2016 Result | FY 2017 Result | FY 2018 Target | FY 2018 Result | FY 2019 Target | FY 2020 Target |
|---|----------------|----------------|----------------|--|--|--|----------------|
| Percentage of addressable contract dollars awarded to Best in Class vehicles (USAID) | N/A | N/A | N/A | Q1: 10% Q2: 20% Q3: 25% Q4: 35% | Q1: 0% Q2: 29% Q3: 30% Q4: 36% | Q1: 10% Q2: 20% Q3: 30% Q4: 40% | N/A |
| Percentage of contract dollars awarded to contract vehicles designated as Spend Under Management (State) | N/A | N/A | N/A | Q1: 5% Q2: 10% Q3: 15% Q4: 18.06% | Q1: 2% Q2: 8% Q3: 15% Q4: 25% | Q1: 5% Q2: 10% Q3: 15% Q4: 21% | N/A |
| Percentage of contract dollars awarded to contract vehicles designated as Spend Under Management (USAID) | N/A | N/A | N/A | Q1: 45% Q2: 56% Q3: 65% Q4: 70% | Q1: 77% Q2: 56% Q3: 59% Q4: 74% | Q1: 56% Q2: 66% Q3: 70% Q4: 75% | N/A |
| Number of operating units adopting DIS | N/A | N/A | N/A | 7 | 0 | 6 | 35 |
| Supply chain cost savings | N/A | \$10.1 million | \$6.2 million | \$10 million | \$16.65 million | \$10 million | \$10 million |
| Percent of IT procurements reviewed and approved by the Department CIO that are aligned to specific IT Investment through the Department's Capital Planning and Investment Control (CPIC) process | N/A | N/A | N/A | 40% | 31% | 60% | 65% |
| Percent of IT funding the Department CIO has direct review and oversight of | N/A | N/A | N/A | 50% | 100% | 100% | 100% |
| Percent of Civil Service and Foreign Service IT workforce with known cloud-specific certifications on file | N/A | N/A | N/A | 10% | 4.6% | 20% | 20% |
| Percentage of users that are leveraging the enterprise IDMS solution thus increasing efficiencies | N/A | N/A | N/A | Q1: N/A Q2: N/A Q3: N/A Q4: 0% | Q1: N/A Q2: N/A Q3: N/A Q4: 0% | Q1: N/A Q2: N/A Q3: N/A Q4: 90% | N/A |
| Percentage of employees transitioned to primary cloud collaboration platform | N/A | N/A | N/A | Q1: N/A Q2: N/A Q3: N/A Q4: 50% | Q1: N/A Q2: N/A Q3: N/A Q4: 52% | Q1: N/A Q2: N/A Q3: N/A Q4: 90% | N/A |
| Percentage of domestic data centers that are closed due to efficiencies of the cloud | N/A | N/A | N/A | Q1: N/A Q2: N/A Q3: N/A Q4: 15% | Q1: N/A Q2: N/A Q3: N/A Q4: 17% | Q1: N/A Q2: N/A Q3: N/A Q4: 30% | N/A |
| Percentage of Department domestic buildings and overseas posts that support WiFi | N/A | N/A | N/A | Q1: N/A Q2: N/A Q3: N/A Q4: 10% | Q1: N/A Q2: N/A Q3: N/A Q4: 4% | Q1: N/A Q2: N/A Q3: N/A Q4: 30% | N/A |
| Percentage of systems designed to the target architecture | N/A | N/A | N/A | Q1: N/A Q2: N/A Q3: N/A Q4: 0% | Q1: N/A Q2: N/A Q3: N/A Q4: 0% | Q1: N/A Q2: N/A Q3: N/A Q4: 20% | N/A |

Department of State and USAID Overview

| Indicator Title | FY 2015 Result | FY 2016 Result | FY 2017 Result | FY 2018 Target | FY 2018 Result | FY 2019 Target | FY 2020 Target |
|--|---------------------------|----------------------------|----------------------------|--|--|---|---------------------------|
| Percentage of High Impact Systems that have ATO | N/A | N/A | N/A | Q1: N/A Q2: N/A Q3: N/A Q4: 65% | Q1: N/A Q2: N/A Q3: N/A Q4: 70% | Q1: N/A Q2: N/A Q3: N/A Q4: 75% | N/A |
| Percentage of Moderate Impact Systems that have ATO | N/A | N/A | N/A | Q1: N/A Q2: N/A Q3: N/A Q4: 46% | Q1: N/A Q2: N/A Q3: N/A Q4: 53% | Q1: N/A Q2: N/A Q3: N/A Q4: 60% | N/A |
| [Intrusion and Detection Prevention] Percentage of DMARC set up to default 'reject' | N/A | N/A | N/A | Q1: N/A Q2: N/A Q3: N/A Q4: 55% | Q1: N/A Q2: N/A Q3: N/A Q4: 55% | Q1: N/A Q2: N/A Q3: N/A Q4: 100% | N/A |
| Human capital services cost (Benchmarking Initiative) | N/A | \$3,104 | \$3,178 | \$2,887 | TBD | \$3,508 | \$3,564 |
| Overall score on Human Capital function of GSA's Customer Satisfaction Survey (or USAID's equivalent survey) | State: 4.3 USAID: 2.99 | State: 4.29 USAID: 4.16 | State: 4.68 USAID: 4.16 | State: 4.88 USAID: 4.32 | State: 4.60 USAID: 3.91 | State: 4.98 USAID: 4.3 | State: 5.08 USAID: 4.5 |
| Overall score on FEVS Employee Engagement Index (EEI) – (State only) | 70 | 70 | 69 | 70 | 68 | 70 | 70 |
| Percent of reviewed posts receiving a 95-100 percent PSPR score | N/A | N/A | 80% | 80% | 67% | 85% | 90% |
| Number of U.S. Government employees and local staff moved into safer and more secure facilities | 2,830 | 538 | 3,072 | 3,000 | 3,108 | 3,000 | 3,000 |
| Percentage of USAID Global Health and Management Bureau staff moved to newly leased facility | N/A | N/A | N/A | 0% | 0% | 0% | 100% |
| Percent completion of Phases 3 and 4 of the Ronald Reagan Building Renovation | N/A | N/A | N/A | 0% | 0% | 33% | 100% |

Strategic Goal 1: Protect America's Security at Home and Abroad

Strategic Objective 1.1: Counter the proliferation of Weapons of Mass Destruction (WMD) and their delivery systems

Strategies for Achieving the Objective/Strategic Objective Progress Update

The Department will pursue diplomatic solutions to proliferation challenges, and rally international support for sanctions against proliferant nations. Although progress has been made, including through the historic Summit meeting in June 2018, the threat posed by North Korea's unlawful nuclear and ballistic missile programs requires immediate international attention, and the Department continues to urge all countries to cut diplomatic, financial, economic, and military ties with North Korea. To ensure the diplomatic process has the greatest chance for success, the Department will continue to lead efforts to impose and enforce sanctions – whether nationally, in conjunction with like-minded states, or through the United Nations (UN) Security Council – on principal sectors of the North Korean economy, or on entities and individuals supporting North Korea's proliferation programs.

The Department will continue efforts to strengthen and improve international weapons conventions, non-proliferation treaties, and multilateral export control regimes, such as the Chemical Weapons Convention (CWC), the Nuclear Non-Proliferation Treaty, and the Biological Weapons Convention. In addition, State will continue to support the New Strategic Arms Reduction Treaty (START), which provides transparency and predictability regarding the world's two largest nuclear arsenals, in the United States and the Russian Federation. The Department will also work to strengthen means for interdicting shipments of proliferation concern, and other states' capacities to prevent proliferant transfers.

The Department will continue to assess states' compliance with obligations and commitments, including the publication of a congressionally mandated Compliance Report detailing non-compliant activity annually. The Department will continue to lead multilateral efforts that urge non-compliant states to return to compliance with their obligations and to understand the challenges associated with future nuclear disarmament verification, in particular through the International Partnership for Nuclear Disarmament Verification. Following the U.S. withdrawal from the Joint Comprehensive Plan of Action (JCPOA), State will work with the Congress and our European allies to maintain pressure on Iran in support of efforts to negotiate a more comprehensive agreement and to fix the flaws in the JCPOA, and continue to hold Iran strictly accountable to its agreed-upon commitments.

Strategic Goal 1: Protect America's Security at Home and Abroad

Performance Goal 1.1.1: Strengthen Global Arms Control/Non-Proliferation Regime

Performance Goal Statement: By 2022, strengthen U.S. national security through enhancements to the global arms control and non-proliferation regime, by strengthening its treaties, reducing WMD, and strengthening verification and compliance with arms control and non-proliferation obligations. (State)

Performance Goal Overview/Progress Update

The United States faces a range of increasingly grave threats from the proliferation of WMD, including WMD materials, technologies, and delivery systems. Advances in nuclear weapons capabilities, delivery systems, and nuclear use doctrines of several states have increased the potential for the use of nuclear weapons. Multiple countries possess clandestine chemical or biological weapons programs, or are using a legitimate program as a cover for nefarious purposes, and several states are engaged in a systematic campaign to delegitimize and undermine the international institutions responsible for ensuring accountability of chemical weapons use. Russia is expanding its intermediate-range strike capabilities, including ground-launched cruise missiles in violation of the Intermediate-Range Nuclear Forces (INF) Treaty. The Nuclear Non-Proliferation Treaty (NPT), which for 60 years has provided a rules-based framework for addressing nuclear weapons, is under threat, most urgently by North Korea's unlawful nuclear weapons and ballistic missile delivery systems.

The Department leads U.S. Government diplomatic efforts to bolster the global non-proliferation regime, in particular the NPT, the CWC, and the Biological Weapons Convention. The Department needs to maximize international consensus in support of these treaties, promote universal adherence, and press States Parties to both address urgent issues (such as chemical and biological terrorism) more fully and to deal with violators. A major focus of attention will be upcoming Review Conferences of all three treaties. The Department also leads diplomatic engagement regarding the New START Treaty, INF, and other arms control agreements. Lastly, the Department leads U.S. Government efforts to monitor and verify the compliance of all States Parties with arms control and non-proliferation obligations, and to ensure that the U.S. Government develops new technologies necessary for addressing future verification and monitoring challenges.

Strategic Goal 1: Protect America's Security at Home and Abroad

Key Indicator: Amount of declared CWC schedule chemicals decreased around the world (in metric tons)

| | FY 2014 Baseline | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------------------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | N/A | 69,612 | 70,000 | 70,480 |
| Actual | 59,400 | 64,437 | 67,243 | 69,412 | 69,857 | | |

Indicator Analysis

The United States is the sole remaining State Party that still must destroy its declared CW stockpile. The United States remains on schedule to complete destruction of its chemical weapons by 2023. The projected global target amount in fiscal year (FY) 2018 was met and even surpassed by some 200+ metric tons. The FY 2019 and 2020 targets reflect the ongoing destruction of declared chemical weapons at the facility in Pueblo, Colorado and the scheduled start up of the facility in Blue Grass, Kentucky, which is expected to become fully operational and begin destruction in 2020.

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.

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

| | FY 2014 Baseline | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------------------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | N/A | 2 | 2 | 2 |
| Actual | 3 | 3 | 4 | 2 | 5 | | |

Indicator Analysis

The United States has increased its efforts to universalize the Additional Protocol (AP) in the lead up to the 50th Anniversary of the NPT in 2020, and the FY 2018 results demonstrate the success of this diplomatic engagement. Algeria signed the AP; Sri Lanka's AP was approved by the Board of Governors; and the APs of Honduras, Serbia, and Thailand entered into force. The Department takes a customized, state-specific approach to universalize the AP and

Strategic Goal 1: Protect America's Security at Home and Abroad

includes high-level leadership outreach, incentives, training, and partnerships. The target for FY 2019 has accordingly been increased from one to two additional steps.

Indicator Methodology

Data is provided on the IAEA's website (IAEA.org) as Member States sign, receive Board of Governors approval of, and/or bring into force an Additional Protocol. There are no known limitations to this data.

Performance Goal 1.1.2: Counter WMD and Ballistic Missile Proliferation

Performance Goal Statement: By 2022, strengthen U.S. national security by countering WMD and ballistic missile proliferation, strengthening relevant multilateral arrangements, and impeding illicit trafficking of WMD, advanced conventional weapons, and related technologies. (State)

Performance Goal Overview/Progress Update

Many state and non-state actors that pursue clandestine or proscribed WMD programs or ballistic missile systems rely on acquisition of equipment, components, materials, and expertise from abroad, often diverted from legitimate trade. These actors rely on networks of witting and unwitting individuals and companies, including scientists, engineers, businessmen, manufacturers, shippers, information technology (IT) specialists, and brokers. Rapid diffusion of manufacturing capabilities means there are more suppliers of commercial technologies that may have weapons applications and more dual-use technologies that could be used to produce WMD. Adding to the complexity is the speed and volume of the international trade environment, in which illicit shipments may be hidden among thousands of containers carrying legitimate cargo. Multiple suppliers, use of intermediaries, circuitous shipping routes, and transshipment through countries that have less robust controls help proliferators obscure their procurement efforts. The Department uses a variety of tools to address these challenges, including strengthening the multilateral export control regimes; interdicting shipments of proliferation concern; building other states' capabilities to prevent, impede, and counter proliferation; employing sanctions and other penalties to deter proliferant procurement; screening foreign visitors for non-proliferation concerns; and developing a multipronged approach to address proliferation networks. Led by the Department, the United States works to strengthen the multilateral export control regimes (the Missile Technology Control Regime (MTCR), the Nuclear Suppliers Group (NSG), the chemical and biological weapons-focused Australia Group, and the Wassenaar Arrangement (WA) on Export Controls for Conventional Arms and Dual-Use Goods and Technologies) so they keep pace with emerging technologies and proliferant procurement trends. The Department also works through the regimes and with specialized security assistance programs to bring strategic trade and export control systems up to regime standards in non-member countries, especially supplier states and transit and transshipment hubs. The Department will urge all states to adopt the export control policies and control lists of these

Strategic Goal 1: Protect America's Security at Home and Abroad

regimes. As part of our effort to impede and stop proliferation, the Department works to strengthen the Proliferation Security Initiative and improve international implementation of UN Security Council Resolution (UNSCR) 1540.

North Korea's nuclear and ballistic missile programs and Iran's ballistic missile programs threaten U.S. and international security as well as regional stability. The Department uses the full range of non-proliferation tools outlined above to make these countries' pursuit of such programs more costly, time-consuming, and difficult to advance. In addition, the Department works with regional partners and others to foster missile defense cooperation and enable the Department of Defense (DOD) to deploy missile defenses as needed.

Key Indicator: Number of new countries adopting the control lists of one or more of the multilateral export control regimes

| | FY 2014 Baseline | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------------------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | N/A | 4 | 4 | 3 |
| Actual | 165 | 2 | 0 | 2 | 5 | | |

Indicator Analysis

Membership in the multilateral export control regimes consists of those countries that are major suppliers or possessors of key dual-use materials or technologies. To extend the regimes' reach, the regimes have institutionalized outreach efforts to non-member countries. The United States joins the regimes' outreach efforts and also conducts intensive diplomacy to help states develop and improve their strategic trade and export control systems. In 2018, five countries receiving Department assistance (Albania, Jordan, Kazakhstan, Panama, and Ukraine) updated their national control lists to be consistent with the European Union (EU) Consolidated List and the lists of the multilateral export control regimes. The number of countries adopting national controls lists consistent with those of the multilateral regimes is increasing incrementally. Progress is slow because many non-supplier countries do not have sufficient technical expertise to facilitate control list review and updates. The Department will continue to provide technical assistance to encourage countries to adopt comprehensive control lists.

Indicator Methodology

Information on regime membership and formal unilateral adherence is posted on the MTCR, Australia Group, WA, and NSG websites. This includes information on when countries become new members and new unilateral adherents. There are no known limitations to this data.

Strategic Goal 1: Protect America's Security at Home and Abroad

Key Indicator: Number of missile defense capabilities, enabled by the Department, deployed in host countries as part of the U.S. homeland and regional defense

| | FY 2014 Baseline | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------------------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | N/A | 35 | 35 | 43 |
| Actual | 4 | 11 | 19 | 27 | 27 | | |

Indicator Analysis

In 2018, because of construction delays by the primary Missile Defense Agency contractor, the United States did not deploy any additional interceptors in Poland as anticipated. The delays will shift this metric until 2020, when State anticipates it will deploy additional interceptors in Europe. In addition, delays in releasing the Missile Defense Review (MDR) resulted in fewer opportunities in 2018 to engage with allies on additional missile defense cooperation efforts. The Department anticipates being able to more actively engage on these issues in 2019 since the release of this presidentially-mandated report in January 2019. The MDR noted that the DOD intends to deploy a new missile defense radar to the Pacific region by 2025. The MDR also calls for increased cooperation with Allies and partners on Integrated Air and Missile Defense, which may lead to additional but as yet undefined deployments in the future. Japan also announced in January 2019 that it will acquire from the United States two Aegis Ashore systems that it estimates will achieve a partial initial operational capability by 2026 or 2027.

Indicator Methodology

Data are cumulative and are collected from bilateral consultations, Embassy reporting, and DOD reporting. Most of the data will be publicly known or available, but at times some information may remain classified. In addition, the data does not include multipurpose capabilities, such as ships, where ballistic missile defense is just one capability that the asset employs.

Strategic Goal 1: Protect America's Security at Home and Abroad

Strategic Objective 1.2: Defeat ISIS, al-Qa'ida and other transnational terrorist organizations, and counter state-sponsored, regional, and local terrorist groups that threaten U.S. national security interests

Strategies for Achieving the Objective/Strategic Objective Progress Update

The Department and USAID will play a key role in implementing the President's plan to defeat the Islamic State of Iraq and Syria (ISIS), through leadership of the Global Coalition to Defeat ISIS. State and USAID will work multilaterally through institutions such as the UN, Group of Seven (G7), and Global Counterterrorism Forum to promote international norms and good practices, and sustain transregional cooperation to prevent and counter terrorism.

State and USAID will encourage regional organizations, national and local governments, civil society, faith-based groups, and the private sector to counter these radical ideologies, as well as to prevent and mitigate conditions conducive to instability, radicalization, and terrorist recruitment. The Department and USAID will strengthen democratic, transparent, representative, and citizen-responsive governance and include the voices of women and marginalized communities to increase the trust between government authorities and local populations. Where the United States and our partners have defeated terrorists in the field and ended their control of specific communities, the Department and USAID will support stabilization of liberated areas so that the terrorists cannot return. Syria is a special case in that no legitimate host-nation partner exists to provide effective security, governance, and economic activity in areas freed from ISIS. The way forward in Syria depends on implementation of UNSCR 2254, including a political transition with international support. Interim arrangements that are truly representative and do not threaten neighboring states will speed the stabilization of liberated areas of Syria and set the conditions for constitutional reform and elections.

The Department and USAID will prioritize their engagement and assistance to stabilize areas liberated from violent extremist organizations, particularly ISIS. State and USAID will use innovative approaches to encourage host government partners and civil society organizations to undertake critical reforms to establish legitimate governance, restore the rule of law, and address local grievances, particularly among women, religious and ethnic minorities, and other marginalized communities.

Strategic Goal 1: Protect America's Security at Home and Abroad

Performance Goal 1.2.1: Contribute to the Defeat of ISIS

Performance Goal Statement: By 2022, contribute to the defeat of ISIS core, its regional branches and nodes, and its global network through mobilization of the Global Coalition, diplomacy, action, humanitarian and stabilization assistance, and international coordination and cooperation. (State)

Performance Goal Overview/Progress Update

Over the past year, the United States and our partners in the Global Coalition to Defeat ISIS have liberated ISIS's remaining territory in Iraq and Syria and continued to degrade and disrupt its regional branches and affiliates and transregional networks. However, although the liberation of territory in Iraq and Syria is a significant milestone, ISIS continues to evolve into a clandestine insurgency. ISIS continues to inspire and mobilize supporters and sympathizers through messaging, propaganda, and recruitment efforts.

Degrading and defeating ISIS as part of the Global Coalition is a key component of the Administration's effort to protect America's security at home and abroad. This includes securing homelands and maintaining support for the Global Coalition to Defeat ISIS.

Military gains against ISIS must be consolidated by working by, with, and through local partners to provide continuing security as well as humanitarian and stabilization assistance, along with our Coalition partners. The Department believes that diplomatic engagement and targeted assistance will help prevent new recruitment, reduce levels of violence, promote legitimate governance structures that strengthen inclusion, and reduce policies that marginalize communities.

Key Indicator: Number of civilian casualties from ISIS-directed or ISIS-inspired terrorist attacks outside of Iraq and Syria

| | FY 2015 (appx.) | FY 2016 (appx.) | FY 2017 (appx.) | FY 2018 | FY 2019 | FY 2020 |
|--------|---|--|---|----------|---------|---------|
| Target | N/A | N/A | N/A | Total: 0 | Total 0 | Total 0 |
| Actual | Total: 1,046 Killed: 350 Wounded: 696 | Total: 3,316 Killed: 1,039 Wounded: 2,277 | Total: 1,827 Killed: 506 Wounded: 1,321 | TBD | | |

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Indicator Analysis

Data through FY 2017 came from the START Global Terrorism Database outlined below. State no longer maintains a contract with the START Database and the new contractor, DSG, will not have FY 2018 actual data available by the publication of this report.

Indicator Methodology

START Global Terrorism Database (<http://www.start.umd.edu/gtd/using-gtd/>)

Information in the Global Terrorism Database (GTD) is drawn entirely from publicly available, open-source materials. These include electronic news archives, existing data sets, secondary source materials such as books and journals, and legal documents. All information contained in the GTD reflects what is reported in those sources. While the database developers attempt, to the best of their abilities, to corroborate each piece of information among multiple independent open sources, they make no further claims as to the veracity of this information. Users should not infer any additional actions or results beyond what is presented in a GTD entry, and specifically, users should not infer an individual associated with a particular incident was tried and convicted of terrorism or any other criminal offense. If new documentation about an event becomes available, an entry may be modified, as necessary and appropriate.

Key Indicator: Total number of internally displaced persons (IDPs) who have safely and voluntarily returned to territories liberated from ISIS in Iraq and Raqqa, Syria

| | FY 2015 (appx.) | FY 2016 (appx.) | FY 2017 (appx.) | FY 2018 (appx.) | FY 2019 (appx.) | FY 2020 |
|--------|---|---|---|--|--|--|
| Target | N/A | N/A | N/A | Total: 4,513,991 Iraq: 4,465,991 Raqqa, Syria: 48,000 | Total: 5,265,320 Iraq: 5,065,320 Raqqa, Syria: 200,000 | Total: 6,250,000 Iraq: 6,000,000 Raqqa, Syria: 250,000 |
| Actual | Total: 402,660 Iraq: 402,660 Raqqa, Syria: 0 | Total: 947,904 Iraq: 947,904 Raqqa, Syria: 0 | Total: 2,330,370 Iraq: 2,282,370 Raqqa, Syria: 48,000 | Total: 4,331,625 Iraq: 4,165,320 Raqqa, Syria: 166,305 | | |

Strategic Goal 1: Protect America's Security at Home and Abroad

Indicator Analysis

In FY 2018, Raqqa saw a significant increase in number of returned IDPs following the liberation of the city from ISIS control in October 2017. Coalition stabilization and early recovery assistance helped restore essential services and remove explosive remnants of war and encouraged the free and voluntary return of over 162,000 IDPs to Raqqa City.

Indicator Methodology

Data Source: International Organization for Migration (Iraq), UN Office for the Coordination of Humanitarian Affairs (UNOCHA) "Syria Crisis: Northeast Syria, Situation Report No. 30." International Organization for Migration (IOM): The IDP and Returnees Master Lists collect information on numbers and locations of IDPs and returnee families through an ongoing data collection system that identifies and routinely updates figures through contacts with key informants. The unit of observation is the location. Master Lists are fully updated in one calendar month, which means that information on all locations is updated once a month. In two weeks, approximately 50 percent of the locations are updated, data is sent to the IOM Information Management Unit, and the dataset with partial updates is released after quality control, while the teams continue to update information from the remaining locations. By the end of the month, the update is complete and the Displacement Tracking Matrix report is published with fully updated information on IDPs and returnees. Master Lists collect information on the total number of families displaced or returned to a location at the time of data collection, not on new cases. Therefore, at every round of updates, the new count replaces the old count. <http://iraqdtm.iom.int/Methodology.aspx>.

The UN Office for the Coordination of Humanitarian Affairs (UNOCHA) "Syria Crisis: Northeast Syria, Situation Report No. 30." report is produced by the Syria Crisis offices with the contribution of all sectors in the hubs and at the Whole of Syria (WoS) level.

Strategic Goal 1: Protect America's Security at Home and Abroad

Key Indicator: Number of countries who have joined and are providing military, humanitarian, and stabilization support in the Global Coalition to Defeat ISIS

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---|--|--|---|-----------------------|-----------------------|
| Target | N/A | N/A | N/A | Coalition members: 74 | Coalition members: 80 | Coalition members: 81 |
| Actual | Coalition Members: 62 Countries participating in airstrikes in Iraq: 9 Countries participating in airstrikes in Syria: 6 Countries providing humanitarian assistance or stabilization assistance in Iraq: 1 Countries providing humanitarian assistance or stabilization assistance in Syria: 1 | Coalition Members: 67 Countries participating in airstrikes in Iraq: 9 Countries participating in airstrikes in Syria: 11 Countries providing humanitarian assistance or stabilization assistance in Iraq: 38 Countries providing humanitarian assistance or stabilization assistance in Syria: 47 | Coalition Members: 73 Countries participating in airstrikes in Iraq: 9 Countries participating in airstrikes in Syria: 12 Countries providing humanitarian assistance or stabilization assistance in Iraq: 41 Countries providing humanitarian assistance or stabilization assistance in Syria: 48 | Coalition Members: 79 Countries participating in airstrikes in Iraq: TBD Countries participating in airstrikes in Syria: TBD Countries providing humanitarian assistance or stabilization assistance in Iraq: 35 Countries providing humanitarian assistance or stabilization assistance in Syria: 36 | | |

Strategic Goal 1: Protect America's Security at Home and Abroad

Indicator Analysis

The coalition gained five new members in 2018: Philippines, the Community of Sahel-Saharan States (CEN-SAD), Guinea, Kenya, and Fiji.

The number of Coalition partners involved in air operations in support of Operation Inherent Resolve declined in FY 2018 due to the territorial defeat of ISIS in Iraq in December 2017 and the significant reduction in ISIS territorial control in Syria in FY 2018. This does not signal a reduction in the Coalition's commitment to ensuring the enduring defeat of ISIS in Iraq or Syria, but is simply a byproduct of the success of military operations which have reduced the need for Coalition air support.

State is still working to calculate and release the total number of countries participating in airstrikes in Iraq and Syria.

Indicator Methodology

This indicator reflects the number of countries and international organizations (including the United States) that have formally joined and/or are participating in the Global Coalition to Defeat ISIS, whether by contributing resources and/or supporting Coalition Working Groups. For purposes of this indicator, a Coalition Member can be defined as any country or international organization that formally joins the Global Coalition and has agreed to publicly acknowledge its membership. This indicator will be measured annually, and will report the total number of Coalition Members at the end of the calendar year.

Subcategories include the number of Coalition partners who have conducted airstrikes against ISIS targets in Iraq; the number of Coalition partners who have conducted airstrikes against ISIS targets in Syria; the number of Coalition partners who have contributed humanitarian or stabilization assistance in Iraq; and the number of Coalition partners who have contributed humanitarian or stabilization assistance in Syria.

Performance Goal 1.2.2: Preventing and Countering Violent Extremism (P/CVE)

Performance Goal Statement: By 2022, reduce identified drivers of violent extremism in countries, regions and locales most vulnerable to radicalization to terrorism while also strengthening partner government and civil society capacity to prevent, counter, or respond to terrorism and violent extremism. (State and USAID)

Performance Goal Overview/Progress Update

Preventing and countering violent extremism is a key component of a comprehensive strategy for defeating ISIS, al-Qa'ida, and other transnational terrorist organizations. Prevention and

Strategic Goal 1: Protect America's Security at Home and Abroad

Countering of Violent Extremism (P/CVE) refers to proactive actions to counter efforts by terrorists to radicalize, recruit, mobilize, and inspire followers to violence and to address specific factors that facilitate terrorist recruitment and radicalization to violence. P/CVE objectives include building resilience among communities most at risk of recruitment and mobilization to violence; countering terrorist narratives and messaging, including through the internet; countering terrorist ideologies; and building the capacity of partner nations and civil society to prevent and counter violent extremism.

Despite the territorial defeat of ISIS in Iraq and Syria, violent extremist organizations will endure, influence, and inspire terrorist activity so long as the underlying conditions that enabled their expansion remain. These include a mix of political, structural, ideological, and personal factors that create conditions for violent extremism to take root and gain traction. The Department and USAID recognize the deleterious effect that violent extremism has on our national security, foreign policy, and development goals. Preventing and interrupting the lifecycle of violence is critical to interrupting the supply of new recruits.

While Countering Violent Extremism (CVE) is an essential counterterrorism (CT) tool, the Department and USAID must take account of their unique capabilities—their comparative advantage—as well as their finite resources. It is also important to acknowledge that State is not the only player in the CVE space. Other departments and agencies such as the Department of Homeland Security (DHS), as well as multilateral organizations and international partners may be better positioned to pursue certain initiatives, and the Department's and USAID's activities will nest into this broader approach.

Key Indicator: Number of Countering Violent Extremism (CVE) programs directly related to U.S. Government CVE objectives implemented in country by civil society and partner governments

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 200 | 120 | 120 |
| Actual | N/A | 96 | 237 | 96 | | |

Indicator Analysis

Quantitative and qualitative data is collected on CVE programming in certain at-risk areas. Such data will determine the number of CVE projects currently being implemented. The long-term outcome is a reduction in the number of hotspots of recruitment to terrorism. The assumption is that projects that focus on countering violent extremism will help deter vulnerable individuals from joining terrorist groups, which will reduce hotspots in the long term. Due to inconsistent reporting against this new standard indicator in the FY 2018 Performance Plan and Report (PPR), USAID queried relevant operating units (OUs) to confirm the FY 2018 actual result

Strategic Goal 1: Protect America's Security at Home and Abroad

reported here. Through further socialization of this new indicator with relevant OUs, USAID expects the quality of data to improve in out years.

Shifts in funding, coupled with a more streamlined approach and increased burden sharing across multilateral and international partners, led to a decrease in the number of active CVE programs managed by the Department in FY 2018. This level of programming is anticipated to continue, or potentially slightly increase, in FY 2019.

Indicator Methodology

Data source: Reviews of project and program documents (including quarterly reports); direct observation; PPR submissions.

Data quality: Given the complex environments in which CVE programs are implemented, direct observation is a consistent challenge. The Department and USAID continue to invest in increased partner capacity building efforts to collect this information, in addition to third-party monitoring.

Performance Goal 1.2.3: Counter Messaging

Performance Goal Statement: By 2022, strengthen partner government and civil society capacity to utilize data-driven approaches to counter messaging. (State)

Performance Goal Overview/Progress Update

The Department and USAID's overarching objective is to degrade global terrorism threats so local governments and security forces can contain them and restore stability. Military gains against ISIS, al-Qa'ida, and other terrorist organizations must be consolidated through local partners to provide rule of law as well as humanitarian and stabilization assistance. The Department and USAID believe that diplomatic engagement and targeted development assistance will help prevent new recruitment, reduce levels of violence, promote legitimate governance structures that strengthen inclusion, and reduce policies that marginalize communities. In addition, State and USAID must address the ability of ISIS and other terrorist organizations to raise funds, travel across borders, and use communications technology to radicalize and recruit.

Enemies of the United States will continue to modify and adapt their techniques, requiring the Department and USAID to adjust strategies and programs quickly to constantly changing threats. This requires a flexible approach and strong collaboration, both within the U.S. Government and with its international partners, to prevent the flow of funds and fighters to ISIS and to expose its true nature. This includes audience analysis, micro-targeting, and online data metrics to measure resonance in the effort to strengthen partner government and civil society capacity to utilize data-driven approaches to counter messaging.

Strategic Goal 1: Protect America's Security at Home and Abroad

Key Indicator: Number of capability assessments of foreign messaging centers completed by the GEC's Messaging Integration & Coordination (MIC) team

| | Baseline | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|-------------------------|---------|---------|---------|---------|---------|---------|
| Target | GEC Established in 2016 | | N/A | N/A | 8 | 6 | 4 |
| Actual | N/A | N/A | N/A | 3 | 5 | | |

Indicator Analysis

The FY 2018 actual result deviated from the target because two foreign messaging centers declined to participate in capability assessments and one other was disbanded. The Global Engagement Center (GEC) anticipates the FY 2019 target to be valid based on both new and follow-on assessments projected the planning cycle. Also during FY 2019, the GEC will be promoting data analytic tools for use by foreign messaging centers in self-monitoring and evaluating capabilities in order to facilitate and improve assessment efforts.

The GEC assesses that the defeat of the physical caliphate of ISIS in the second quarter of FY 2019 may impact decisions by foreign partner governments to provide resources for messaging centers and related operations. The GEC will update its performance goals as needed.

In FY 2019, in collaboration with State regional bureaus, the GEC also intends to revisit its own criteria as to what constitutes a foreign messaging center, and will update its performance goals as needed.

Indicator Methodology

The GEC reports twice annually on the number of assessments that it has conducted.

Key Indicator: Number of counterterrorism messaging campaigns completed, to include those that involve cooperation with foreign governments and/or foreign messaging centers

| | Baseline | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|-------------------------|---------|---------|---------|---------|---------|---------|
| Target | GEC Established in 2016 | | N/A | N/A | 6 | 7 | 4 |
| Actual | N/A | 1 | 2 | 15 | 18 | | |

Strategic Goal 1: Protect America's Security at Home and Abroad

Indicator Analysis

The GEC's primary partners for campaigns are the Coalition, the Sawab Center, and organizations within the DOD. It is important to note that campaign cooperation with foreign partner messaging centers is constrained by their political priorities and goals, which do not always coincide with those of the GEC.

In 2015 and 2016, the GEC led a total of three social media messaging campaigns and in 2017, it led five. In 2018, the GEC led eight campaigns. One campaign worked to increase voter participation during the Iraqi national elections, another highlighted instances of resilience by Iraqis after ISIS's withdrawal, a third campaign highlighted celebrations surrounding Ramadan, and finally another campaign showed the effects of child exploitation. The GEC also led four more campaigns supporting counter state messaging: two targeting Russian support for the Assad regime, one on the Iranian internal protests, and one on Iranian political corruption.

During 2018, the GEC supported other U.S. governmental campaigns: It supported five DOD campaigns in support of Syrian and Iraqi stabilization, Syrian Defense Forces, and Afghan Special Operations. It also supported mini campaigns in support of Rewards for Justice announcements and Terrorist designations.

The GEC supported five campaigns by foreign partner messaging centers; three in support of the Sawab Center and two in support of the Coalition. Beginning in FY 2019, the GEC will pilot new lines of effort with respect to information campaigns, such as information environment assessments, interagency campaign direction, and strategic amplification activities. The addition of these activities will reduce the GEC's direct messaging efforts and, consequently, the number of campaigns solely reliant on GEC resources. At the same time, the GEC intends to leverage the capabilities of interagency partners, such as the United States Special Operations Command's (SOCOM) Web Operations initiative, to expand the overall number of campaigns completed.

Indicator Methodology

The data source for this indicator is GEC internal records, especially the GEC's Nightingale message approval and archiving system. Nightingale assigns postings to campaigns. In addition, GEC's Content Library indicates which partners use specified content. Each item recorded in Nightingale is reviewed by GEC team leads for accuracy and data quality.

Strategic Goal 1: Protect America's Security at Home and Abroad

Strategic Objective 1.3: Counter instability, transnational crime, and violence that threaten U.S. interests by strengthening citizen-responsive governance, security, democracy, human rights, and the rule of law

Strategies for Achieving the Objective/Strategic Objective Progress Update

Law enforcement capacity-building programs are the bedrock on which the Department strengthens partnerships to counter transnational criminal organizations (TCOs). State will continue these programs and build the capacity of trustworthy foreign partners through rule of law and anti-corruption assistance in order to facilitate law enforcement development and cooperation. In the Western Hemisphere, the Department seeks to use these programs to target TCO leadership and their support networks, shut down illicit pathways to the United States, and enhance shared security. Globally, State will work with partners to cut financial lifelines for global terror and criminal organizations, including those involved in trafficking in persons, illicit drugs, and wildlife. State will coordinate through regional and international bodies to develop and advance international standards on drug control and hold partners accountable to burden-sharing.

Over the past year, the Department of State's Bureau of International Narcotics and Law Enforcement Affairs (INL) has made strides in the implementation of this objective. International Narcotics Control and Law Enforcement (INCLE) funds supported an average of 195 units over the year and trained over 5,800 justice sector officials in order to strengthen the response to instability, transnational crime, and violence that threaten U.S. interests. This support and training contributed to over 142,000 arrests of individuals for the illegal gathering, transportation, and distribution of drugs, chemicals, wildlife, weapons, or humans and the seizure of 1,990 metric tons of illicit narcotics. This support does not just generate these law enforcement actions, but also contributes to strengthened relations with our international partners and generates advocacy for citizen-responsive governance, security, democracy, human rights, and the rule of law worldwide.

The Department of State's Office to Monitor and Combat Trafficking in Persons (the TIP Office) has four strategic goals that align with the JSP's Strategic Objective 1.3. The Office's goals relate to the advancement of the prosecution of traffickers, the protection of human trafficking victims, the prevention of human trafficking, and the strengthening anti-trafficking policies and strategies through partnerships. Working within this framework, in 2018, the TIP Office programming trained 5,560 criminal justice practitioners across every region of the world, strengthened anti-trafficking legislation in 19 countries, and provided more than 4,259 trafficking victims with direct services. The Office encountered challenges in measuring prevention and partnership efforts and is taking several steps to improve data collection. The Office instituted new Common Performance Indicators across all foreign assistance projects that will capture prevention activities conducted by implementing partners. The Office is also designing logical

Strategic Goal 1: Protect America's Security at Home and Abroad

frameworks to track the collective work of all teams in the office; logical frameworks include target outputs and outcomes and will help the Office collect more quantitative data to reflect its work. The Office increased its 2019 and 2020 target numbers for the number of criminal justice practitioners trained and the number of victims served due in part to the implementation of the Office's Program to End Modern Slavery. In FY 2018, the TIP Office completed five evaluations and plans to conduct an additional two in FY 2019.

Development plays a critical role in counteracting the drivers of instability. The Department and USAID will address the underlying causes of crime by supporting critical institutional capacity-building, civil- society strengthening, and reform efforts needed to promote good governance, strengthen the rule of law, and introduce strategies to prevent and mitigate violence. The Department and USAID will support economic and social opportunities for those at risk of becoming perpetrators or victims of violence, as well as help improve citizen security. The Department and USAID will emphasize to foreign counterparts how citizen-responsive governance and the protection of rights is critical to their own security and prosperity. This includes working to strengthen the institutional framework for the promotion of human rights, the human-rights defenders' protection systems, human rights defenders, and communications and collaboration between governments and civil society. The Department and USAID will use foreign assistance, visa sanctions, and multilateral and bilateral engagement to promote government accountability, and support partners in implementing reforms. Recognizing the influential role women can play in conflict prevention, peacebuilding, and stabilization, the Department and USAID are committed to full implementation of the Women, Peace, and Security Act of 2017 (P.L. 115-68), which aims to institutionalize both protection of women in conflict situations and the engagement of women in decision-making processes.

The Department and USAID will make early investments in preventing conflict, atrocities, and violent extremism before they spread. During conflict, the Department and USAID will promote civilian protection and increase support to peace processes. The Department and USAID will enhance partner countries' self-sufficient peace operations, training, and deployment capabilities, and build the capacities of international and regional organizations to conduct peacekeeping missions. Following armed conflict, civilian agencies will lead in consolidating gains and promoting stabilization efforts, including supporting local efforts to manage conflict peaceably; restoring public safety; holding perpetrators of atrocities accountable; and enabling disarmament, demobilization, and reintegration of ex-combatants. The Department and USAID will provide short-term assistance to facilitate political transitions, along with assistance to address the governance challenges that are often the root cause of conflict. In tandem, host governments must increase burden-sharing with international partners and develop the capability to coordinate their own security strategies.

Strategic Goal 1: Protect America's Security at Home and Abroad

Performance Goal 1.3.1: Addressing Fragility, Instability, and Conflict

Performance Goal Statement: By 2022, improve the capacity of vulnerable countries to mitigate sources of fragility, instability, and conflict. (State and USAID)

Performance Goal Overview/Progress Update

In FY 2018, the Department and USAID provided countries with training, tools and expert support to help communities self-sufficiently resolve conflict, build resilience to internal and external pressures that cause violent conflict, mitigate instability, and address underlying causes of violent extremism. Much of this work was accomplished at local and community levels where sources of conflict frequently originate. For example, in Guinea, Kenya, Mali, Georgia, Bosnia and Herzegovina, and the West Bank-Gaza, communities that have lived with deep distrust and conflict organized joint sporting events, health fairs, IT and entrepreneurship training, and assistance to small- and medium-sized businesses to successfully build trust and reconciliation across ethnicities, communities, and nationalities. Activities helped overcome prejudices and enhanced critical thinking of participants resulting in higher levels of trust and increased participation in various levels of governance.

Looking ahead to FY 2020, the Department and USAID will continue to support effective community-based programs and will expand support to traditional and social media to publicize inspiring stories of community leaders who promote peace and social cohesion. The Department and USAID will continue training leaders in such countries as Sri Lanka, South Sudan, and Kenya to initiate reconciliation efforts, build dialogue between conflicting groups, support mediation programs, and identify and counter the root causes of violent extremism. The Department and USAID will continue to work particularly with youth and help provide alternatives to illicit activities, while building bridges between communities through dialogue, engagement, and productive activities.

Key Indicator: Number of USG-funded events, trainings, or activities designed to build support for peace or reconciliation on a mass scale

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 5,135 | 4,512 | 1,953 |
| Actual | 4,982 | 35,386 | 6,103 | 7,460 | | |

Strategic Goal 1: Protect America's Security at Home and Abroad

Indicator Analysis

Many theories of change posit that if there is more grassroots-level support for peace processes, the potential for durable peace will increase. This indicator registers the number of US Government-funded activities – such as trainings and community reconciliation events – that aim to build popular support for peace or cohesion among the general population. Building public support for peace or reconciliation is a critical approach for resolving conflict and for identifying and addressing underlying issues that contribute to fragility and instability. Through support to more inclusive processes, the Department and USAID assistance can improve the prospects for durable peace and help build the resilience of fragile countries to future shocks and challenges.

In FY 2018, the Department and USAID supported 7,460 events, trainings, and activities to increase broad public support for peace and reconciliation in more than 12 countries. This figure is 31 percent greater than the target of 5,135. There are two main reasons for this positive deviation. First, program successes – in such countries as Guinea, Thailand, and countries supported by the Department of State's Bureau for Democracy, Human Rights and Labor (DRL) programs – increased demand for more activities and trainings than originally planned. Secondly, many new start-up activities, such as in Senegal, were not originally counted when FY 2018 targets were set. Those countries that contributed the greatest number of events, trainings or other activities were Mali (830), Senegal (1,025), and the West Bank and Gaza (4,300). The FY 2019 and FY 2020 targets are decreasing from the targets set for prior years because activities in some OUs are concluding.

Indicator Methodology

As programs conducted these activities, the information was collected and reported through State and USAID, or other US Government, hierarchy. Primary data were generated by State or USAID staff or implementing partners through observation and administrative records. There were modest risks of over-counting for this indicator due to programming in the sector that consists of multiple activities or training sessions; however, the indicator definition provided guidance for avoiding the most common types of over-counting.

Key Indicator: Number of people participating in USG-supported events, trainings, or activities designed to build mass support for peace and reconciliation

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|-----------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 127,937 | 469,695 | 464,009 |
| Actual | 1,557,002 | 339,467 | 324,546 | 359,766 | | |

Strategic Goal 1: Protect America's Security at Home and Abroad

Indicator Analysis

Increased support for peace and reconciliation processes is an important approach for resolving conflict and implementing comprehensive, sustainable solutions. By addressing conflict and reconciliation in an inclusive manner through broad public engagement, assistance helps build the capacity of vulnerable countries to effectively address conflict, as well as the underlying social, political, and economic factors and state-society relationships that contribute to fragility and instability. This indicator registers the number of men and women identified with a party or parties to conflict who attend events or activities, both public and private, related to building support for peace and reconciliation.

In FY 2018, U.S. Government-supported activities designed to build broad public support for peace and reconciliation engaged approximately 360,000 people across more than 20 countries. This figure is 54 percent greater than the target of 127,937. There are two main reasons for this positive deviation. First, program successes – in such countries as Bosnia and Herzegovina, Georgia, Philippines, Somalia, and South Sudan – increased demand for more activities and trainings than originally planned, thereby increasing the number of participants in activities. Secondly, in such countries as Senegal and Georgia, demand for activities was greater than expected, thereby increasing the number of activities beyond original expectations. Furthermore, INL noted, “Given the emergent and time-sensitive nature of this result, achievement of attendance at events designed to build mass support can be variable and difficult to predict.” Those countries that contributed the greatest number of persons participating in USG-support events, trainings and other activities were Bosnia and Herzegovina (151,000), Georgia (11,400), Senegal (13,500), Somalia (39,400), and South Sudan (32,000).

Indicator Methodology

As programs conduct these activities, the information should be collected and reported through USAID, or other U.S. Government, hierarchies. U.S. Government staff or implementing partners generate primary data through observation and administrative records. Guidance for this indicator instructs OUs to count each person only once per year to reduce possible over-counting.

Key Indicator: Number of local women participating in a substantive role or position in a peacebuilding process supported with USG assistance

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 13,185 | 4,200 | 4,636 |
| Actual | 41,762 | 49,395 | 37,150 | 5,852 | | |

Strategic Goal 1: Protect America's Security at Home and Abroad

Indicator Analysis

The Women, Peace, and Security Act of 2017 underscores the importance of empowering women as equal partners in preventing conflict and building peace in countries threatened and affected by war, violence, and insecurity. Women's participation in peacebuilding activities is posited as an important mechanism for improving the overall strength and sustainability of such processes by ensuring focus on a broader set of issues relevant to preventing, managing, and resolving conflict and by bringing the skills and capacities of women to bear in these processes. This indicator is intended to capture the participation of local women in peacebuilding processes, defined as formal (diplomatic or official) or informal (grassroots, civil society) activities aimed at preventing or managing violent conflict, resolving conflict or the drivers of conflict, and sustaining peace following an end to violent conflict. Reporting allows the Department and USAID to track progress against a core commitment of the Women, Peace, and Security Act of 2017 – supporting women's substantive participation in efforts to build peace and security. In FY 2018, the U.S. Government supported the active participation of 5,852 women in peacebuilding and stabilization processes in more than 14 countries, including Burma, Democratic Republic of Congo, Ethiopia, Georgia, Guinea, Kenya, Mali, Nepal, Nigeria, Somalia, South Sudan, Syria, and Uganda. Security concerns, civilian displacement, the slow progress of several peace processes, and procurement delays contributed to a lower than expected performance for this indicator in FY 2018. Out-year targets have been revised to reflect more realistic expectations given operational and other constraints facing contributing OUs.

Indicator Methodology

The primary data for this indicator will come from implementing partners, collected through the review of relevant project/program documents (e.g., quarterly and final reports, project-monitoring records); analysis of secondary data (e.g., newspapers, records of proceedings) or direct observation of processes by post may also be useful.

Guidance for this indicator addresses the modest risks of over-counting, including the potential to count the same individual more than once per year, or to count individuals not substantively engaged in the peacebuilding process; to be counted under this indicator, a person's role in the peacebuilding process must involve realistic opportunities to share information and represent one's own perspectives, or those of a group one represents; to help define issues, problems, and solutions; and to influence decisions and outcomes associated with the process or initiative.

Performance Goal 1.3.2: Open/Accountable Government

Performance Goal Statement: By 2022, contribute to strengthened democratic governance through targeted assistance to improve citizen engagement, strengthen civil society, increase transparency, and protect human rights. (State and USAID)

Strategic Goal 1: Protect America's Security at Home and Abroad

Performance Goal Overview/Progress Update

Developing countries with ineffective government institutions, rampant corruption, and weak rule of law have a 30 to 45 percent higher risk of civil war and a heightened risk of criminal violence. The Department and USAID will work to ensure that countries understand how citizen-responsive governance and protection of rights is critical to their own security and prosperity, and to building enduring and constructive partnerships with the United States.

The Department and USAID leverage foreign assistance funds to support critical institutional capacity- building, civil-society strengthening, and reform efforts needed to promote good governance, strengthen the rule of law, and introduce violence prevention, mitigation, and stabilization strategies.

Key Indicator: Number of individuals receiving voter education through U.S. Government-assisted programs

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|-----------|-----------|------------|-----------|-----------|
| Target | N/A | N/A | N/A | 3,207,041 | 7,832,400 | 5,260,200 |
| Actual | N/A | 1,448,778 | 2,734,067 | 64,220,603 | | |

Indicator Analysis

The provision of voter education in developing democracies helps ensure citizens have the information they need to be effective participants in the democratic process, furthering the development or maintenance of electoral democracy by contributing to the legitimacy and consolidation of democratic institutions. This indicator tracks the number of eligible voters who receive voter education messages through print, broadcast, or new media, as well as via in-person contact, as a result of U.S. Government-funded programming.

Due to the nature of this indicator, results can be dependent on election scheduling and the accessibility of messages in target communities. This may lead to inconsistent trends in this indicator from year-to-year. Along with the short-term nature of this support, it can make targets difficult to set. Additionally, out-year targets reflect only the small subset of programming that is actually planned and does not account for 'rapid response' type interventions designed to address unforeseen needs globally. As such, the targets may underestimate the anticipated number of people to be reached through elections-related programming in subsequent years. In spite of these constraints, targets for FY 2019 and FY 2020 have been updated based on best estimates of increased support for voter education, updated information about opportunities for this support, and scheduled elections in outgoing years.

Strategic Goal 1: Protect America's Security at Home and Abroad

As a result of U.S. Government assistance, 64,220,630 individuals received voter education in FY 2018, including educational content focused on topics such as explanation of the voting process, the functions of the office(s) being contested, and the significance of the elections in democratic governance. This represents a significant increase from past annual trends due to increased opportunities in countries, greater technological access through broadcast and social networks, and greater support for voter education than in past years.

For example, an unanticipated, short-term rapid response intervention to better inform Venezuelan citizens (domestically and abroad) on the May 2018 snap elections for the president through a wide-reaching social media, radio and television campaign accounted for 43 million persons. Tunisia also surpassed its target of 500 by seven million due to the introduction of a more accessible media campaign. Aggregated worldwide, this indicator demonstrates the broad reach of U.S. Government assistance designed to support effective, democratic, citizen-responsive governance.

Indicator Methodology

Review of project/program documents from implementers; attendance sheets and independently-collected audience estimates can also demonstrate coverage as can dissemination through social networks. Given the data limitations, OUs should detail the data collection-calculation methodology for each method used in their Performance Management Plans (PMP) data reference sheets, along with efforts they take to avoid multiple counting. There are risks of counting individuals more than once in a given year, as individuals can participate in more than one event supported with U.S. Government assistance.

Key Indicator: Number of individuals receiving civic education through U.S. Government-assisted programs

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|-----------|------------|-----------|-----------|
| Target | N/A | N/A | N/A | 6,638,345 | 7,943,525 | 7,420,770 |
| Actual | N/A | 169,982 | 4,462,613 | 11,762,001 | | |

Indicator Analysis

The provision of civic education in developing democracies will help ensure individuals have the information they need to be effective participants in the democratic process, which contributes to the development and maintenance of participatory democracy and the consolidation of democratic institutions. This indicator tracks the number of individuals who receive civic education through print, broadcast, or new media, as well as via in-person contact and community projects, as a result of U.S. Government-funded programming. In FY 2018, as a result of U.S. Government assistance, 11,762,001 individuals received civic education through a

Strategic Goal 1: Protect America's Security at Home and Abroad

wide range of activities designed to improve their capacity to participate actively in democratic processes and advocate for greater government responsiveness and accountability. Aggregated worldwide, this indicator demonstrates the broad reach of U.S. Government assistance designed to support effective and participatory democratic governance.

Indicator Methodology

Review of project/program documents from implementers; attendance sheets and independently-collected audience estimates demonstrate coverage, as can dissemination through social networks. Given the data limitations, OUs detail in their performance indicator reference sheets the data collection and calculation methodology for each method used, along with efforts they take to avoid multiple counting. There are risks of counting individuals more than once in a given year, as individuals can participate in more than one activity supported with U.S. Government assistance.

Key Indicator: Number of non-state news outlets assisted by USG

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 1,005 | 1,170 | 1,051 |
| Actual | 1,770 | 1,227 | 1,704 | 1,707 | | |

Indicator Analysis

By strengthening the independent sources of professional and objective news available to the public, U.S. Government assistance to news outlets contributes to increased transparency, accountability and citizen awareness in countries where the United States seeks to advance citizen-responsive governance, security, democracy, and rule of law. This indicator tracks the number of non-state-controlled news outlets, including privately-owned, community, or independent public service media outlets, assisted by training, grants or other support. In FY 2018, the U.S. Government provided assistance to 1,707 non-state news outlets, including television, radio, print, and online media sources in more than 30 countries, several of which were affected by conflict, as well as to regional programs across the globe. U.S. Government assistance funded radio programming with a focus on daily news, rule of law, advocacy for human rights, democratization, humanitarian issues, and peacebuilding.

Indicator Methodology

Data for this indicator are reported annually through the PPR. The number reported should be a simple count of relevant activities in a given year. The primary data for this indicator should come from reporting from implementing partners (e.g., quarterly or annual reports) and other

Strategic Goal 1: Protect America's Security at Home and Abroad

relevant project documentation (e.g., project-monitoring records) as applicable. There are no data-quality considerations for this indicator.

Key Indicator: Number of judicial personnel trained with USG assistance

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 26,289 | 26,452 | 27,000 |
| Actual | 10,230 | 28,774 | 34,039 | 46,294 | | |

Indicator Analysis

Training judicial personnel allows for courthouse duties to be performed more effectively and for the capacity of the judiciary to be improved as well. A strong judiciary can, in turn, provide an important check to unrestrained executive power. For these reasons and others, it is clear that judicial independence, transparency, and accountability are crucial to successfully managing a democratic society.

This indicator tracks the number of judicial personnel, including judges, magistrates, prosecutors, advocates, inspectors, and court staff, who received training or participated in education events supported with U.S. Government assistance. In FY 2018, U.S. Government assistance funded training for 46,294 judicial personnel in more than 30 countries around the world. These personnel received training on critical issues necessary to advance the rule of law and promote the effective administration of justice, such as victim rights, anti-corruption, commercial law and dispute-resolution, gender-based violence, legal ethics, trial advocacy, client-counseling, and legal writing. This number was significantly higher than expected, in part because some countries recently began tracking the indicator, and also because a number of programs received strong buy-in from host countries. As a result of the positive reception and effective use of program dollars, there were more trainings offered and more people received the skills necessary to more effectively do their jobs. The out-year targets reflect the fact that several OUs have activities that are transitioning or concluding.

Indicator Methodology

Annual review of project/program documents to determine the number of activities funded by the U.S. Government to train judges and judicial personnel and the number of individuals reached through attendance sheets and on-site observations by U.S. Government officials. There are no data-quality considerations for this indicator.

Strategic Goal 1: Protect America's Security at Home and Abroad

Key Indicator: Number of USG-assisted civil society organizations (CSOs) that participate in legislative proceedings and/or engage in advocacy with national legislature and its committees

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 173 | 129 | 91 |
| Actual | 40 | 77 | 334 | 224 | | |

Indicator Analysis

Participation by civil society in democratic policy-making improves the transparency and accountability of the legislative process, but requires both capacity on the part of civil society and a willingness to constructively engage decision makers, as well as an openness among government policy-makers towards public engagement. This indicator tracks several outcomes important for effective, democratic governance, including improvements in legislative openness and transparency, and increased CSO participation in legislative processes. In FY 2018, 224 U.S. Government-funded CSOs in more than 12 countries participated in legislative proceedings, or engaged in advocacy with national legislative bodies. These civil society groups engaged in a wide range of advocacy activities, such as attending and contributing to public hearings or committee meetings, submitting policy briefs or position papers, providing comments on proposed legislation, and working groups with members of the legislative branch. The out-year targets are decreasing because activities in some OUs are concluding in FY 2018 or FY 2019. Additionally, given the short term nature of some projects and the complexity of the operating environments, the results can be difficult to predict.

Indicator Methodology

Reports of committee proceedings, augmented by implementing partner audits. There are no data quality considerations for this indicator.

Performance Goal 1.3.3: Transnational Crime

Performance Goal Statement: By 2022, work with partner country governments to strengthen criminal justice systems and support prevention efforts in local communities in order to build capacity to address transnational organized crime. (State)

Performance Goal Overview/Progress Update

Transnational crime fuels corruption, finances insurgencies, and distorts markets. TCOs engage in human and wildlife trafficking and contribute to the domestic opioid crisis by bringing heroin and synthetic opioids across U.S. borders.

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Crime and insecurity are often a consequence of weak democratic norms and institutions. TCOs and other illicit actors can exploit areas of weak governance to act as a safe haven to grow their enterprise. Globally, developing countries with ineffective government institutions, rampant corruption, and weak rule of law have a 30 to 45 percent higher risk of civil war and a heightened risk of criminal violence.

These conditions present an opportunity for the Department and USAID to work to counter transnational crime through a range of programs, authorities, and diplomatic engagements. Law enforcement capacity-building programs are the bedrock on which State and USAID strengthen partnerships to counter TCOs. State and USAID seek to build the capacity of trustworthy foreign partners through rule of law and anti-corruption assistance to facilitate law enforcement development and cooperation. In the Western Hemisphere, State and USAID seek to use these programs to target TCO leadership and their support networks, shut down illicit pathways to the United States, and enhance shared security. Globally, State and USAID will work with partners to cut financial lifelines for global terror and organized crime organizations, including those involved with human and wildlife trafficking.

When the law enforcement agencies of our partners are unable to counter the production and growth of drugs, money laundering, corruption, and violent crime, these TCOs flourish. By supporting vetted and specialized law enforcement units, the United States will build its partners' capacity to address transnational organized criminal activity and stop factors that enable TCOs to proliferate before they threaten the United States or undermine governance and stability abroad. The more units that the United States supports, the more partners it enables to fight transnational organized crime to bolster the work of U.S. federal law enforcement agencies by establishing partners to address criminal activities before they reach the U.S. homeland and to address cases that transcend borders. By tracking the arrests made for these related crimes with U.S. assistance, State will be able to observe the number of arrests that have benefited from the skills and techniques taught in our courses, and from the equipment and facilities the Department has provided. Arrests are a necessary step to disrupting TCO activity, by bringing perpetrators to justice and countering their destabilizing effects.

Over the past year, INL has made strides in the implementation of this objective. INCLE funds supported an average of 195 units over the year and trained over 5,800 justice sector officials in order to strengthen the response to instability, transnational crime, and violence that threaten U.S. interests. This support and training contributed to over 142,000 arrests of individuals for the illegal gathering, transportation, and distribution of drugs, chemicals, wildlife, weapons, or humans and the seizure of 1,990 metric tons of illicit narcotics. This support does not just generate these law enforcement actions, but also contributes to strengthened relations with our international partners and generates advocacy for citizen-responsive governance, security, democracy, human rights, and the rule of law worldwide.

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Key Indicator: The number of host nation criminal justice personnel who received USG-funded Anti-Trafficking in Persons training

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 4,529 | 5,600 | 6,000 |
| Actual | 3,525 | 4,566 | 4,529 | 5,560 | | |

Indicator Analysis

In FY 2018, the TIP Office trained 5,560 criminal justice practitioners, exceeding its target of 4,529. The TIP Office was able to surpass its target due to multiple factors including an increase in staff working on its Training and Technical Assistance program, who facilitated trainings for twice as many criminal justice personnel, and a significant increase in bilateral and regional training in the Western Hemisphere and East Asia and the Pacific. The TIP Office anticipates it may sustain increases in the number of criminal justice practitioners trained in the coming years due to its robust Child Protection Compact (CPC) Partnerships and the implementation of the Program to End Modern Slavery.

Indicator Methodology

TIP Office data sources include primary data derived from implementing partners through quarterly reports. Quarterly reports that capture the number of host nation criminal justice personnel who receive U.S. Government-funded trafficking in persons training include attendance sheets and pre- and post-training tests. The Office also strives to conduct a site visit to each of its projects to observe training activities directly. Finally, the Office verifies data through data quality assessments.

Key Indicator: Metric tons of illicit narcotics seized by U.S. Government-supported host government officials in USG-assisted areas

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|------------|---------------|------------------------|----------|----------|----------|
| Target | N/A | N/A | N/A | 7,000 MT | 2,000 MT | 2,000 MT |
| Actual | 419.414 MT | 11,600.369 MT | Jan-Jun 2017: 3,063 MT | 1,990 MT | | |

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Indicator Analysis

In previous years, INL had an inconsistent number of OUs reporting on the metric tons of illicit narcotics seized by U.S. government-supported host government officials in USG-assisted areas. This is likely the factor contributing to higher seizure numbers reported between January and September 2017 in comparison to the seizures reported in all of FY 2018. The data the OUs reported has become more consistent in recent years as some OUs have developed a more consistent data collection methodology. In addition, future targets for FY 2019 and FY 2020 have been decreased to reflect anticipated seizures of illicit narcotics in metric tons by an average of 50 OUs that receive U.S. Government support and report to this data call.

Indicator Methodology

Data will be collected through regular reporting by implementing partners to program managers, and then compiled through a semi-annual data call. The Department compiled both quantitative and qualitative data on the results of foreign capacity building in combating TCOs. All actions reported were not necessarily explicitly caused by Department funding, but were included if foreign capacity building played a contributing role. The data may be over-inclusive in cases where reporting is not wholly reliable, or where data reported was only loosely tied to programs. A number of countries with programs related to combating TCOs did not report on certain indicators due to an inability to collect reliable and consistent data from partners, including foreign governments. Alternatively, some governments' laws tend to inflate indicator data (i.e., arrests). Going forward, additional reporting or reporting changes may increase or decrease the figures.

Key Indicator: Number of vetted and specialized law enforcement units receiving support

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|-------------------------|-----------|---------|---------|
| Target | N/A | N/A | N/A | 215 | 205 | 205 |
| Actual | N/A | N/A | Jan-Jun 2017: 209 units | 195 units | | |

Indicator Analysis

Vetted units have proven to be trusted partners that help dismantle transnational criminal organizations by addressing immediate high-threat security issues related to gangs, money laundering and financial crimes, drug trafficking, and human trafficking and smuggling. When these units cannot be fully vetted by a U.S. agency but receive similar support, we consider them specialized units. For both of these types of units to be successful, a high level of political

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support from the host country is required. These units also require a long-term commitment of significant resources and continued “on-the-ground” technical support.

This FY yielded fewer vetted and specialized law enforcement units receiving support from U.S. Government than the previous year. Over the course of FY 2018, INL, on average, supported 195 units. However, in the third quarter, INL supported more units than ever previously reported. The likely explanation for the decrease in the number of units supported by the U.S. Government is that between July 2017 and June 2018 (FY 2017 Q4 through FY 2018 Q3) State had fewer than 50 OUs reporting to this data call whereas in the preceding and subsequent data calls, State had over 50 OUs reporting. INL has adjusted the target number of units supported for FY 2019 down to 200 from 220 as U.S. assistance most effectively results in long-term institutional change when support is provided consistently.

Indicator Methodology

Data will be collected through regular reporting by implementing partners to program managers, and then compiled through a semi-annual data call. The Department continues to strengthen monitoring and evaluation processes to capture information on results and to link data with specific programs and funding as directly as possible.

Key Indicator: Arrests made by USG-assisted law enforcement personnel for trafficking crimes of illegal gathering, transportation, and distribution of drugs, chemicals, wildlife, weapons, or humans

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|--------------------------------|-----------------|-----------------|-----------------|
| Target | N/A | N/A | N/A | 115,000 arrests | 125,000 arrests | 125,000 arrests |
| Actual | N/A | N/A | Jan-Jun 2017 63,610 arrests | 142,267 arrests | | |

Indicator Analysis

This FY saw an increase in arrests by U.S. Government-assisted law enforcement. There are a few possible explanations of this. First, as more posts report on this factor, they are establishing better reporting methodology with host governments, resulting in more accurate data being collected. Second, there are OUs that are supporting newly-elected governments, some of which, especially in the Western Hemisphere, are taking a more assertive stance toward crime.

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FY 2019 and FY 2020 estimates have been adjusted to reflect that State expects the number of arrests by USG-assisted law enforcement personnel to remain above 115,000 per FY.

Indicator Methodology

Data will be collected through regular reporting by implementing partners to program managers, and then compiled through a semi-annual data call. The Department compiled both quantitative and qualitative data on the results of foreign capacity building in combating TCOs. All actions reported were not necessarily explicitly as a result of Department funding, but were included if foreign capacity building played a contributing role, at least. The data may be over-inclusive in cases where reporting is not wholly reliable, or where data reported was only loosely tied to programs. A number of countries with programs related to combating TCOs did not report on certain indicators due to an inability to collect reliable and consistent data from partners, including foreign governments. Alternatively, some governments' laws tend to inflate indicator data (*i.e.*, arrests). Going forward, additional reporting or reporting changes may increase or decrease the figures.

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Strategic Objective 1.4: Increase capacity and strengthen resilience of our partners and allies to deter aggression, coercion, and malign influence by state and non-state actors

Strategies for Achieving the Objective/Strategic Objective Progress Update

The United States will maintain its leadership and strong, forward diplomatic presence built on enduring security partnerships to collectively deter aggression, reduce threats, and assist our allies in sustaining favorable regional strategic balances. State will expand its network of alliances and partnerships and increase our ability to influence malign actors' policy choices and encourage their adherence to a rules-based international order.

To advance the United States' interests in the most dynamic region of the world, State and USAID will support a free and open Indo-Pacific, working with allies and partners to promote economic prosperity, security, and democratic governance. The Department and USAID will deepen their unique strategic partnership with India, a fellow democracy and pillar of rules-based international behavior. To balance Chinese influence, State will reinforce existing regional alliances, including those with Japan, Australia, and the Republic of Korea, and strengthen other security partnerships, including with India. The Department will engage with China to address the United States differences on North Korea and in other areas, including trade and territorial disputes. To counter Russian aggression and coercion, the Department will lead allies in enhancing the North Atlantic Treaty Organization's (NATO) deterrence and defense posture, promote deeper NATO partnerships with like-minded nations, and build bridges between NATO and the EU to confront the full range of hybrid threats.

To mitigate efforts to undermine civil society and democratic norms, the Department and USAID will assist governments, nongovernmental organizations (NGOs), and faith-based organizations that face coercion and malign influence. The United States will continue to champion long-standing, foundational values of freedom and liberty. State and USAID will work with their partners to eliminate corruption and support the rule of law, strengthen civil society and democratic institutions; enhance energy security; support financial and trade reforms; support economic diversification; and foster independent, professional media.

The Department will pursue a range of security sector assistance activities to strengthen the United States alliances and partnerships, assist them in their efforts against malign influence and aggression, and maintain favorable regional balances of power. State will ensure that U.S. foreign-policy goals fundamentally guide security-sector decision-making, and through grant assistance and arms sales, State will judiciously equip partners and allies with capabilities that support strategic priorities. The Department will forge lasting security relationships by improving interoperability between the United States and coalition partners; by securing access and legal protections to facilitate deployment of U.S. forces; and by supporting professional military education and training of partner nations. The Department will continue missile defense

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cooperation to deploy missile defense capabilities to defend the U.S. homeland, U.S. deployed forces, allies, and partners.

In conjunction with allies, partners, and in multilateral fora, State will devise, implement, and monitor economic and energy sector sanctions that will eliminate Iran's ability to use oil export revenues to finance the projection of malign influence. The Department will seek to increase cooperation with allies and partners to counter Iranian threats and destabilizing behavior; through sanctions, State will constrain Iran's ballistic missile program and degrade its support for terrorism and militancy. The Department will also pursue a program of energy sanctions to give the Venezuelan people the tools they need to restore democracy and eliminate the sources of revenue that fund the corrupt practices of the illegitimate Maduro regime.

The Department will build a coalition of like-minded governments to identify and hold regimes accountable that engage in or permit malicious cyber activities to occur on their territory, contrary to the United States' supported framework of responsible state behavior in cyberspace, and to address threats from non-state actors. The Department will use a similar approach when addressing challenges in outer space.

Additional Evidence Measuring Achievement of the Objective

Key Indicator: The dollar value of public and private investment and other financial resources mobilized behind international strategic energy infrastructure projects as a result of USG action

| | FY 2015 Baseline | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------------------|-----------------|----------------|-----------------|---------------|-------------|
| Target | N/A | N/A | N/A | \$3.5 billion | \$3.5 billion | \$4 billion |
| Actual | N/A | \$6.839 billion | \$3.45 billion | \$3.714 billion | | |

Indicator Overview

Helping our partners and allies across the globe to increase and diversify both the sources and suppliers they use to meet growing energy needs will prevent malign state actors and strategic competitors from using control of oil and gas production and transportation infrastructure to exert political influence. Countering the influence of primary energy suppliers or cartels over the global energy trade will also reduce the risks of supply shocks and price-manipulation, all of which can have severely destabilizing consequences for security in fragile states and emerging economies.

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Russian dominance of gas exports to Eastern and Southern Europe enables Russia to use energy as a political lever, and Russia seeks to reinforce and extend its control through new Russian-backed pipelines to Europe. The United States supports Europe's own goal of enhancing its energy security through diversification of fuel type, routes, and sources, by opposing duplicative Russian pipelines, encouraging Europe to expand its energy interconnections to increase resilience to Russian threats, and sourcing new gas from new non-Russian sources. In the Western Hemisphere, the Department will support new international energy infrastructure to help integrate North American energy production and transport and aim to establish the United States as a new and independent "energy superpower" that would counter the influence of energy cartels. State promotes electrical interconnections and development of new sources of energy throughout Central America, the Caribbean, and Africa to reduce drivers of instability and mass migration by promoting regional prosperity. In addition, State supports infrastructure that will help importers of oil and fuels in the Western Hemisphere move to alternate fuels including liquefied natural gas and renewables to limit the opportunities for coercion from Venezuela's illegitimate Maduro regime.

Physical and political barriers to developing and transporting oil and gas resources exist throughout the Middle East, North Africa, and the Eastern Mediterranean. Countries like Iraq and Libya struggle to unlock the energy revenues that could provide the foundation for political stability and security. Inadequate transregional oil, gas, and electricity interconnectivity deprives Europe of access to alternative energy suppliers, prevents governments in North Africa from generating badly needed oil and gas income, and contributes to the regional inequality that drives geopolitical challenges ranging from mass migration to violent extremism. Maritime boundary disputes between Cyprus and Turkey, Israel and Lebanon, Venezuela and Guyana, and countries bordering the South China Sea prevent development of significant offshore oil and gas resources, increase the possibility of actual confrontation, and squander the potential for energy resources to serve as a bridge between, and among, regions.

Working with the interagency, the Department will promote public and private investments in international energy infrastructure that State identifies as strategic, and will use sustained and carefully coordinated diplomatic engagement and technical assistance to help resolve political and policy barriers to the development and transport of energy resources that would support the security of our partners and allies. These efforts will reinforce the continuing role of the United States as a force for global stability, will help safeguard the global energy supply from political manipulation and malign influence, and will ensure energy resources promote prosperity and development, rather than fuel conflict and violence.

Indicator Analysis

The Department saw, in FY 2018, the fruit of years-long efforts on strategic energy infrastructure projects totaling more than \$3.7 billion in financing. Results from FY 2018 include commitment of funds for gas pipeline infrastructure that will bring new sources of gas to Europe

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through the Southern Gas Corridor, which has been the subject of intense diplomatic engagement by the Department. This includes funding for the Trans-Anatolian Pipeline, the Trans-Adriatic Pipeline and a grant to study a Trans-Caspian pipeline to transport Turkmen gas to Europe. In addition, financiers committed funding to support the construction of Baltic Pipe. This infrastructure, when built, will improve European diversity of gas supply, reducing vulnerability to Russian leverage. In the Eastern Mediterranean, gas production companies invested over half a billion dollars to restart the Eastern Mediterranean Gas pipeline, which will allow Israel to export gas to Egypt – a critical step toward improving regional cooperation, boosting offshore gas production, improving regional energy security, and reducing vulnerability to malign influence in the region by non-state actors. Finally, in South and Central Asia, the World Bank provided an additional grant facilitating the CASA-1000 power line project to export power from Kyrgyzstan and Tajikistan to Afghanistan and Pakistan in FY 2018. The power line, currently under construction, will improve regional cooperation and economic development, thereby improving diversity of electricity sources and bolstering security in these countries.

Indicator Methodology

The Department will measure this indicator by initially determining a region-by-region list of strategic energy infrastructure projects that the Department is actively supporting in order to strengthen the resilience of our partners and allies facing malign influence and coercion by state and non-state actors. The Department will then track the value of funds committed toward the list of international strategic energy infrastructure goals and projects. Data will be derived from project reports of international financial institutions, infrastructure-project documentation, official public announcements and other evidence of investment bank decisions, new contract signings, and open source reporting from U.S. embassies, other Federal Government Departments and Agencies, and analyst firms. Data-quality will generally be sound given the due diligence conducted by investors to justify the amount of capital involved, though the terms of some agreements — particularly those receive private finance — can be business-confidential and thus must be protected. The Department will be careful to ensure financing figures included in publicly announced agreements related to energy projects represent actual capital commitments, and not aspirational goals.

Performance Goal 1.4.1: Securing Cyberspace

Performance Goal Statement: By 2022, significantly increase international cooperation to secure an open, interoperable, reliable, and stable cyberspace and strengthen the capacity of the United States and partner nations to detect, deter, rapidly mitigate, and respond to international cyber threats and incidents. (State)

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Performance Goal Overview/Progress Update

The Securing Cyberspace Performance goal is used to measure State's progress in promoting an "open, interoperable, reliable, and secure internet that fosters efficiency, innovation, communication, and economic prosperity, while respecting privacy and guarding against disruption, fraud and theft," as stated in the May 11, 2017 Presidential Executive Order (E.O.), Strengthening the Cybersecurity of Federal Networks and Critical Infrastructure (["the E.O. 13800"](#)) and reaffirmed in the [2018 National Cyber Strategy](#).

E.O. 13800 directs key departments and agencies to: (1) report on U.S. Government international engagement priorities in cyberspace; (2) develop strategies to strengthen the deterrence posture of the United States in cyberspace; and (3) enable the United States to engage proactively with all partners to address key issues in cyberspace. The Department led the interagency process to draft both a report on Deterrence and Protection, and a U.S. Engagement Strategy for International Cooperation in Cybersecurity. The findings and recommendations were incorporated into the 2018 National Cyber Strategy.

U.S. national security interests, continued U.S. economic prosperity and leadership, and the continued preeminence of liberal democratic values hinge on the security, interoperability, and resilience of cyberspace. U.S. innovation, economic growth, and competitiveness depend on global trust in the Internet and confidence in the security and stability of the networks, platforms, and services that compose cyberspace. The global nature of cyberspace necessitates robust international engagement and collaboration to accomplish U.S. Government goals.

In order to better secure cyberspace, the U.S. Government will work internationally, through both diplomatic engagement and development assistance, to:

1. Increase international stability and reduce the risk of conflict stemming from the use of cyberspace;
2. Identify, detect, disrupt, and deter malicious cyber actors; protect, respond to, and recover from threats posed by those actors; and enhance the resilience of the global cyber ecosystem;
3. Uphold an open and interoperable Internet where human rights are protected and freely exercised and where cross-border data flows are preserved;
4. Maintain the essential role of non-governmental stakeholders in how cyberspace is governed; and
5. Advance an international regulatory environment that supports innovation and respects the global nature of cyberspace.

The Department and USAID will lead efforts to secure cyberspace and expand the number of U.S. allies on cyber foreign policy through increased bilateral and multilateral diplomatic outreach and targeted capacity building. The United States will build support among like-minded countries to address shared threats and deter malicious cyber activity contrary to the

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U.S.-supported framework of responsible state behavior in cyberspace, consisting of the applicability of international law and support for voluntary, non-binding norms. In addition, the United States will work to ensure there are consequences for irresponsible behavior toward the United States and its partners. The imposition of consequences will be more impactful and send a stronger message if it is carried out in concert with a broader coalition of like-minded states. As such, the Department will lead the Interagency to launch a Cyber Deterrence Initiative. State will assist nations in their efforts to secure their infrastructure and to develop or mature their cyber policy and their legal and regulatory environments, in collaboration with allies, partners, and like-minded stakeholders — including industry, academia, and civil society — to adapt and continually improve our shared capabilities to address these cyberspace threats.

Key Indicator: Number of countries, economies, and/or regional organizations with which the Department of State has new or sustained engagement on cyber issues

| | FY 2015 | FY 2016 | FY 2017 Baseline | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------------------|---------|---------|---------|
| Target | N/A | N/A | N/A | 89 | 106 | 89 |
| Actual | N/A | N/A | 86 | 126 | | |

Indicator Analysis

In FY 2018, the actual number of partners increased by 37 compared to last year's target. This positive development correlates to new activities and outreach by the Department, such as delivering regional cyber capacity building and attributing and deterring unacceptable behavior in cyberspace. Of note, in FY 2018:

- The United States led the world in publically attributing two cyber-attacks, WannaCry and NotPetya, to state actors. As a result of the Department's targeted diplomatic outreach to other nations, the United Kingdom, Australia, Canada, New Zealand, and Japan joined us in denouncing North Korea for WannaCry.
- Through diplomatic engagement, the Department continued its support of the analytic efforts between DHS and the Federal Bureau of Investigation (FBI) to provide technical details on the tools and infrastructure used by cyber actors of the North Korean government.
- Twice in the FY, the Department engaged with 20 like-minded countries to strategize on targeted ways to respond to destructive, disruptive, or otherwise destabilizing cyber activities.
- Working with the Interagency and technical experts outside the U.S. government, the Department continued to deliver regional cyber capacity-building programs to foster and

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strengthen international cooperation on cybersecurity and combating cybercrime. As part of these efforts six new partner nations joined the G7 24/7 High-Tech Crime Network.

Projecting into FY 2019 and FY 2020, the Department expects to sustain engagements with international partners while it works to formalize the work with like-minded partners to attribute and deter malicious cyber. The FY 2019 target was adjusted accordingly. The slight decrease in the target number of partners in FY 2019 and FY 2020 is due to State's inability to project global cyber incidents that will require diplomatic engagement with certain nations, and its expectation to provide less regional trainings and more bilateral cyber capacity building.

Indicator Methodology

State's Office of the Coordinator for Cyber Issues (S/CCI), in coordination with the various regional and functional bureaus, will maintain and report all relevant data at the end of each FY. The parameters for a new or sustained partnership with a nation, economy, or regional organization are defined by State Department diplomatic engagement and/or development assistance activities. This could include, but is not limited to, activities such as bilateral dialogues, multilateral dialogues, working groups, steering committees, capacity building, and joint cooperation. The data will define the partner and our nature of the engagement(s) with them.

Any new partners will be identified in the appropriate reporting year, and the nature of the engagement(s) with them will be defined. This will allow us to determine if the relationship was sustained and/or enhanced in years to come. Partners with sustained engagements will be determined by the continuation of engagement from year to year. The data is not cumulative from year to year; instead, it counts the number of partners in a given year.

S/CCI anticipates challenges in appropriately capturing the number of partners due to how scheduling aligns with the fiscal calendar (e.g., an annual engagement with a partner occurs in September 2018, but not again until October 2019, thus is not reported for FY 2019). In addition, there could be unexpected delays in the working relationship (e.g., change in governments) that could interrupt the pattern of engagement. The ability to build new partners is contingent on having the appropriate human and budgetary resources to do so.

To ensure data quality, the data will be defined throughout the reporting period with the partner and type(s) of engagement. The total number of partners will be cumulated annually. In addition, every reporting year, a narrative will accompany the data that provides justification and context for the number in the reporting year, as well as projection into the next year. For example, if in FY 2018 State did not sustain our engagement with a partner due to scheduling conflicts, S/CCI would explain that in the narrative and would include that partner in our expected FY 2019 results.

Strategic Goal 1: Protect America's Security at Home and Abroad

Key Indicator: Number of enhanced diplomatic engagements facilitated by the Department of State on cyber issues

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 30 | 79 | 22 |
| Actual | N/A | N/A | 0 | 148 | | |

Indicator Analysis

The FY 2018 result was five times higher than the target. The inflation is because the FY 2018 actual number of enhanced diplomatic engagements captures engagements that did not occur with partners noted in the FY 2017 baseline for the indicator on new or sustained engagements. Therefore, it is expected FY 2018 will have the highest results of all out-years.

In FY 2018 the Department was deliberate in its activities to begin building a coalition of the like-minded and strengthen international cooperation that strengthens the resilience of our partners and allies to deter aggression, coercion, and malign influence by state and non-state actors. To do so, the Department had enhanced engagements that:

- Coordinated public attribution of malicious actors;
- Strategized on targeted ways to respond to destructive, disruptive, or otherwise destabilizing cyber activities;
- Advanced responsible state behavior in cyberspace;
- Put forward the notion of a coalition of like-minded partners committed to collaborative efforts to deter malicious activity by State adversaries in cyberspace; and
- Helped partners build their national cybersecurity capacity to better detect, deter, rapidly mitigate, and respond to international cyber threats and incidents.

Looking to FY 2019, the Department expects to continue to expand its engagements on attribution and deterrence with more countries. Additionally, the Department expects to have new regularized engagements with nations in the context of the UN because of two resolutions that passed in October 2018:

- 1) A newly established 6th UN Group of Governmental Experts (UNGGE) on advancing responsible state behavior in cyberspace in the context of international security (a U.S. resolution), and
- 2) A new Open-Ended Working Group (OEWG) on developments in the field of information and telecommunications in the context of international security (a Russia resolution).

The FY 2019 target was adjusted accordingly.

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In or before FY 2020, the Department expects to begin strategically deploying a Cyber Deterrence Initiative (CDI) that creates a coalition of like-minded partners committed to collaborative efforts to deter malicious activity by state adversaries in cyberspace.

Indicator Methodology

S/CCI, in coordination with the various regional and functional bureaus, will maintain and report all relevant data at the end of each FY. The parameters for an enhanced engagement are relative to each partner and our working relationship on cyber issues. Enhanced diplomatic engagements on cyber issues could include, but are not limited to, releasing joint policy statements, signing onto a new cyber initiative (e.g., a Cyber Deterrence Initiative), new bilateral dialogues, new multilateral dialogues, new working groups, new steering committees, enhanced capacity building, joint cooperation, etc. The data will be generated by looking at the new and sustained partners of the Department of State in order to determine the number of enhanced diplomatic engagements that occurred from the list of partners and their existing engagement(s) from previous years. The data will be defined by the enhanced engagement(s). For example, annually State has a bilateral cyber dialogue with Country X. Therefore, Country X is counted as a sustained partner. If in addition to our ongoing cyber dialogue, Country X decides to sign onto a CDI with the United States, this new diplomatic engagement with Country X (the CDI) would be considered an enhanced engagement and would be counted under this indicator.

The data do not capture cumulative or sustained activity; instead, they measure the number of occurrences in a given year. To this point, coupled with the nature and significance of the work, S/CCI expects the annual numbers to be smaller than the indicator of new or sustained engagements.

There are limitations in being able to define an enhanced engagement since it can be relative to each partner, and the needs in cyberspace are rapidly changing. The results of FY 2018 are expected to be higher than following years since they could capture engagements that did not occur with partners noted in the FY 2017 baseline for the indicator on new or sustained engagements. The ability to enhance our engagements with partners is contingent on having the appropriate human and budgetary resources to do so.

To ensure data quality, the data will be defined throughout the reporting period by the enhanced engagement(s). The total number of enhanced engagements will be annually cumulated. In addition, every reporting year, a narrative that provides justification and context for the number in the reporting year as well as projection into the next year, will accompany the data.

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Strategic Objective 1.5: Strengthen U.S. border security and protect U.S. citizens abroad

Strategies for Achieving the Objective/Strategic Objective Progress Update

The Department will continue to enhance the refugee security screening and vetting processes. The Department will work with other agencies to establish a uniform baseline for screening and vetting standards and procedures across the travel and immigration spectrum. Visa application forms, as well as the adjudication and clearance processes, will conform to common standards for applications, official U.S. Government interactions and interviews, and systems checks as mandated. The Department will support our partners in their efforts to support refugees and migrants near their home regions through a variety of programmatic and bilateral diplomatic tools.

The Department will continue to work with our international partners to exchange information on known and suspected terrorists and other threats to U.S. citizens at home and abroad. State will ensure that interagency and international arrangements are maintained and updated, providing the highest possible degree of information sharing of terrorist and criminal identities. The Department will continue to strengthen international cooperation and to use foreign assistance to build the capacity of our partners to share information, combat transnational criminal organizations, and to disrupt the flow of narcotics and other illicit goods before they reach our border.

The Department will strengthen our partners' abilities to provide security for Americans in their country by promoting increased cooperation with U.S. homeland security policies and initiatives. The Department will further refine safety and security information provided to U.S. citizens visiting or living abroad, which will help them to make more informed decisions about their travel and activities. State will accurately and efficiently adjudicate U.S. passports so these coveted travel documents are kept out of the hands of those wanting to harm the United States. The Department promotes information sharing and the widespread adoption of cybersecurity best practices to ensure all countries can implement the due diligence to reduce the risk of significant incidents from occurring.

The Department will work with interagency partners and the transportation industry to enhance global transportation security. State will inform foreign partners of non-imminent persistent threats to spur international border and transportation security efforts, including implementation of international standards and recommended practices. The Department will continue to urge countries to employ threat-based border security and enhanced traveler screening; to improve identity verification and traveler documentation; and to use, collect, and analyze Advanced Passenger Information and Passenger Name Record data in traveler screening to prevent terrorist travel.

Strategic Goal 1: Protect America's Security at Home and Abroad

Performance Goal 1.5.1: Engaging Partner Nations

Performance Goal Statement: By 2022, increase information sharing with partner nations and improve partner nation connectivity to international criminal and terrorist databases in order to better identify individuals with derogatory information seeking to enter the United States. (State)

Performance Goal Overview/Progress Update

The Department seeks to protect the homeland and U.S. interests abroad by strengthening our partners' abilities to provide security for Americans in their country, by increasing their cooperation in implementing U.S. homeland security policies and initiatives, building their border security capacity, and encouraging them to adopt similar approaches that stop criminals and terrorists from reaching our shores. Information and intelligence gathered in pursuit of the defeat of ISIS and other terrorist threats result in the discovery of known and suspected terrorist identities that populate multiple U.S. Government watchlists used to vet and screen prospective travelers to the United States, including visa applicants and refugees. By enabling partners to disrupt TCOs involved in human smuggling as far from our borders as possible, State can deter and prevent the flow of irregular migration into the United States. Activities to build the capacity of foreign government law enforcement partners and enhance information sharing among foreign partners and their U.S. counterparts protects U.S. citizens by addressing potential threats before they reach the homeland. This improved foreign partner capacity also creates a more secure environment for U.S. citizens traveling and residing abroad. Additionally, data gathered across all mission spaces informs the content of consular messages to U.S. citizens as well as other audiences. Utilizing these synergies, and applying ever more sophisticated technologies and automation, State seeks to constantly refine and strengthen the programs and structures that secure our borders and the well-being of our fellow citizens.

The Department undertakes efforts to ensure our fellow citizens' safety abroad and the security of our borders are not threatened by those seeking to harm our citizens and/or exploit the U.S. visa and admissions system for nefarious purposes. At home and abroad, State protect U.S. national borders through sharing of information within and between governments, by improving passport security, and by implementing effective visa adjudication processes that deny access to individuals who pose risks to U.S. national security. The Department also encourages foreign partners to conduct risk-based security and border screening at all land, air, and sea borders, to protect their countries and U.S. citizens in those locations and to deter terrorist travel — including to the United States. State also engages with international partners to increase their capacity to manage migratory flows, recognizing that strong rule of law restricts the environment in which potential threat actors can operate.

Strategic Goal 1: Protect America's Security at Home and Abroad

Key Indicator: Number of new governments sharing information with the United States to prevent terrorists from reaching the border

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 10 | 5 | 5 |
| Actual | 4 | 9 | 10 | 3 | | |

Indicator Analysis

The Bureau of Counterterrorism's Office of Terrorist Screening and Interdiction Programs (CT/TSI) evaluates the suitability of foreign partners for the Homeland Security Presidential Direction (HSPD-6) arrangements in coordination with relevant offices in the Department, the local U.S. Embassy, and the Terrorist Screening Center (TSC). As the Department expands its HSPD-6 partnerships outside of countries with established watchlisting and screening infrastructures, CT anticipates that the need to address partners' technical and legal constraints could lengthen the traditional HSPD-6 engagement period, and lead to fewer agreements signed per year. The Bureau is developing programs to address countries' watchlisting and screening capacity gaps in order to increase the number of countries ready for partnership under HSPD-6.

Indicator Methodology

CT and CVE /Terrorist Screening and Interdiction Programs negotiates and monitors implementation of HSPD-6 arrangements.

Key Indicator: Number of multilateral and regional initiatives that the CT Bureau funds to raise awareness of and increase political will and capacities of countries to adopt U.S. standards and approaches

| | FY 2015 Baseline | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------------------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 4 | 1 | 3 |
| Actual | 1 | 2 | 3 | 3 | | |

Indicator Analysis

In FY 2018, CT launched and co-led with Morocco the Global Counterterrorism Forum's *Initiative on Improving Capabilities for Detecting and Interdicting Terrorist Travel through*

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Enhanced Terrorist Screening and Information Sharing – or, the “Terrorist Travel Initiative.”

Through a series of regional workshops, the Terrorist Travel Initiative focuses on good practices for developing and deploying watchlists, utilizing advance passenger information/passenger name records, collecting biometrics, and sharing terrorist identity information for border security screening purposes and countering terrorist travel, in line with U.S. standards and approaches, as incorporated in (2017) UNSCR 2396.

The CT Bureau also recently funded the United Nations Office on Drugs and Crime (UNODC) to promote UNSCR 2396 implementation for Central Asia, North Africa, and South Asia priority countries. This assistance is in line with our efforts to help our partners meet UNSCR 2396 requirements in places where State has concerns about terrorist travel and transit.

The G7 agreed in 2016 that it would help 60 foreign terrorist fighter-affected countries connect their air, land, and sea ports of entry to the International Criminal Police Organization (INTERPOL) databases by 2021. In line with this commitment, the U.S., via CT, funds ongoing assistance projects to expand connectivity through INTERPOL’s I-24/7 secure communication system. The United States has so far dedicated assistance funds to expand connectivity in 10 countries: Indonesia, Libya, Malaysia, Maldives, Mali, Niger, Nigeria, Philippines, Tajikistan, and Thailand. State is looking to provide funds to expand this program to additional priority countries in the next year.

Indicator Methodology

Indicator tracks the number of State-funded initiatives, as captured by CT/Multilateral Affairs.

Key Milestones:

| Due Date: FY and Quarter | Milestone | Milestone Status | Progress Update |
|--------------------------|--|------------------|---|
| FY 2018 | Mexico’s National Migration Institute and the United States have an automated, daily biometric exchange capability | Complete | Daily biometric information sharing between Mexico’s National Migration Institute and the Department of Homeland Security is fully automated. |

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| Due Date: FY and Quarter | Milestone | Milestone Status | Progress Update |
|--------------------------|---|------------------|--|
| FY 2019 | Mexico creates a biometric identity management system to allow compatibility for multiple Mexican agencies | In progress | The Department of State and the Department of Homeland Security continue to work with the Government of Mexico to develop a whole-of-Mexican-government biometric system interoperable with U.S. systems. Progress is on target. |
| FY 2020 | An additional Mexican agency obtains capability to routinely share information with the United States | In progress | The Department of State and the Department of Homeland Security continue to work with the Government of Mexico to develop a whole-of-Mexican-government biometric system interoperable with U.S. systems. Progress is on target. |
| FY 2021 | Mexico has a fully operable national, interagency biometrics system with daily automated information sharing with the United States | In progress | The Department of State and the Department of Homeland Security continue to work with the Government of Mexico to develop a whole-of-Mexican-government biometric system interoperable with U.S. systems. Progress is on target. |

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| Due Date: FY and Quarter | Milestone | Milestone Status | Progress Update |
|--------------------------|--|------------------|---|
| FY 2022, Q1 | INL capacity building will help Mexico to create a biometric identity management system, which may be replicable in other countries, that enables automated data sharing among agencies and with the United States by 2021 | In progress | Political transitions in Mexico at both the federal and state level may affect the pace of program implementation and shift Mexico's strategic priorities |

Milestone Methodology

The data are collected through regular reporting from implementing partners and oversight conducted by INL.

Performance Goal 1.5.2: Protect the Security of U.S. Citizens through Timely Dissemination of Information

Performance Goal Statement: Through 2022, ensure timely dissemination of safety, security, and crisis information that allows U.S. citizens to make informed decisions for their safety while traveling or residing abroad. (State)

Performance Goal Overview/Progress Update

The Department has no greater responsibility than the safety and security of U.S. citizens overseas. Part of that responsibility is providing information to help U.S. citizens make informed decisions about traveling abroad. In 2014, State's Bureau of Consular Affairs (CA) initiated an evaluation in the wake of public feedback that showed confusion about the types of Consular messages. Deloitte, an independent consulting firm, evaluated the Consular Information Program (CIP), including the six primary messaging products: Travel Warnings, Travel Alerts, Security and Emergency Messages, Country-Specific Information pages, and Fact Sheets. The analysis revealed that the public had challenges accessing the information and did not know how to use what they read. This led to an extensive overhaul of CA's public safety and security messaging strategy, along with upgrades to travel.state.gov (TSG), CA's public-facing website for consular information. The goal of the improvements was to make it easier for U.S. citizens to access clear, reliable, and timely safety and security information about every country in the world. Implementation challenges for CA included the number of systems across multiple platforms that needed to be upgraded for the information and the website to be improved.

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In January 2018, CA launched new consular information products with improved layout and access for public users, and improved internal processes for drafting and clearing content. This provided a new baseline for measuring reach, interactions, and timeliness. Data show increased traffic to the TSG website travel advisories and country information since the launch, with approximately 400 million visitors to the site in the past year. CA will continue to monitor how users engage with products, looking at items such as access points, length of time on pages and amplification of our products through digital engagement. CA will additionally continue to develop its crisis communications capability using social media to enable real-time communication with affected U.S. citizens, and to integrate such communication into our overall crisis response efforts. CA will provide posts overseas with more comprehensive toolkits for outreach on safety and security information and will continue to provide them with regular in-person and online training, particularly on the use of social media in crisis communications. Most importantly, CA will continue to track our internal processing to ensure information is provided to the traveling public as quickly as possible.

Key Indicator: Activation of appropriate Consular crisis response tools within six hours after notification of a crisis event

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 100% | 100% | 100% |
| Actual | N/A | N/A | N/A | 0% | | |

Indicator Analysis

Data collection for this indicator is complicated by the difficulty of determining when "notification of a crisis" officially starts the six hour clock, as in many cases—particularly with civil unrest or political crises—crises may be slow brewing. In unexpected crisis events (earthquakes, plane crashes, attacks, etc.), notification of the event is more easily defined. In 2018, only one event led to a Department Task Force. That event was on a weekend and it was a political event which slowly escalated over time, making it difficult to determine when post's resources became overwhelmed. With these complicating factors, consular crisis response tools were activated within seven hours of the time it was evident that they were needed. While CA did not meet the six-hour target, factors out of its control contributed to the delay, including complications with performing IT administrator functions outside of certain windows of operation and delays in communications with post due to the crisis's impact on host country infrastructure. The Department has mitigated this issue by more proactively activating tools for potential events that could erupt over a weekend for "brewing crises." If an unexpected crisis were to occur over a weekend, CA might still be unable to meet the six-hour mark due to constraints outside of its control.

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Indicator Methodology

CA collects and reviews emails sent internally from first notification of a crisis event throughout decision-making and activation of crisis response tools. After the crisis event, CA will use these time-stamped emails to create an event log that indicates the date and time of decisions and go-live times for all appropriate tools. Crisis events are defined as those for which CA or the Department more broadly activates a Task Force or Monitoring Group, or for which CA's Overseas Citizens Services/Consular Crisis Management (OCS/CCM) office dedicated significant resources but never escalated to a Task Force or Monitoring Group. For each crisis throughout the reporting period, CA will use these logs to measure whether or not all appropriate tools were launched within six hours (marking 100 percent activation within timeframe for the given crisis). Though CA's OCS/CCM office initiates the activation of the crisis tools, it relies on other offices to ensure the activation is complete. CA will also only report data if it is necessary to respond to a crisis.

Key Indicator: Achieve all required dissemination targets for travel advisory content within three hours of final Department clearance for each country that moves into the Level 3 (Reconsider Travel) or Level 4 (Do Not Travel) category

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 90% | 90% | 90% |
| Actual | N/A | N/A | TBD | 32% | | |

Indicator Analysis

During this inaugural year of Travel Advisory updates, CA discovered its target metric was an imperfect measure of the desired goal: to update U.S. citizens in a responsible and timely manner. There were several instances in which the publication of a Travel Advisory within three hours of final clearance was not possible, not applicable to the situation, or not advisable. In all cases, the OCS Outreach and Training web team published the Advisories to TSG and disseminated them via the Smart Traveler Enrollment Program (STEP) within two hours of receiving the "green light" for posting from Office of American Citizens Services (OCS/ACS) Country Officers.

CA also tracked the number of Advisories that were updated on time within 12 months (for Levels 1 and 2) and within six months (Levels 3 and 4), as required by 7 FAM 000 Appendix A. While no Level 1 and 2 due dates fell in the reporting period, the Levels 3 and 4 on-time percentage was 55 percent, and this is a known area for improvement.

In 2019 and future years, CA recommends changing the metric to "Percentage of Travel Advisories updated per the required schedule" which more accurately reflects whether the

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Department has met the goals of providing current safety and security information available to the public in a timely manner.

Indicator Methodology

In the coming year, CA will establish a tracking mechanism to capture data about each travel advisory that moves into a Level 3 or Level 4 category. Time stamps from each final, cleared product by a Country Officer and a subsequent logging of each critical dissemination step will allow for an analysis of the data on a semi-annual basis.

Data will be collected using spreadsheets both inside and outside the TSG Content Management systems, with tracking and analytics by the OCS Consular Information Program Working Group.

In the first year, CA was only able to measure three of the five required dissemination methods listed in the FAM for Travel Advisories: 1) posted the Travel Advisory to TSG; 2) posted the Travel Advisory to the country page on TSG; and 3) disseminated via STEP. CA learned that its manual tracking mechanism and process proved inadequate for capturing data for posting of the media note, which is outside of OCS's control. The 32 percent metric above represents the three metrics mentioned.

Key Indicator: Review and update all country information pages on travel.state.gov at least once annually to ensure current and relevant safety and security information

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 100% | 100% | 100% |
| Actual | 0% | 0% | TBD | 76% | | |

Indicator Analysis

CA tracks edits on a calendar year, so some will be outside the reporting period. CA began tracking edits in January 2018 with the launch of the new consular information products on TSG, so the 76 percent result reported represents nine months of edits, rather than a full twelve months.

Indicator Methodology

Data were collected using the TSG Content Management System (CMS), with tracking and analytics by the OCS Web team. CA will issue quarterly reports to supervisors, and an annual report on efforts to achieve its goal.

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Performance Goal 1.5.3: Excellence in Passport Services Delivery

Performance Goal Statement: Through 2022, continue to ensure vigilant, accurate, and timely passport services to U.S. citizens. (State)

Performance Goal Overview/Progress Update

CA's mission 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. One core function of this mission is the provision of passport services in a vigilant, accurate, and timely manner. By accurately and efficiently adjudicating U.S. passport applications, CA ensures that the most coveted travel documents are kept out of the hands of those wanting to do harm to the United States.

Domestically, State supports a significant presence across the country to respond to the passport service needs of the U.S. public. Most notably, this presence consists of 29 passport agencies and centers and a network of more than 7,600 public offices managed by the U.S. Postal Service and many other federal, state, and local government agencies/offices that are designated to accept passport applications. In addition, as part of this global network, U.S. embassies and consulates provide routine and emergency passport services to U.S. citizens traveling and living abroad. The number of valid passports in circulation has doubled in the past decade. Approximately 137 million U.S. citizens, or 42 percent of the population, have valid passports. In FY 2018, CA received 19.1 million passport applications. The 19.1 million applications received in FY 2018, which is the second-highest number on record, was only 2.5 percent lower than the 19.6 million received in FY 2017. Increasingly high numbers of passport renewal applications represent a rising challenge to the achievement of this performance goal (PG). Demand for passports is inherently unpredictable in the long-term, and this variability can greatly affect workload planning efforts.

Key Indicator: Process 99 percent of passport applications within publicly available time-frames

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 99% | 99% | 99% |
| Actual | 99.7% | 99.9% | 99.9% | 99.9% | | |

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Indicator Analysis

In FY 2018, CA continued to issue 99.9 percent of all applications (both routine and expedite) within the publicly available time-frame. CA exceeded its target of 99 percent through careful management of its workload, continuous process improvements, and use of overtime. In FY 2019 and FY 2020, CA anticipates that these trends will continue as passport demand is expected to decrease.

Indicator Methodology

CA generates two reports using the Management Information System — the routine aging report and the expedite aging report — in order to determine if CA is meeting the customer service expectations posted on the Department's website, <https://travel.state.gov/content/passports/en/passports.html>. The reports track the total number of days an application takes to complete, including processing times.

Performance Goal 1.5.4 (Agency Priority Goal): Enhance our Immigrant and Non-Immigrant Visa Security Screening Protocols

Performance Goal Statement: By September 30, 2019, we will update the DS-160 and DS-260 nonimmigrant and immigrant visa application forms and add the newly-collected fields to our data sharing feeds for interagency partners. (State)

Performance Goal Overview/Progress Update

Executive Order (E.O.) 13780 (*Protecting the Nation from Foreign Terrorist Entry into the United States*) directs the interagency to review the process of adjudicating applications for visas and other immigration benefits in order to improve screening and vetting. In particular, Section 5 of the E.O. directed the interagency to submit a report to the White House outlining proposed uniform screening and vetting standards for all applicants. The Section 5 60-day report identified 16 critical fields that should be collected from every applicant. The Department's DS-160 and DS-260 non-immigrant and immigrant application forms already collect 15 of the 16 critical fields, though some minor refinements may be required to comply fully with the report's recommendations. The only missing field is social media identifiers. Additionally, the Department of Justice (DOJ) recommends the addition of four specific questions regarding criminal history, foreign travel, deportation, and nexus to terrorism to all visa and immigration forms.

To complete this task, State must 1) reach interagency agreement on the use and definition of required social media information; 2) obtain the Office of Management and Budget (OMB) approval to revise our visa application forms; and 3) update our visa processing systems.

Strategic Goal 1: Protect America's Security at Home and Abroad

The Visa Office published the 60-day notice of the form change proposal in the Federal Register on March 30, 2018. The Visa Office responded to the 10,086 public comments received when it submitted the final, 30-day notice, on August 28, 2018. The 30-day comment period closed on September 27, 2018, and the State is now awaiting OMB approval for the DS-160 and DS-260.

The Visa Office and the Office of Consular Systems and Technology are updating the electronic DS-160 and DS-260 to collect the social media information. The systems upgrades are expected to be complete by the time we receive OMB approval of the DS-160 and DS-260.

Please refer to www.Performance.gov for more information on this Agency Priority Goal (APG), including the latest quarterly progress update and indicator analysis and methodology.

Key Milestones:

| Due Date: FY and Quarter | Milestone | Milestone Status | Progress Update |
|--------------------------|--|------------------|---|
| FY 2018, Q1 | Definition and formulation of policy strategy and initial discussion with interagency stakeholders to identify barriers and other issues | Complete | Completed on schedule. |
| FY 2018, Q2 | Publication of form change proposal in Federal Register; technical requirements defined | Complete | Completed on schedule. CA published the 60-day notice in the Federal Register on March 30, 2018 |
| FY 2018, Q3 | State submits Paperwork Reduction Act package to OMB | Complete | Completed. CA responded to the 10,086 comments public comments received when the final, 30-day notice was submitted on August 28, 2018. |

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| Due Date: FY and Quarter | Milestone | Milestone Status | Progress Update |
|--------------------------|---|------------------|---|
| FY 2018, Q4 | Online forms updated; systems upgrade complete | Delayed | This milestone is delayed pending OMB Paperwork Reduction Act (PRA) approval. |
| FY 2019, Q1 | Technical systems monitored for stability and data integrity | Delayed | This milestone is delayed pending OMB PRA approval. |
| FY 2019, Q2 | Initial statistical analysis of quarterly data to determine effectiveness | | |
| FY 2019, Q3 | Further statistical review and analysis | | |
| FY 2019, Q4 | Final evaluation of forms enhancement program and policy | | |

Strategic Goal 2: Renew America's Competitive Advantage for Sustained Economic Growth and Job Creation

Strategic Objective 2.1: Promote American prosperity by advancing bilateral relationships and leveraging international institutions and agreements to open markets, secure commercial opportunities, and foster investment and innovation to contribute to U.S. job creation

Strategies for Achieving the Objective/Strategic Objective Progress Update

The Department will advocate on behalf of American workers by seeking to lower foreign trade and investment barriers and to attract new job-producing investment and legitimate foreign visitors and students to the United States. Through diplomatic engagement bilaterally and in international fora, the Department and our embassies will continue to work to break down barriers to U.S. exports and target unfair policies that adversely affect U.S. businesses. Our outreach to U.S. exporters, including by identifying market opportunities and challenges and publicizing business opportunities, will remain critical to efforts to boost U.S. exports. State will target assistance efforts to create a level playing field for doing business, including rules supporting fair and reciprocal trade, business friendly regulation, and adherence to high standards. The Department will modernize defense trade policies and regulations to support national-security and foreign-policy goals, increase resilience, and enhance the competitiveness of key U.S. manufacturing and technology sectors. State will promote education exports, such as study in the United States, through student-advising centers and other programs, and support American scientists, engineers, and innovators in international settings.

The Department's officials will work bilaterally and through international institutions to ensure that foreign governments do not employ practices such as weak systems for labor, environment, or intellectual-property rights, data-localization requirements, or state subsidies to compete unfairly. State will also work to establish clear, transparent markets outside of formal negotiations, expanding fair access for U.S. products, services, and technology. Department of State and USAID programs will support market-based economic reforms and target improved commercial law and trade regimes, benefiting U.S. exporters by reducing barriers at foreign borders. The Department and USAID will work to advance women's economic and social status, which will drive development and trade. The Department and USAID will leverage public-private partnerships and target foreign assistance to address barriers to trade and investment and economic growth in partner countries.

Strategic Goal 2: Renew America's Competitive Advantage for Sustained Economic Growth and Job Creation

Performance Goal 2.1.1: Supporting the Export of U.S. Goods and Services

Performance Goal Statement: By 2022, using 2017 baseline data, support increased exports of U.S. goods and services by increasing by 50 percent appropriate commercial advocacy for U.S. businesses. (State and USAID)

Performance Goal Overview/Progress Update

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 highlights the attributes of U.S. firms, promotes technical, scientific, and innovation cooperation that can lead to common or mutually accepted standards, and heightens 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 (DOC) 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 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 World Trade Organization Trade Facilitation Agreement (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 provides technical assistance to developing countries to meet their TFA commitments. For example, USAID works with developing countries by facilitating self-assessments that help a country identify the actions needed in order to implement the TFA, the time it will take to implement each provision, and 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.

Strategic Goal 2: Renew America's Competitive Advantage for Sustained Economic Growth and Job Creation

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

| | FY 2015 | FY 2016 | FY 2017 Baseline | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|------------------|---------|---------|---------|
| Target | N/A | N/A | 40 | 48 | 38 | 42 |
| Actual | 58 | 44 | 44 | 34 | | |

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. The Department of State did not meet its FY 2018 target. The decrease could be a result of global economic headwinds reducing opportunities for U.S. companies. The FY 2019 target was adjusted as a result of the FY 2018 result and the reasonable likelihood of continuing slow global economic growth in FY 2019.

Indicator Methodology

The indicator tracks interactions by senior Department of State officials (Ambassadors, Deputy Chiefs of Mission, Principal Officers, or Deputy Assistant Secretary-level and above) reported in the Advocacy Center's annual Summaries of Wins document and through supplementary reporting to State's Bureau of Economic and Business Affairs (EB). The DOC's Advocacy Center maintains a list of cases approved for U.S. Government advocacy, which typically takes the form of phone calls, meetings, and/or letters to foreign government officials in support of a U.S. company or business unit. Data compiled is a result of reporting by the field and Washington offices to the Advocacy Center and the Bureau of Economic and Business Affairs' Office of Commercial and Business Affairs (EB/CBA) of principal advocacy engagements.

Key Indicator: Number of U.S. aviation agreements reached or expanded

| | FY 2015 | FY 2016 Baseline | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|------------------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 2 | 2 | 2 |
| Actual | 4 | 2 | 2 | 6 | | |

Strategic Goal 2: Renew America's Competitive Advantage for Sustained Economic Growth and Job Creation

Indicator Analysis

The higher number of aviation agreements concluded during FY 2018 reflects, in part, the effort to implement the Administration's Caribbean strategy by expanding the number of Open Skies partners in that region. The FY 2018 result includes four new Open Skies Agreements with Caribbean partners negotiated and brought into force, and two amendment agreements to add important traffic rights for all-cargo carriers (with Jamaica and Sri Lanka). In addition, the FY 2018 result includes entry into force of the bilateral Open Skies Agreement with Brazil, pending since negotiated in 2011, and major enforcement actions of existing agreements with Qatar and the United Arab Emirates to ensure a level playing field with those Open Skies partners. While these results are not reflected in the six (6) agreements listed for FY 2018 above, they would satisfy the forthcoming target of at least two significant enforcement actions per FY in FY 2019 and FY 2020.

Indicator Methodology

This indicator tracks official bilateral and multilateral agreements in the aviation sector. In addition to the number of agreements concluded, the Department also tracks a number of milestones related to progress on reaching new agreements including preparatory discussions and actions taken to enforce existing agreements. The indicator results include additions to existing agreements to expand access for U.S. airlines.

Key Indicator: The World Bank's Doing Business Trading Across Borders score for partner countries with USAID trade facilitation programming⁴

| | FY 2015 | FY 2016 | FY 2017 Baseline | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|------------------|---------|---------|---------|
| Target | N/A | N/A | N/A | 70 | 70 | 70 |
| Actual | 65.9 | 67 | 71.4 | 72.8 | | |

Indicator Analysis

While USAID programming in trade facilitation seeks to improve the score of partner countries on the World Bank's Trading Across Borders indicator, there are many other factors outside of USAID's manageable interest affecting this score, such as the country's internal political changes and policies toward customs and border management. At the same time, the specific countries benefiting from USAID trade facilitation programming changes from year to year for a number of reasons, including changing budget allocation levels. The number of benefiting

⁴ This indicator was previously reported as "Doing Business Trading Across Borders score for partner countries with USAID trade facilitation programming."

Strategic Goal 2: Renew America's Competitive Advantage for Sustained Economic Growth and Job Creation

countries increased from 19 in FY 2017 to 23 in FY 2018, while \$81 million and \$69 million, respectively, was invested by USAID bilateral trade and investment programming for those same years. That said, the average score of USAID beneficiary countries is trending upwards, as governments increasingly understand the benefits of trade facilitation, and are more motivated to collaborate with USAID to reduce trade barriers. These factors open markets and improve bilateral trade with the United States, increasing American prosperity.

Indicator Methodology

These data come from the World Bank's Doing Business database (<http://www.doingbusiness.org>), under the Trading Across Borders indicator. The indicator represents an average of the overall distance-to-frontier score, not the ranking, for those countries that benefit from USAID's Trade and Investment programming for that year in USAID's annual Operational Plans. The World Bank calculates these scores by taking the simple average of the distance-to-frontier scores for the time and cost for documentary and border compliance to export and import for that country. The World Bank gathers their data through a questionnaire administered to local freight-forwarders, customs brokers, port authorities, and traders.

Performance Goal 2.1.2: Increasing U.S. Digital Exports

Performance Goal Statement: By 2022, support increases in exports of U.S. digital products and services by advocating for regulatory environments that enable cross-border data flows and digital trade, contributing to information and communications technology (ICT) services growing to more than \$70 billion. (State)

Performance Goal Overview/Progress Update

U.S. digital exports are a major contributor to jobs creation and economic growth in the United States. By some estimates, the digital sector accounted for over nine percent of U.S. gross domestic product (GDP) in 2015 (latest data available), more than construction or the U.S. Government. High-tech industries employed nearly 18.3 million U.S. workers in 2016 (latest data available), accounting for 14.6 percent of total employment and almost 25 percent of U.S. economic output. The United States seeks to further grow these digital exports through lowering barriers in overseas markets to exports of U.S. digital goods and digitally enabled services of all types through bilateral and multilateral engagement. The United States encourages regulatory environments that enable the development and deployment of information technology (IT) and telecommunications goods and services generally and are open to American providers specifically. These efforts complement the U.S. private sector competitors' strength in this field.

Strategic Goal 2: Renew America's Competitive Advantage for Sustained Economic Growth and Job Creation

Key Indicator: Value of information and communications technology services exports

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|----------------|--------------|----------------|--------------|--------------|
| Target | N/A | N/A | N/A | \$68 billion | \$73 billion | \$75 billion |
| Actual | N/A | \$66.1 billion | \$68 billion | \$70.9 billion | | |

Indicator Analysis

U.S. exports of ICT services grew strongly in FY 2018, outstripping our target for FY 2018 and necessitating upward revision of the FY 2019 and FY 2020 targets. In FY 2018, ICT services exports grew more than 4 percent, outstripping global GDP growth of 3.1 percent. However, we have limited our upward revision of ICT services exports for FY 2019 and FY 2020 due to projected slower growth. FY 2017 US ICT services exports were revised upwards in the underlying dataset.

Indicator Methodology

The DOC's Bureau of Economic Analysis (BEA) gathers information about U.S. services exports as part of its estimation of U.S. GDP. This indicator is drawn from the BEA International Services dataset, Table 3.1, U.S. Trade in ICT and Potentially ICT-Enabled Services, by Type of Service, Line 1. This data is reported annually by BEA

(<https://apps.bea.gov/iTable/iTable.cfm?reqid=62&step=9&isuri=1&6210=4>).

Key Indicator: Number of companies participating in the U.S.-EU Privacy Shield

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 2,850 | 4,500 | 5,000 |
| Actual | 0 | 0 | 2,480 | 4,000 | | |

Indicator Analysis

Participation in the U.S.-EU Privacy Shield in FY 2018 significantly exceeded expectations, requiring upward revision of our FY 2019 target. This growth is partially attributable to the entry into force of the EU's General Data Protection Regulation, which restricts data transfers to the United States absent a transfer mechanism such as Privacy Shield. Despite this rapid growth in Privacy Shield registrations, we have limited our targets for FY 2019 and FY 2020 growth to account for the fact that many companies requiring a transfer mechanism may have already signed up and future growth will be driven by new companies.

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Indicator Methodology

This indicator tracks the official number of organizations that have completed the self-certification to the EU-U.S. Privacy Shield Framework process. Indicator data is provided by the DOC. As Privacy Shield was launched in August 2016, organizations could not complete the self-certification process prior to FY 2017 and thus the FY 2015 and FY 2016 figures are zero.

Key Indicator: Number of economies participating in the Asia-Pacific Economic Cooperation Cross-Border Privacy Rules (APEC CBPR) Process

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 6 | 10 | 12 |
| Actual | N/A | 4 | 4 | 8 | | |

Indicator Analysis

Participation in the APEC CBPR system exceeded our FY 2018 target, necessitating upward revision of our FY 2019 and FY 2020 targets. Additional interest in participation is being driven to some extent by revised Japanese data privacy law that requires a legal mechanism, such as the APEC CBPRs, for cross-border data transfers. We anticipate continued strong interest in the CBPRs due to their inclusion in the U.S.-Mexico Canada Agreement, as well as continued growth in digital trade in the Asia-Pacific region.

Indicator Methodology

The APEC Secretariat tracks the number of economies that participate in the CBPR Process.

Performance Goal 2.1.3: Science, Technology, and Innovation

Performance Goal Statement: By 2022, increase the number of partners engaged with the U.S. to promote and expand cooperation in science, technology and innovation to boost American prosperity. (State and USAID)

Performance Goal Overview/Progress Update

The United States is the undisputed science, technology, and innovation leader. Expanding U.S. international collaboration on science and technology engagement and fostering private sector productivity preserves American science and technology dominance, counters malign foreign influence, and enhances U.S. and partner capabilities for business growth and innovation.

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Technical exchanges assistance creates a bridge to foreign countries and technology leaders, advances research and policy collaboration in areas aligned with U.S. scientific and foreign policy interests, and highlights American leadership, principles, and values on science, technology, and innovation. The U.S. Science Envoy Program and the Embassy Science Fellows Program are predicated on the interest of host countries to engage on scientific issues of mutual interest and on the reciprocal commitment of U.S. scientists and technical experts, and their home institutions, to dedicate their time and resources to support international engagement and partnership aligned with American scientific and foreign policy interests. These programs, and others that seek to foster science, technology, and innovation engagement and cooperation cultivate stable democracies and enhance economic prosperity.

The United States actively engages a growing number of countries that have greatly increased their science and technology investments and have internationally competitive scientists and technological capabilities. Like the United States, they view science, technology, and innovation as one of the key drivers for durable economic growth. High-profile engagement and increased international cooperation allows the United States to strengthen our bilateral relationships with key partners, increase U.S. access to foreign scientists and facilities, create cost savings in high-value research, foster economic growth domestically, and support other U.S. foreign policy priorities.

Key Indicator: Number of private sector firms that have improved management practices or technologies as a result of USG assistance

| | FY 2015 | FY 2016 | FY 2017 Baseline | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|------------------|---------|---------|---------|
| Target | N/A | N/A | N/A | 1,574 | 989 | 1,046 |
| Actual | N/A | N/A | 2,119 | 1,443 | | |

Indicator Analysis

Firms improve their productivity and competitiveness by adopting improved management practices and technologies. This, in turn, leads to increased profits and employment, and therefore broad-based economic growth in host countries. The FY 2018 results represent reporting from eight operating units (OUs). The FY 2018 result is slightly lower than the target because, while most of these OUs exceeded their targets slightly, a significant program in Serbia identified overly ambitious targets for FY 2018. This activity's targets for FY 2019 and FY 2020 are more realistic. Similarly, another OU reduced its FY 2019 target relative to this year to be more realistic. Due to a major program in Mongolia concluding and another large program in Albania scaling down relevant activities in FY 2018, the aggregate target has been reduced for FY 2019.

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Indicator Methodology

This indicator measures the number of firms receiving U.S. Government assistance that improved their management practices (e.g., financial management, strategic planning, marketing, or sales) or technologies (e.g., acquisition of better equipment or software, or better application of technology) in the past year. The data are taken from the performance reports submitted by State and USAID OUs through the Performance Plan and Report (PPR) in the Foreign Assistance Coordination and Tracking System (FACTS Info). In the narrative reporting for this indicator, OUs explain how they define improved management practices or technologies.

Key Indicator: Number of countries that participate in State scientific fellowships and exchanges

| | FY 2015 Baseline | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------------------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 45 | 45 | 45 |
| Actual | 36 | 52 | 48 | 49 | | |

Indicator Analysis

FY 2018 builds on FY 2017 efforts, and achieved similar success. Not fully captured in the number of countries is an increasing “depth” of engagement, meaning many countries participated in multiple scientific fellowships and exchanges during FY 2018. State’s Office and Science & Technology Cooperation (STC) tracks exchanges and fellowship information in real time, therefore the data are actual, complete, and accurate.

Indicator Methodology

U.S. Science Envoy and Embassy Science Fellow visits are based on overlapping interest and objective benefit as determined through active engagement of the Department with the envoy(s) and fellow(s), and their home institutions, as well as the host governments and members of the science, technology, and innovation community in these designated countries. Therefore, the number of countries visited directly correlates to the number of countries that benefit from the exchanges and is an indicator of substantive engagement with partners to promote and expand engagement in science, technology, and innovation to boost American prosperity.

Dialogues are scientific exchanges between American experts and priority countries. Engaging foreign audiences on key science and technology issues through targeted workshops can influence civil society and decision makers on science and technology issues aligned with American scientific and foreign policy interests and underscore U.S. leadership in key areas such as artificial intelligence, pandemic diseases, and wildlife trafficking. Dialogues take place

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abroad and have broad reach via target audience, media and social media. Because of the targeted, technical, and specific nature of the dialogues, countries that had participants invited to dialogues should be considered as engaged in a scientific exchange.

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Strategic Objective 2.2: Promote healthy, educated and productive populations in partner countries to drive inclusive and sustainable development, open new markets and support U.S. prosperity and security objectives

Strategies for Achieving the Objective/Strategic Objective Progress Update

The Department of State and USAID will support foreign governments, international organizations, and private-sector partners to increase access to quality education as a smart development strategy to improve economic conditions around the world. Both USAID and the Department are contributors to the U.S. Government Strategy on International Basic Education (Strategy), which was released in 2018 and is aligned with the Joint Strategic Plan. The Strategy “promotes education as a foundation for sustained economic growth and development by equipping individuals with the literacy, numeracy, and other basic skills that will help prepare them to be active, productive members of society and the workforce.” During FY 2018, USAID contributed to Strategic Objective 2.2 by reaching more than 35 million children and youth with basic education programs. These programs provide quality reading instruction for children in early grades, access to education for children and youth affected by crisis and conflict, and training for youth to provide them with relevant and necessary skills. Additionally, in FY 2018, USAID provided training and professional development to more than 590,000 teachers, administrator and school officials; distributed more than 31 million textbooks and other learning materials to classrooms; and built or repaired more than 2,500 classrooms.

The Department and USAID will foster inclusive economic growth in which all members of society share in the benefits of growth to reduce poverty, build resilience, and expand opportunity, as well as reduce political turmoil and conflict. State and USAID will help developing and transitional countries improve their policies, laws, regulations, entrepreneurial skills, and professional networks to boost private-sector productivity, ensure equal opportunities for women and marginalized groups, and spur inclusive and sustainable economic growth. The Department and USAID will support capacity development for private-sector entities that can link the poor to markets, including international ones, through effective and economically sustainable systems and relationships.

The Department, USAID, and the interagency will continue to implement a whole-of-government approach through Feed the Future, which supports the Global Food Security Strategy (GFSS) to sustainably reduce global hunger, malnutrition, and poverty to promote inclusive and sustainable agricultural-led economic growth, resilience, and nutrition. Results through 2018 support the advancement of Strategic Objective 2.2, as 23.4 million more people no longer live in poverty, 3.4 million more children are living free of stunting, and 5.2 million more families no longer suffer from hunger as a result of the U.S. government's investments. In furtherance of the U.S. Global Water Strategy (GWS) goal of a more water secure world, USAID will also work to increase the availability and sustainable management of safe water and sanitation.

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The Department and USAID will encourage improvements to corporate governance, sharing new technology, supporting capital formation and strong, transparent financial systems to bolster the business capacity of small business and high growth-potential entrepreneurs to help grow and integrate domestic and international markets. By strengthening property rights and land/resource tenure, U.S. engagement will support women's economic empowerment, youth employment, conflict prevention, and other development objectives. The Department and USAID will strive to alleviate the burden of gender-based violence, which affects women's ability to thrive and succeed.

The Department and USAID will promote the use of U.S. pollution control technologies, combat environmental crimes and marine debris, and support innovative approaches to climate resilience. State and USAID will foster transparency in environmental governance in partner countries, support the modernization of power grids, improve energy security, help partner countries make investments in their own development agendas, and improve their capability to track and report financial flows. The Department and USAID will foster the ability of countries and communities to take on the responsibility for building resilience and managing risks from shocks and stresses by helping countries more effectively harness their domestic resources as well as private-sector capital.

Performance Goal 2.2.1 (Agency Priority Goal): Food Security and Resilience

Performance Goal Statement: By September 30, 2019, Feed the Future will exhibit an average reduction in the prevalence of poverty and stunting of 20 percent, across target regions in Feed the Future's focus countries, since the beginning of the initiative in FY 2010. (USAID)

Performance Goal Overview/Progress Update

The Global Food Security Act (GFSA) of 2016, which was reauthorized in 2018, and the subsequent GFSS reinforce the U.S. Government's commitment to empower small-scale producers and strengthen communities and economies through agricultural-led development. Feed the Future (FTF) collaborates with a diverse group of government, private-sector, and civil-society partners to align and leverage resources in science and technology to sustainably reduce global poverty, hunger and malnutrition and strengthen resilience among people and systems to help countries move beyond a need for aid and achieve their own journey to self-reliance. FTF helps people and partner countries break the cycle of crisis, chronic vulnerability, and poverty, with the goal of increasing stability and economic prosperity, contributing to the U.S. National Security Strategy and the Department of State and USAID's Joint Strategic Plan (JSP). USAID's global food security programming also provides life-saving help to vulnerable populations and reduces hunger and malnutrition so that all people at all times have access to sufficient food for healthy and productive lives.

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FTF has a demonstrated track record in advancing strategic goals and objectives by engaging a diversity of stakeholders to mobilize, catalyze, and influence partners, and enable greater host-country ownership to accelerate their ability to plan, finance, and implement solutions to their own development challenges. U.S. Government efforts have unlocked private sector resources, working with 60 U.S. companies and many more around the globe to generate billions in loans and capital investment. The U.S. government supports broader domestic resource mobilization efforts with partner countries to increase their investments in agriculture development and spur job creation. FTF African countries increased their domestic expenditures by 25 percent during 2010-2014 compared to only a seven percent increase for all African countries, translating into \$719 million more invested in agriculture by FTF countries annually. Furthermore, U.S. government efforts created a network of approximately 20 Innovation Labs supported by more than 70 top U.S. colleges and universities to test U.S.-designed technologies in the field so American companies can adapt their products to both international and domestic customers, showcasing American ingenuity and deploying over 900 innovations to address the dynamic challenges of malnutrition, hunger, and poverty in the world.

Please refer to www.Performance.gov for more information on this Agency Priority Goal (APG), including the latest quarterly progress update and indicator analysis and methodology.

Key Indicator: Value of incremental sales generated with U.S. Government assistance⁵

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 |
|--------|---------------|---------------|-----------------|---------------|---------------|
| Target | N/A | N/A | \$850 million | \$850 million | \$425 million |
| Actual | \$829 million | \$906 million | \$1.122 billion | TBD* | |

Note: Annual Food Security data is not reported until late into the following calendar year. FY 2018 results will be available in late 2019.

Key Indicator: Number of farmers who have applied new technologies and management practices (including risk management technologies and practices) as a result of U.S. assistance

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 |
|--------|-----------|------------|--------------|--------------|---------------|
| Target | N/A | N/A | 8.5 million | 9.75 million | 4.875 million |
| Actual | 9 million | 11 million | 11.3 million | TBD* | |

Note: Annual Food Security data is not reported until late into the following calendar year. FY 2018 results will be available in late 2019.

⁵ Starting in FY 2019, USAID will switch indicators to report on "value of total sales generated with U.S. Government assistance."

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Key Indicator: Value of new private sector investment in the agriculture sector leveraged by Feed the Future implementation

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 |
|--------|---------------|-----------------|---------------|---------------|---------------|
| Target | N/A | N/A | \$290 million | \$220 million | \$110 million |
| Actual | \$154 million | \$218.8 million | \$243 million | TBD* | |

Note: Annual Food Security data is not reported until late into the following calendar year. FY 2018 results will be available in late 2019.

Key Indicator: Number of children reached by nutrition interventions

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 |
|--------|------------|--------------|--------------|------------|-----------|
| Target | N/A | N/A | 22 million | 18 million | 9 million |
| Actual | 18 million | 27.7 million | 22.6 million | TBD | |

Note: Annual Food Security data is not reported until late into the following calendar year. FY 2018 results will be available in late 2019.

Key Indicator: Number of USAID Feed the Future evaluations

| | FY 2018 Q1 | FY 2018 Q2 | FY 2018 Q3 | FY 2018 Q4 | FY 2019 Q1 | FY 2019 Q2 | FY 2019 Q3 | FY 2019 Q4 |
|--------|------------|------------|------------|------------|------------|------------|------------|------------|
| Target | 2 | 2 | 2 | 2 | 2 | 2 | 2 | 2 |
| Actual | 4 | 5 | 5 | 6 | 9 | | | |

Key Milestones:

| Due Date: FY and Quarter | Milestone | Milestone Status | Progress Update |
|--------------------------|---|------------------|--|
| FY 2018, Q2 | Complete and post revised Feed the Future learning agenda | Complete | Publicly launched for public comment at the Board for International Food and Agricultural Development (BIFAD) meeting on September 12, 2018. |

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| | | | |
|-------------|---|----------|--|
| FY 2018, Q3 | Complete at least 10 Bureau for Food Security (BFS)/mission Feed the Future performance reviews | Complete | Performance reviews completed during Quarter 3 for Ethiopia, Uganda, Ghana, Kenya, Senegal, Bangladesh, Mali, Guatemala, Nepal, Honduras, and Nigeria. |
| FY 2018, Q4 | Complete and post 12 GFSS target country plans | Complete | All Country Plans are complete and public at https://www.usaid.gov/sustaining-fft-progress . |
| FY 2019, Q1 | Complete policy matrices for 12 GFSS target countries | Complete | All 12 target countries completed policy matrices focusing on 138 policies in 7 areas. |
| FY 2019, Q2 | Complete three formal knowledge-sharing events during the quarter | Planned | N/A |
| FY 2019, Q3 | Complete at least 10 BFS/mission Feed the Future performance reviews | Planned | N/A |
| FY 2019, Q4 | Complete learning agenda synthesis and update | Planned | N/A |

Performance Goal 2.2.2: Gender Equality and Women's Empowerment

Performance Goal Statement: By 2022, achieve parity in participation between women and men in programs that are designed to increase access to economic resources. (State and USAID)

Performance Goal Overview/Progress Update

Women's participation in the formal workforce, especially in white-collar sectors that often require tertiary education, was one of the single-largest drivers of American economic growth throughout the 20th century. By helping our partner countries strengthen girls' education and their subsequent economic opportunities, the Department and USAID are supporting better global markets for trade and more stable societies. With full participation of women in the global labor force, the annual GDP growth rate would be more than two percent greater in partner countries where women's participation in the formal workforce is currently lowest.⁶ The Department and USAID's strategy is directly aligned with the Administration's Women's Global

⁶ *The power of parity: How advancing women's equality can add \$12 trillion to global growth.* McKinsey Global Institute. 2015

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Development and Prosperity (W-GDP) Initiative by addressing its three pillars: Women Prospering in the Workplace; Women Succeeding as Entrepreneurs; and Women Enabled in the Economy. This three-pronged approach drives USAID in collaboration with nine other U.S. agencies to advance women's employment prospects, their place at the table for credit and investment, and their voice and agency in reducing barriers in the enabling environment. To measure progress, USAID and the Department will track two performance indicators that are vetted proxy measures of our impact on women's economic empowerment, including increased agreement with the concept that males and females should have equal access to resources and opportunities. To achieve women's economic empowerment, it is critically important to recognize women's actual and potential contributions to their economies and to enable women to become full economic participants in their societies. There is clear evidence that rising tides do not raise all boats equally. In a "gender-blind" system, women are often further subjugated and disadvantaged. In many partner countries, closing gender gaps in education, employment and financial assets could be the most obvious and quantitatively significant way to improving large-scale macroeconomic growth.

Key Indicator: Percentage of female participants in USG-assisted programs designed to increase access to productive economic resources (assets, credit, income or employment)

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 55.42% | 55.99% | 56.34% |
| Actual | 41.02% | 53.55% | 52.61% | 50.39% | | |

Indicator Analysis

The FY 2018 target for this indicator was not met, with the actual result falling approximately five percent short of the target. It is difficult to identify precisely why this was the case. Forty-nine OUs reported against this indicator and for many OUs, their reported results reflect a combination of results across multiple projects or activities. Given the breadth of this reporting, the lack of detail in the narratives and the large number of individual country results that either fell short of or exceeded their targets on this indicator, the exact reason for the shortfall cannot be identified. Nevertheless, the FY 2019 target suggests that on average, OUs expect to achieve better results in the future.

The target for FY 2019 was changed based on FY 2018 results. It is a common occurrence that OUs change initial targets for out-years as more information about an activity becomes known and as modest tweaks to the program need to be made. In this case, the change to the target was relatively minor.

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The fact that so many OUs report on this indicator and that the FY 2018 result shows that half of the participants in USG-assisted programs designed to increase access to productive economic resources were women should be considered a success in that the outcome outlined in the Performance Goal Statement has already been met and with widespread participation.

Indicator Methodology

Productive economic resources include assets (e.g., land, housing, businesses, livestock or financial assets such as savings; credit; wages or self-employment; and income). Programming can include micro, small, and medium-sized enterprise programs; workforce-development programs that have job-placement activities; programs that build assets such as the redistribution or titling of land or housing; agricultural programs that provide assets such as livestock; or programs designed to help adolescent females and young women set up savings accounts. This indicator does not track access to services, such as business-development services or stand-alone employment training (e.g., employment training that does not also include job-placement following the training).

Key Indicator: Percentage of participants reporting increased agreement with the concept that males and females should have equal access to social, economic, and political resources and opportunities

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 54.72% | 48.8% | 60.26% |
| Actual | N/A | N/A | 41.75% | 51.89% | | |

Indicator Analysis

The target for FY 2018 for this indicator was not met by a very small margin. This was largely due to substantial gaps between the target for FY 2018 and obtained results for a few OUs. For the most part, these OUs have articulated clear plans to determine what accounted for their lackluster results, to incorporate lessons learned from more successful programs, and to strengthen interventions. If successful, these efforts should ultimately yield more positive results. The FY 2020 target reflects this optimism.

The target for FY 2019 was changed based on FY 2018 results. It is a common occurrence that OUs change initial targets for out-years as more information about an activity becomes known and as modest tweaks to the program need to be made. In this case, the change to the target was relatively minor.

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Indicator Methodology

This indicator will gauge the effectiveness of the U.S. Government's efforts to promote gender equality by measuring changes in attitudes about whether men and women should have equal access to resources and opportunities in social, political, and economic spheres, via a three question opportunity survey administered in conjunction with training or programs in any sector that include goals or objectives related to gender equality and women's empowerment. Projects that aim to change participants' broad attitudes about gender equality are particularly relevant.

Performance Goal 2.2.3: Gender-Based Violence

Performance Goal Statement: By 2022, increase the number of people reached by U.S. Government-funded interventions providing gender-based violence (GBV) services (with 2016 as the baseline). (State and USAID)

Performance Goal Overview/Progress Update

To achieve our goal of empowering women in the economy and reducing gender inequality, the Department and USAID must enable women to overcome barriers to education, employment, job training, credit, business management, land ownership, technology and becoming active members of associations. Gender-based violence (GBV) is a daunting challenge faced by many women and girls. GBV is a human rights violation with far reaching adverse socio-economic consequences. It is estimated that GBV costs 1.2 percent - 3.7 percent of GDP owing to lost productivity in some countries (World Bank GBV Fact Sheet, 2018). GBV in educational institutions (bullying, harassment, rape, online violence, and coercion for sex by teachers), combined with violence experienced by girls in their communities and homes, results in absenteeism and withdrawal from education. GBV in the workplace, at home, or during transit to and from work results in hundreds of billions of dollars in costs from lost economic productivity from absenteeism, and billions more in health care expenses. GBV is a driver of the HIV epidemic in many countries.

It is estimated that globally, 35 percent of women have experienced either physical and/or sexual intimate partner violence or non-partner sexual violence (WHO, 2013). Estimates range from 50 percent to 71 percent of working women experiencing some form of sexual harassment in the workplace depending on the industry. In FY 2018, USAID launched a GBV Learning Agenda to close information gaps on the effects of GBV in particular sectors. For example, one research question focuses on the impact of GBV in the informal sector economies. USAID played a pivotal role in supporting advocacy efforts and other work led by civil society on GBV and economic empowerment through the global 16 Days of Activism to End Gender-Based Violence campaign. The Agency continues to prevent and respond to GBV through a wide range of interventions in multiple sectors. USAID activities support GBV services for survivors, strengthen the rule of law, raise community awareness, engage male champions, and develop

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the capacities of government agencies, local non-governmental organizations (NGOs) and community-based organizations (CBOs) to prevent and respond to GBV.

This performance goal (PG) prioritizes preventing and responding to GBV through programs creating safe environments and advancing education, health, business opportunities and employment for women and girls. To measure progress, USAID and the Department of State will track two performance indicators that are vetted proxy measures of our impact on reducing GBV.

Key Indicator: Number of people reached by a U.S. Government-funded intervention providing GBV services (e.g., health, legal, psycho-social counseling, shelters, hotlines, other)

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|------------|-----------|-----------|-----------|-----------|-----------|
| Target | N/A | N/A | N/A | 843,156 | 2,058,131 | 2,014,625 |
| Actual | 11,837,166 | 3,146,925 | 4,338,089 | 5,050,870 | | |

Indicator Analysis

The data are taken from the performance reports submitted by the Department of State and USAID OUs through the Performance Plan and Report (PPR) in the Foreign Assistance Coordination and Tracking System. Note that the FY 2018 and FY 2019 targets in the FY 2017 Annual Performance Report (APR) have been changed in this analysis to present data updates. This data aggregates targets and actual results reported in FY 2018 by 26 OUs. In FY 2018, 5,050,870 people were reached by interventions delivering USG GBV services, up from 4,338,089 beneficiaries in FY 2017. These interventions are wide-ranging and include activities focused on preventing and responding to GBV in multiple sectors, such as health, democracy and governance, humanitarian assistance, education, and economic development. The FY 2018 actual results substantially exceed the FY 2018 target because of the extreme variability in year-to-year needs, especially in the humanitarian assistance sector where activities addressing GBV in emergency situations serve large numbers of beneficiaries. Given the variability in year-to-year needs, out-year targets are based on a conservative analysis of historical trends.

Indicator Methodology

This indicator is a count of the individuals served by GBV services, examples of which include legal, health, psycho-social counseling, economic, shelters, and hotlines.

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Key Indicator: Number of legal instruments drafted, proposed, or adopted with USG assistance designed to improve prevention of or response to sexual and gender-based violence at the national or sub-national level

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 61 | 86 | 21 |
| Actual | 30 | 2 | 47 | 56 | | |

Indicator Analysis

The data are taken from the performance reports submitted by the Department of State and USAID OUs through the PPR in the Foreign Assistance Coordination and Tracking System.

Note that the FY 2018 and FY 2019 targets in the FY 2017 APR have been changed in this analysis to present data updates. The data aggregates targets and actual results reported by seven OUs, reflecting an increase from FY 2017 when five OUs reported on this indicator. The number of legal instruments reported have also increased from 47 in FY 2017 to 56 in FY 2018. However, the FY 2018 actual results have not met the FY 2018 target. A reason for this shortfall is that the OU reporting the largest number of legal instruments last year met only 65 percent of its FY 2018 target owing to changes in activity design and implementation. The FY 2020 target has decreased from the targets set for prior years because some activities are either terminating or facing uncertainties about future funding.

Indicator Methodology

For the purposes of this indicator, "legal instrument" is meant broadly to include any official document issued by a government (e.g., law, policy, action plan, constitutional amendment, decree, strategy, regulation) designed to improve the prevention of, and response to, sexual and GBV at the national or sub-national level. OUs may count a legal instrument only once in each stage (i.e., drafted, proposed, adopted); OUs may not report on the same legal instrument across multiple reporting periods unless it has advanced to the next stage (e.g., law drafted in one reporting period, law presented for legislative action in the next reporting period, law passed in the subsequent reporting period).

Performance Goal 2.2.4: Improved Learning in Primary Grades

Performance Goal Statement: By 2022, the percentage of children and young people at the end of primary school achieving at least a minimum proficiency level in reading and math will increase in at least 10 countries. (USAID)

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Performance Goal Overview/Progress Update

Improved learning outcomes for children in early grades is a priority of the Reinforcing Education Accountability in Development (READ) Act and has been a key strategic objective of USAID's education investments since 2011. Children who do not gain foundational skills, such as the ability to read, in early grades face diminished ability to remain in school, gain higher-order skills, and contribute to their societies and economies. Countries with poorly educated populations are less likely to be strong allies and trading partners of the United States.

As of 2017, 387 million primary school-aged children globally (56 percent of all) do not achieve minimum proficiency levels in reading. To address this learning crisis, USAID partners with governments and education stakeholders to strengthen their capacity to provide safe access to inclusive learning environments, trained educators, quality instructional materials in languages children understand, and other conditions necessary for learning.

Key Indicator: Number of countries with improved learning in primary grades

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 2 | 4 | 6 |
| Actual | N/A | N/A | N/A | N/A | | |

Indicator Analysis

This indicator represents a key long-term outcome targeted by USAID education programming. Because country-level learning outcomes are shaped by a broad set of socio-economic, political, and technical factors, U.S. Government foreign assistance can be understood as contributing to any trends observed in reporting. However, foreign assistance is not sufficient to change national learning outcomes on its own.

USAID partner countries measure and report on national-level learning outcomes every 2-4 years. In 2018, there were no new learning outcomes data reported to the United Nations Educational, Scientific and Cultural Organization (UNESCO) Institute for Statistics (UIS) by USAID partner countries, making it impossible to report on this indicator for the 2018 period. The next update to UNESCO/UIS reporting, in September 2019, is expected to allow for an update to this indicator for FY 2019 reporting.

Indicator Methodology

USAID will count its target partner countries that demonstrate an upwards trend in reading proficiency, over the implementation timeframe of the Department of State-USAID Joint

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Strategic Plan, in Sustainable Development Goal (SDG) 4.1.1 reporting for the reading domain at the end of primary school. Data will come from official public reporting published on a data system maintained by UNESCO/UIS. As part of its mandate to serve as global custodian for SDG 4 reporting data, UNESCO/UIS is tasked with establishing and monitoring for compliance, appropriate standards for data reported by participating countries. Known limitations to the comparability of data include the following: the framework for country definitions of “minimum proficiency” allows for variation in standards, the duration of primary school varies across countries, students in some countries could be assessed in a language they do not speak proficiently, and methodological approaches to the sampling and collection of data will vary. In USAID partner countries, national learning outcomes may only be measured and reported to UNESCO/UIS every two to four years, with the result that USAID reporting on this indicator will not be comprehensive of partner countries on an annual basis.

Key Indicator: Number of learners in primary schools or equivalent non-school based settings reached with USG education assistance

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|-----------|------------|------------|------------|------------|------------|
| Target | N/A | N/A | N/A | 23,389,069 | 30,651,536 | 24,840,007 |
| Actual | 7,569,082 | 20,004,643 | 25,259,173 | 35,095,910 | | |

Indicator Analysis

In FY 2018 U.S. Government programs reached over 35 million learners in primary schools or equivalent. Depending on the country and context, USG education programs benefit students through interventions focused on improving learning outcomes, education governance, and access. The number of learners reached demonstrates USAID's commitment to providing access to safe, quality education globally, in accordance with the USAID Education Policy and the U.S. Government Education Strategy.

The FY 2018 target was exceeded due to higher than anticipated enrollment or Government buy-in in certain countries, and improved overall reporting. For instance, in Ghana, where the OU exceeded their target by over 1 million students, the number of students enrolled was significantly higher than anticipated. In other instances, such as Uganda, where the FY 2018 result was nearly 2.3 million students higher, the OU missed including targets for two contributing activities, which has been rectified for future years. Out-year targets reflect the ending of existing activities and the transition to new activities that have not yet started, and thus have not set targets yet.

Data are preliminary as of early February 2019. A handful of countries that are anticipated to report on this indicator have not reported as of the date of publication of this report.

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Indicator Methodology

The data come from the performance reports submitted by Department of State and USAID OUs through the PPR in the Foreign Assistance Coordination and Tracking System. OUs are required to conduct Data-Quality Assessments (DQAs) every three years, and are responsible for managing the quality of data they report. FY 2018 results reflect reporting from 43 OUs.

Performance Goal 2.2.5: Supporting Growth of Private Firms

Performance Goal Statement: By 2022, increase sales and employment of 25,000 firms through technical assistance to improve business performance. (USAID)

Performance Goal Overview/Progress Update

Private firms are the engines of economic growth in partner countries. One of the main ways USAID spurs this growth is through technical assistance to firms to support employment and revenue growth. The more firms USAID supports, the more likely it is that USAID drives inclusive growth and opens new markets. However, the link between this PG and employment and revenue growth depends on the effectiveness of USAID's targeting as well as appropriateness of the technical assistance to the firms who receive it. USAID is actively disseminating the latest research evidence on stronger targeting and intervention design to the field, to boost the impact of USAID's technical assistance in contributing to the strategic objective of promoting productive populations to drive inclusive and sustainable growth. Finally, achievement of this PG will depend significantly on the USAID programming implemented in Private Sector Productivity.

Key Indicator: Number of firms receiving USG-funded technical assistance for improving business performance

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 14,471 | 98,959 | 53,667 |
| Actual | N/A | 1,614 | 71,347 | 99,546 | | |

Indicator Analysis

The data are taken from the performance reports submitted by Department and USAID OUs through the PPR in the Foreign Assistance Coordination and Tracking System. The Department and USAID first collected data for this indicator in FY 2016. The FY 2018 result and target data reflect reporting from 19 OUs. The large number of firms receiving technical assistance in FY 2018 primarily reflects short-term assistance provided to microenterprises through local government partners with effective outreach in the Philippines. The target for FY

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2019 has been significantly increased to reflect multiple OU's improved accuracy in monitoring and projecting targets for existing activities, as well as for new activities. Several OUs, including the Philippines, are transitioning between activities in FY 2018 or 2019, causing a reduction in the target for FY 2020 relative to FY 2019.

Indicator Methodology

Under this indicator, OUs count firms that are formal or informal, and of any size. If multiple owners, managers, or workers in a single firm receive technical assistance over the reporting period, the reporting OU will count that as one benefiting firm for the reporting period. Technical assistance is defined as:

- The transfer of knowledge and/or expertise by way of staff, formal or informal skills training;
- Research to support the quality of program implementation and impact;
- administration, management, and market research;
- Representation, publicity, policy development, knowledge-sharing meetings, and business-to-business meetings; and
- Capacity building through seminars, training, roundtables, study tours, trade fairs and other activities.

Technical assistance includes both human and institutional resources, but does not include financial assistance.

Key Indicator: Full-time equivalent employment of firms receiving USG assistance

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 7,483 | 18,764 | 27,325 |
| Actual | N/A | 21,259 | 25,002 | 19,345 | | |

Indicator Analysis

The data are taken from the performance reports submitted by Department of State and USAID OUs through the PPR in the Foreign Assistance Coordination and Tracking System. The FY 2018 result data reflect reporting from seven OUs. The Department and USAID started collecting data against this indicator in FY 2016, and made a concerted effort starting in FY 2017 to have OUs report against this standard indicator. Use of this indicator is still a work in progress, which means that in the earlier years of this JSP, there was underreporting for this indicator. The actual results for FY 2018 are much higher than the target because two OUs did not indicate targets but reported significant results. The FY 2020 total target is much higher than

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that for FY 2019 mainly because a new activity in Guatemala supporting small and medium enterprises is ramping up during FY 2019 and expecting a large increase in results in FY 2020.

Indicator Methodology

Under this indicator, OUs can count firms that are formal or informal, and are of any size; the reported numbers include microenterprises and small and medium-sized enterprises.

Performance Goal 2.2.6: Sustainable Environmental Practices

Performance Goal Statement: By 2022, partner institutions and individuals adopt sustainable environmental practices, resulting in improved health and economic outcomes. (State and USAID)

Performance Goal Overview/Progress Update

The adoption of sustainable practices to manage air, water, land, and natural resources is vital to promoting healthy and productive populations. Air pollution is a transboundary issue that affects millions of people worldwide. The World Bank estimated that in 2013 alone, air pollution accounted for \$225 billion in lost labor income, and more than \$5 trillion in welfare losses. The World Health Organization (WHO) estimates that in 2012, nearly seven million deaths were attributable to indoor and outdoor air pollution. Nearly all of the world's population lives in areas that exceed WHO and U.S. Environmental Protection Agency (EPA) air-quality guidelines. Over 80 percent of the United States' diplomatic missions are in cities that exceed these guidelines as well, which puts our own employees at risk. Modest investments in health and pollution-abatement can provide an excellent return on scarce resources.

As more countries achieve an industrial stage of economic development, air pollution will continue to worsen without focused global action. The United States' considerable experience with measuring and curbing air pollution provides learning opportunities for other countries. By working with foreign governments, international organizations, and private sector partners, the Department and USAID work to raise awareness about air pollution and its solutions. In conjunction with the EPA, the Department will develop and promote a clean air pledge for countries to sign. The pledge will commit the country to voluntary actions to reduce air pollution (specifically PM_{2.5}, or particulate matter that have a diameter of less than 2.5 micrometers), share best practices, and increase the availability of real-time air-quality data. The Department and USAID will also support cross-cutting focus areas like scientific analysis, smart-city infrastructure, real-time management policy, technological advances, machine-learning, and policy development.

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In addition to air pollution, poor water and sanitation threaten the health of individuals across the globe. Hundreds of millions of people across the planet do not have access to safe drinking water. Billions suffer the health impacts of poor sanitation, and millions of others live without sustainable supplies of water, or are threatened by floods or droughts. To address these challenges and contribute to a healthier, safer, and more prosperous world, the United States will work to support a water-secure world in which people have sustainable supplies of water of sufficient quantity and quality to meet human, economic, and ecosystem needs while managing risks from floods and droughts. The GWS, launched in 2017 as required under the Senator Paul Simon Water for the World Act (2014), is the first-ever whole-of-government framework for advancing U.S. leadership on global challenges in water and sanitation. The purpose of the GWS is to coordinate and catalyze U.S. Government water and sanitation efforts across foreign assistance, diplomacy, science, and technology, and in partnership with civil society and the private sector around the vision of building a more water-secure world, where people have sustainable supplies of water of sufficient quantity and quality to be healthy, prosperous, and resilient. USAID describes its contribution to the GWS in the *USAID Water and Development Plan*, the goal of which is to “increase the availability and sustainable management of safe water and sanitation for the underserved and most vulnerable, in alignment with U.S. national security and foreign policy objectives.” As articulated in the plan, USAID plans to provide 15 million people with sustainable access to safe drinking water services, and eight million people with sustainable sanitation services, by 2022.

Sustainable Landscapes programs focus on places where forest carbon-storage is high, and where the risk of deforestation is great. Guiding the evolution of broad landscape mosaics is integral to a country's holistic, low-emissions development. State and USAID support activities that reduce land-based emissions in a variety of connected ecosystems, including mangroves, savannas, agricultural fields, forests, and other critical landscapes. Partnering with governments, State and USAID are assisting in planning and implementing policies to address drivers of land-based emissions. By building capacity for rigorous, transparent monitoring of forest and carbon stocks, State and USAID support Reducing Emissions from Deforestation and Degradation (REDD+) project development as well as national and regional planning, implementation, and enforcement of land-use policies, market incentives for improved production, and reducing risk for private sector investments. Other activities work to identify better practices and on-the-ground opportunities for low-emissions agriculture and reducing deforestation in commodity supply-chains.

State and USAID recognize the essential role of healthy natural systems as a foundation for sustainable development and human well-being. Conserving biodiversity and managing natural resources will contribute to the governance, economic growth, health, food security, and resilience objectives of the United States and partner countries. By increasing the number of people benefiting from conservation and natural-resource management, State and USAID build a constituency for conservation, which makes it more likely that people will participate in or advocate for natural-resource management and increase the sustainability of U.S. investments.

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Key Indicator: Number of people gaining access to safely managed drinking water services as a result of USG assistance

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|-----------|---------|---------|
| Target | N/A | N/A | N/A | 1,955,501 | 469,054 | 666,000 |
| Actual | N/A | 188,168 | 391,394 | 1,071,386 | | |

Indicator Analysis

Use of a “safely managed” drinking-water service, as defined, is strongly linked to decreases in the incidence of waterborne disease, especially among children under age five. Diarrhea remains the second-leading cause of child deaths worldwide. While not guaranteeing use of the drinking-water service, this indicator measures progress in making high-quality drinking water available and accessible in a manner that typically leads to use of the safely managed service. A “safely managed drinking service” is defined as one that has improved water sources or delivery points that by nature of their construction or through active intervention are protected from outside contamination, and is also: 1) located on premises (water is provided directly to the household or on premises), 2) available when needed and 3) compliant with fecal and priority chemical standards. Persons are counted as gaining access to a safely managed drinking-water service if the service is either newly-established, rehabilitated from a non-functional state, or upgraded from a basic water service within the reporting FY as a result of U.S. Government assistance, and these persons did not previously have similar access to a safely managed drinking-water service prior to the establishment or rehabilitation of the USG-supported safely managed service.

As articulated in the *USAID Water and Development Plan* under the GWS, USAID plans to provide 15 million people with sustainable access to safe drinking-water services (inclusive of this indicator on safely managed water services and additional data on basic services) by 2022. Note that USAID has historically reported on basic or improved drinking-water access — namely, delivery points that by nature of their construction or through active intervention are protected from outside contamination, in particular from outside contamination with fecal matter, and where collection time is no more than 30 minutes for a roundtrip, including queuing. USAID intends to transition to reporting on a basic water services indicator next year. Safely managed service is a higher level of service that USAID aims to achieve through targeted programming, where appropriate. This result is therefore largely driven by programming in particular countries, such as Jordan and the Philippines, where USAID is working in partnership with the government to provide a higher level of water service to the population. FY 2018 results show accelerated progress on achieving results towards this indicator from previous years, but were lower than the target numbers due to delays in implementation. It is expected that these results will be made up in future years of programming. Out-year targets have been adjusted based on new information from missions programming in this area. However, targets for some of these

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programs are missing, so it is expected that these will increase. USAID is currently on track to meet or exceed the targets set in its Water and Development Plan.

Indicator Methodology

Upon completion of the construction, rehabilitation, or upgrading of water services that meets the standard for a safely managed service, USAID and State staff, implementing partners, or a third-party evaluator must collect data and reasonably demonstrate the linkage between U.S. Government assistance and new services provided to attribute results to this indicator. Method(s) for collecting data for this indicator include: 1) observations of water services and direct count of beneficiaries or households with estimates of the number of people who are living in those households; 2) water-quality tests of any U.S. Government-constructed water services; 3) household surveys of a representative, and statistically significant, sample of those who gained access to verify the water services meet the standards in the definition for "safely managed"; 4) third-party data provided by a water utility or other local entity responsible for the provision of water to demonstrate new connections (the implementing partner that is assisting the third-party must demonstrate the linkage between USG assistance and new water supplies); and 5) records for water services managed directly by the government to demonstrate new connections and water quality.

Key Indicator: Number of people gaining access to a basic sanitation service as a result of USG assistance

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|-----------|-----------|-----------|-----------|-----------|-----------|
| Target | N/A | N/A | N/A | 7,333,314 | 8,506,634 | 7,429,914 |
| Actual | 2,431,211 | 2,964,497 | 1,554,451 | 7,439,323 | | |

Indicator Analysis

Use of a basic sanitation facility by households is strongly linked to decreases in the incidence of waterborne disease among household members, especially among those under age five. Diarrhea remains the second-leading cause of child deaths worldwide. This indicator measures progress in making basic sanitation services available and accessible in a manner that typically leads to use of the basic service. A basic sanitation service is a sanitation facility that hygienically separates human excreta from human contact, and that is not shared with other households. Sanitation facilities that meet these criteria include the following: 1) flush or pour/flush facilities connected to a piped sewer system; 2) a septic system or a pit latrine with slab; 3) composting toilets; and, 4) ventilated improved pit latrines with slab. No other sanitation facilities meet this definition, and are considered unimproved. Households that use a facility shared with other households are not counted as using a basic sanitation facility.

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As articulated in the *USAID Water and Development Plan* under the GWS, USAID plans to provide eight million people with sustainable access to sanitation services (inclusive of basic and safely managed sanitation services) by 2022. Results from FY 2018 demonstrate significant progress towards this target, with over 25 missions reporting against this indicator, and higher results than were achieved in previous years. The target set for FY 2018 was overly ambitious as it was based on early reporting from missions that did not take into account the complete definition for this indicator. Despite missing this target, USAID is currently on track to meet or exceed the targets set in its Water and Development Plan.

Indicator Methodology

USAID and State staff, implementing partners, or a third-party evaluator must collect data for this indicator. USAID and State staff, implementing partners, or a third-party evaluator must reasonably demonstrate the linkage between USG assistance and new services provided to attribute results to this indicator. Acceptable method(s) for collecting data for this indicator are the following: 1) direct count of beneficiary households and estimates of the number of people who are living in those households by the USAID partners implementing the activities in an area of the project's implementation, or by a third-party evaluator, and summarized on a quarterly or annual basis. This method would be most appropriate when the technical approach being pursued involves some direct engagement with households by the USAID implementing partner, e.g., when a household receives a subsidy for the construction of an improved sanitation facility; or 2) household surveys of a representative and statistically significant sample of those who gained access to verify the sanitation facility meets the standards in the definition for a basic facility.

Key Indicator: Number of people with improved economic benefits derived from sustainable natural resource management and/or biodiversity conservation as a result of USG assistance

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|-----------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 544,522 | 883,988 | 651,096 |
| Actual | 824,958 | 1,429,079 | 363,863 | 585,555 | | |

Indicator Analysis

This indicator is used to measure a typically middle to end of program (mid-term to long-term) outcome in biodiversity programming. This indicator measures one (economic benefits) direct and indirect human well-being benefits of biodiversity conservation. In this context "improved economic benefits" are positive changes in economic earnings or consumption due to sustainable management or conservation of natural resources, which can include wages, communal revenues, non-cash benefits, economic benefits from ecosystem services and

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reductions in the rate of loss of an economic benefit under threat. This indicator facilitates integration of biodiversity conservation with other development sectors, a key component of the Bureau of Economic Growth, Education and Environment (E3) Natural Resources Management Mission Objective.

Current reporting trends are upwards as USAID OUs improve the process of identifying the applicability, using and reporting this indicator in their ongoing and upcoming investments. In FY 2018, 28 USAID OUs reported on this indicator, with the aggregate result total (585,555) exceeding the aggregate FY 2018 target (544,522) by 7.5 percent. It is also important to note that the number of OUs using this indicator has increased from 19 in FY 2016 to 28 in FY 2018 as a result of efforts from E3's Office of Forestry and Biodiversity in helping OUs better understand the applicability and usefulness of this development metric. The FY 2020 target is lower than the FY 2019 target because activities in some OUs are concluding.

Indicator Methodology

Implementing partners report this indicator with data collected from local or government partners (e.g., employee records or product yields), direct observation, or survey methods, using estimates in some cases to approximate impact across households. The type of the economic benefit and methodology for data collection must be explicit in the project objectives.

Key Indicator: Number of people receiving livelihood co-benefits (monetary or non-monetary) associated with the implementation of USG sustainable landscapes activities

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 24,800 | 100,315 | 100,000 |
| Actual | 1,152 | 13,870 | 59,493 | 174,410 | | |

Indicator Analysis

In FY 2018, seven OUs reported on this indicator, five of which supported over 20,000 individuals each. Measurement of this indicator can be a challenge, as much of USAID and State's work in Sustainable Landscapes happens at the national or policy level, and methodologies for counting individual beneficiaries can be unclear. However, several programs, especially those with a payment for ecosystem services component, have been able to report strong results in FY 2018, as nearly all OUs (86 percent) exceeded their targets.

In Zambia (83,227), through alternative livelihood activities and anticipated carbon offsets from avoided deforestation, the Community Forest Program helped people receive benefits through beekeeping, access to clean drinking water and access to refurbished schools and health centers, exceeding their original target.

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In Malawi (25,269), a significant number of people benefitted from access to new markets as a result of a Moringa tree smallholder cultivation program supported via a grant to Moringa Miracles Limited. Protecting Ecosystems and Restoring Forests in Malawi (PERFORM) has exceeded their expected life of project target, but will add new activities in out-years.

In Indonesia (20,159), USAID's LESTARI activity exceeded expected results due to success in scaling up business models for sustainable natural resource use. LESTARI, which means 'everlasting' in Bahasa Indonesian, supported the development of agroforestry cooperative partnerships between farmers and rural community members in the production of cash crops such as rubber, coffee, cacao, and nutmeg. USAID is well positioned to further improve the livelihoods of these cooperative members by generating additional partnerships with businesses that adhere to international standards of sourcing deforestation-free commodities. USAID takes a holistic view in which economic benefits are derived from better land tenure arrangements for rural farmers, watershed protection, and strengthened supply chains.

Indicator Methodology

The implementation of strategies, programs, or actions on Sustainable Landscapes generates a range of benefits for stakeholders, particularly women and indigenous groups.

Examples of monetary benefits include, but are not limited to, increased income from government policies related to the mitigation of weather-related shocks, such as tax benefits or access to loans; payments for avoided emissions and/or carbon-sequestration; payments by local governments for other ecosystem services that also achieve mitigation results (*e.g.*, implementation of a specific activity); and cooperatives that have increased sales because of increased market access.

Examples of non-monetary benefits include, but are not limited to, access to programs, services, or education; infrastructure development; access to markets; preferential investment or finance terms; land titling or registration; increased access to environmental services; newly defined rights or authorities; protection of traditional livelihoods and customary rights; and environmental and other benefits from avoided deforestation and degradation, improved afforestation, or increased productivity from climate-smart agricultural practices (such as conservation tillage or selecting crop varieties for specific traits).

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Key Indicator: Number of countries that have positive engagements on strategically addressing air pollution with the USG

| | FY 2015 | FY 2016 | FY 2017 Baseline | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------------------|---------|---------|---------|
| Target | N/A | N/A | N/A | 2 | 8 | 15 |
| Actual | N/A | N/A | 0 | 1 | | |

Indicator Analysis

This is a new indicator to measure the impact of recently established air quality management programming. Most of this funding is being deployed beginning in FY 2019, and targets have been edited to reflect the expected large increases in countries with results from U.S. air quality engagement once the new programs are implemented. The target for FY 2018 was ambitious, given that very little funding was available for this work.

This year, Department of State funding in Nepal supported a new smartphone app to make real-time, high-quality air quality data from the U.S. Embassy air quality monitor more accessible to the public. The app educates individuals about the risks of air pollution and allows them to take steps to protect themselves on high pollution days. The Department also supported a regional air quality network, based in Nepal, which built capacity in the region to effectively monitor air pollution.

Indicator Methodology

Priority countries for air quality engagement are identified based on pollution levels in their cities in the WHO's database of annual concentration data, as well as other criteria such as population density, economic development, bilateral relationships, existing regional initiatives, and export potential for U.S. pollution control technologies.

Indications of positive engagement on air pollution include, but are not limited to:

- Increased availability of reliable data through more monitoring networks reporting real-time data with transparent methods
- Deployment of studies to test monitoring and mitigation technology in high pollution areas and to identify pollution sources
- Expanded availability of health messaging for the public on what air quality levels mean and how to reduce exposure to air pollution
- New air quality laws, regulations, or policies, or strengthened enforcement of existing laws and regulations

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- Reduced annual particulate matter concentrations from modeled or actual data between initial engagement and 2025 (particulate matter is an air pollutant that is particularly damaging to human health)

This indicator measures positive engagement with countries on air quality, with an ultimate goal of enhancing the availability, reliability, and relevance of air quality data worldwide, and addressing poor air quality through laws, regulations, and other programs.

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Strategic Objective 2.3: Advance U.S. economic security by ensuring energy security, combating corruption, and promoting market-oriented economic and governance reforms

Strategies for Achieving the Objective/Strategic Objective Progress Update

To advance the President's National Security Strategy and the America First Energy Plan, the Department promotes energy security for the United States, our partners, and allies by promoting diverse global energy supplies from all energy sources. The Department works to defeat the Islamic State of Iraq and Syria (ISIS) and other transnational terrorist organizations by preventing the groups' ability to exploit energy resources they control. The Department works to open markets and remove barriers to energy trade and development while promoting U.S. energy exports globally, including U.S. liquefied natural gas (LNG). The Department and USAID coordinate with governments and companies to pursue energy-diversification and increase access to affordable and reliable energy (particularly to electric power) and to develop efficient and sustainable energy policies abroad through technical assistance and public-private partnerships. State and USAID work through the global Extractive Industries Transparency Initiative to promote transparency abroad, improve energy resource governance, and reduce corruption. The Department leads U.S. participation in bilateral and multilateral energy task forces that recommend solutions to energy problems affecting our partners around the world. The agencies work through bilateral and multilateral engagement and regional initiatives, such as Power Africa and Connecting the Americas 2022 to expand electrical interconnections.

The Department uses targeted energy sanctions and other actions to deprive rogue nations and terrorists access to capital derived from the sale of natural resources (e.g., the Democratic People's Republic of Korea (DPRK)). The Department uses energy sanctions as a tool when necessary to discourage other nations from engaging in behavior outside of existing treaties, agreements, and international norms.

The Department and USAID work with partner countries to promote a culture of integrity to prevent corruption before it starts and to strengthen detection and enforcement efforts. State and USAID work with partners to develop and implement international standards and political commitments to combat corruption, including the bribery of foreign officials, based on the Organization for Economic Cooperation and Development (OECD) Anti-Bribery Convention, and relevant regional conventions. The Department's comprehensive anti-corruption programs build the capacity of foreign law enforcement to combat corruption, including kleptocracy, and strengthen implementation of international standards. The Department and USAID work bilaterally and multilaterally to strengthen the capacity of foreign governments to investigate, prosecute, and adjudicate public and private sector corruption. For example, the Department is providing technical assistance, mentorship, and skills training to investigators and prosecutors in countries across the globe who are working on high profile, transnational cases, from Odebrecht

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in Latin America to the 1Malaysia Development Berhad scandal (1MDB) in Asia. This develops stronger partners for U.S. law enforcement to address the transnational nature of these crimes.

State and USAID provides a comprehensive range of assistance to help countries in developing and sustaining an array of governmental reforms that contribute to preventing and fighting corruption – from legislative reforms to establishing codes of conduct, effective anti-corruption institutions, and vetted law enforcement units. The Department and USAID support civil society and independent journalists to expose corruption and to hold the corrupt accountable through programs, such as the Global Anti-Corruption Consortium. In some cases, these efforts have led local authorities to open their own corruption and money laundering investigations. State and USAID will seek to expand programs to translate commitment to action and to build nuanced skills to investigate and manage complex corruption cases.

The Department and USAID promote a wide array of policy and legislative reforms to remove barriers to doing business, encourage transparency, promote fiscal responsibility, and protect investor and intellectual property rights. Two important vehicles for convening partners are the Group of Seven (G7) and Group of Twenty (G20) summits, which bring together member countries to lead by example in promoting government integrity, transparency, and accountability. For example, in 2018, the G20 adopted a new Anticorruption Action Plan, which will guide priorities of the group for the next three years. The Department also leads U.S. participation in relevant multilateral anti-corruption bodies, such as the UN Convention Against Corruption, the OECD Working Group on Bribery, and several regional bodies. Participation in these bodies promotes U.S. best practices and holds governments accountable to their international commitments through rigorous peer review processes.

The Department and USAID programs support partner countries through assistance to improve economic governance in public finances legal frameworks, which is required to attract investment to such countries. In the interagency, USAID plays a central role in advancing domestic resource-mobilization in partner countries and in implementing programs that foster more open, transparent, and robust public finance systems and business-enabling environments around the globe. To promote fiscal transparency, the Department/USAID Fiscal Transparency Innovation Fund (FTIF) builds the technical capacity of governments to make their budgets and spending transparent and the capacity of civil society to press for information on, analyze, and monitor government finances.

Performance Goal 2.3.1: Increased Energy Exports, Security, and Access

Performance Goal Statement: By 2022, promote an increase in U.S. energy exports and achieve for the United States, its allies, and partners increased energy security and access to diversified, affordable, and reliable energy sources. (State and USAID)

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Performance Goal Overview/Progress Update

America's prosperity, which underwrites our national security, depends on maintaining reliable access to affordable energy for the United States, our allies, and well-governed trading partners. Maintaining market access for the increasingly dominant U.S. energy products and technology and ensuring sustainable, transparent, and predictable international energy markets for our partners and ourselves is crucial to our security. Lack of access to energy creates conditions for political instability, migration, and the proliferation of extremist organizations. Non-competitive behavior, such as monopolies, sole suppliers, and cartels that use energy as a political and economic weapon threaten global energy security. These are threats not only to the economic and national security of U.S. allies and partners, but also to the United States itself.

The Department and USAID programming strives to promote energy security for the United States, our partners, and allies by fostering diverse global energy supplies from all energy sources. State works to open markets and remove barriers to energy trade and development while promoting U.S. energy exports globally, including U.S. LNG. The Department and USAID coordinate with governments and companies to pursue energy diversification and universal access to affordable and reliable energy (particularly to electric power) and to develop efficient and sustainable energy policies abroad by promoting a level playing field for U.S. companies to compete and enhancing transparency, leveraging technical assistance and public-private partnerships. This includes distributed energy at the household level to improve energy access for rural and underserved communities. The Department and USAID energy programs partner with host country governments and institutions to rebuild and expand critical energy infrastructure and promote energy sector reform, energy efficiency, and private investment. U.S. assistance also offers technical expertise in the areas of generation, transmission, distribution, and in improving the ability of electric utilities to recover costs and operate efficiently. U.S. assistance on energy issues portfolio fosters economic development to reduce migration, counters foreign dependence, promotes cooperation and stability, and accelerates reconstruction in post-conflict and post-disaster settings.

Key Indicator: Number of beneficiaries with improved energy services due to State and USAID assistance

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|-----------|------------|-----------|-----------|-----------|-----------|
| Target | N/A | N/A | N/A | 8,689,284 | 2,929,988 | 2,870,391 |
| Actual | 4,694,294 | 11,189,631 | 9,210,497 | 9,500,500 | | |

Indicator Analysis

This indicator measures progress towards energy access increased. It helps track overall progress on power system capacity in megawatts (MW) added to the economy and

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demonstrates the number of people with improved energy services, due to USAID and State assistance. The number of beneficiaries reflects the increased availability of energy, which is critical to sustained economic growth and improved social development.

Forecasting the number of beneficiaries is difficult due to security concerns in high security threat countries and unpredictable weather conditions, resulting in common construction delays on large-scale projects. Projections are also difficult due to the nature of the credit markets and economic conditions that foster greater access to electricity. Projected beneficiaries are based on internal mission analysis of current infrastructure construction progress and market conditions.

Activities have exceeded their targeted number beneficiaries with improved energy services in FY 2018.

- Afghanistan - The Arghandi-Ghazni transmission line and substations were completed and energized on October 26, 2017. There were increased connections because of the unexpected early energizing of the transmission line. The utility, Da Afghanistan Breshna Sherkat (DABS), confirms that security concerns and procurement delays determined the target. However, when the transmission line and substations were energized, demand for electricity surpassed the target. DABS increased the number of connections to meet this unexpected demand. (FY 2018 Target 63,244; Actual 95,552)
- India - Energy Access India, focused on clean energy entrepreneurs serving Bottom of Pyramid (BoP) populations in Indian states with the greatest energy access challenges. Preference was given to entrepreneurs with demonstrated operational success, impact, and the ability to scale quickly, when matched with the appropriate mentorship support and financing. Success over the life of the project was measured via the growth of the portfolio enterprises, as demonstrated by more than 2.5 million individuals with improved access to clean energy. FY 2018 is the final year of operation for the activity, thus the indicator will be dropped in FY 2019. (FY 2018 Target 1,000,000; Actual 2,509,633)
- Indonesia - Several projects from USAID's Indonesia Clean Energy Development II (ICED II) project pipeline experienced delays in achieving full commercial operation stage, resulting in a reduced number of beneficiaries with improved access to modern energy services. Delays resulted from cost-based construction delays, changes in project schedule due to weather conditions, delays in achieving commissioning and in obtaining the required operation certificate from the Ministry of Energy & Mineral Resources. The FY 2018 result missed the initial target due to transaction delays experienced by several USAID-supported renewable energy projects. For the next FY, USAID established a higher target as many of the priority projects expected to finish in 2018 are now forecasted to reach commercial operation in 2019. The FY 2020 target is significantly lower than the FY 2019 target given that USAID's ICED II project is scheduled to close in May 2020. (FY 2018 Target 1,500,000; Actual 663,626)

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- Nigeria - The Renewable Energy and Energy Efficiency Project (REEEP) activity substantially over-achieved on this indicator, reaching 33 percent more individuals than originally planned in FY 2018 (39,812 in total). To a large extent, this success was due to better than expected liquidity in the foreign exchange market. This liquidity allowed importers of self-financed renewable energy and energy efficient equipment to import a larger amount than was originally planned. Nearly 40,000 people gained improved energy access through the distribution of energy efficient cook stoves, at a decreased cost per usage, compared to existing stoves. FY 2018 is the final year of operation for the activity, thus the indicator will be dropped in FY 2019. An evaluation of the REEEP activity highlighted various lessons learned and innovative ways to reach more beneficiaries. (FY 2018 Target 30,000; Actual 39,812)
- Pakistan - The FY 2018, results from USAID/Pakistan are from 476 megawatts added through the Jhimpir transmission line project. In FY 2019 and FY 2020 hydro generation and transmission activities will be completed, contributing to out-year targets. (FY 2018 Target 6,079,050; Actual 6,099,762)
- E3 - In FY 2018, the E3 Cooperative Development Program supported the Economic Growth Mission Objective through developing, testing, and disseminating successful approaches to solving key cooperative enterprise challenges, including through providing 6,660 beneficiaries with improved energy services. Haiti's Cooperative Electrique de l'Arrondissement des Côteaux (CEAC) connected members using a multiplier of five to estimate the average household size in Haiti. This represents the number of people with new energy access (assumed to be mainly off grid) as a result of Private Financing Advisory Network (PFAN) activities. The actual FY 2018 result is significantly higher than the target, due to efficient light-emitting diode (LED) lightbulb distribution in Mozambique. (FY 2018 Target 92,115; Actual 92,115)

Indicator Methodology

This indicator measures the number of people who benefit from improved energy services because of State and USAID assistance. Illustrative examples of improved energy services include new electricity connections, improved cook stoves, increased number of hours of electricity service, and reduced outages and voltage fluctuations. The main limitation of this indicator is the ability of implementing partners to accurately estimate the number of beneficiaries of energy services for public facilities (schools, health clinics, etc.). State and USAID contractors and grantees must count this indicator on an annual basis. Each implementing partner must document the infrastructure or service supported with funding from the Department of State and USAID and method to estimate the number of the beneficiaries. OUs may extrapolate this indicator from the average number of persons per household, which will vary by country, and may count beneficiaries each time they receive an improved energy service. Data quality for this indicator relies on documentation from third parties.

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Key Indicator: Value of U.S. exports of 1) energy resources, 2) energy sector services, and 3) energy technologies, including future contracted sales that are supported by State and USAID efforts

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|-----------------|-----------------|-------------|-------------|
| Target | N/A | N/A | N/A | \$5 billion | \$7 billion | \$8 billion |
| Actual | N/A | N/A | \$3.374 billion | \$5.175 billion | | |

Indicator Analysis

Exports in FY 2018 include energy resources (including commodities), energy sector services and technologies (including other energy goods). A U.S. wood pellets exporter concluded a contract worth hundreds of millions after the Bureau of Energy Resources (ENR) led a trade mission to Japan and followed up in bilateral dialogues. In addition, the Department's energy export results include more than \$90 million in LNG to countries that developed import infrastructure after significant U.S. diplomatic engagement in support of the infrastructure and nearly \$1.5 billion to Asian countries with sustained embassy support of U.S. LNG exports. Energy service and technology exports include more than \$1.5 billion to develop, construct, and operate an oil refinery in Uganda. Extensive Embassy Kampala advocacy along with interagency efforts helped explain the value proposition and familiarize the government of Uganda with equity-based project financing used to fund the project. Department efforts also led to nearly \$200 million in U.S. oilfield equipment exports to the Middle East.

Exports exceeded the FY 2018 target due to Department efforts to increase U.S. LNG exports, as well as significant advocacy on behalf of U.S. companies in other energy areas. As additional U.S. LNG export facilities are established, State expects LNG exports to grow substantially to countries where State diplomatic efforts have played a substantive role in the development of LNG import facilities.

Indicator Methodology

The Department will inventory U.S. energy exports resulting from State and USAID efforts, including exports of pipeline gas and LNG, energy sector services, and energy technologies (including energy equipment). Energy resource exports focus on but are not restricted to natural gas exports. Energy sector services and energy technologies include all energy sectors such as oil and gas, coal, nuclear, renewables, and energy storage. Support from the Department and USAID involves substantive involvement in the export result. This includes, for example, advocating on behalf of U.S. companies, introductions of U.S. exporters to foreign importers, diplomatic efforts, and facilitating investment projects leading to U.S. exports.

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Key Indicator: Amount of investment mobilized (in USD) for energy projects (including clean energy) as supported by USG assistance

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|-----------------|-----------------|-----------------|-----------------|-----------------|---------------|
| Target | N/A | N/A | N/A | \$7,613,218,763 | \$5,749,918,073 | \$883,076,890 |
| Actual | \$9,793,480,831 | \$9,175,299,861 | \$7,634,319,593 | \$5,999,249,920 | | |

Indicator Analysis

In FY 2018, 20 State and USAID OUs reported on this indicator. Of these, nine leveraged over \$100 million each. The largest result was reported in Mexico (\$2.65 billion) as a result of a renewable energy auction and other supported transactions, primarily in wind and solar photovoltaic power generation. Actual results in FY 2018 were lower than expected due to the early closure of the PFAN-Asia, a reduction in clean energy activities in Mexico, and discounted projected success rates of activities funded by USAID's Clean Energy Finance Facility for Central America and the Caribbean (CEFF-CCA). Out-year targets are lower than FY 2018 results due to the closure or completion of existing awards. Only 13 OUs have set targets in FY 2020, a 35 percent reduction from FY 2018.

In Indonesia (\$806 million), USAID's ICED II conducted several studies on engineering cost estimation and system impact study for wind and solar photovoltaic, including a \$121 million commercial scale wind farm in South Sulawesi. In addition, in FY 2016, ICED II supported the State Electricity Company's (PLN) technical review of a large geothermal project in South Sumatra following the Guidelines for Geothermal price renegotiation that USAID developed for PLN. This project reached price re-negotiation agreement with PLN and financial closure in FY 2018 with total investment of \$540 million. However, Indonesia's regulatory environment and tariff regime for clean energy continue to inhibit investment into the sector.

In Pakistan (\$802 million), USAID works with stakeholders to leverage increased levels of outside investment while providing technical assistance and improving energy sector governance. In FY 2018, this resulted in 476 megawatts added through the Jhimpir transmission line activity, of which 250 utilize General Electric turbines at five 50-megawatt private power installations.

In USAID's E3 Bureau (\$747 million), five E3 mechanisms are working on attracting investment for clean energy. The C40 Cities Finance Facility helped Bangalore, Mexico City and Bogota secure financing for large green infrastructure projects, totaling over \$400 million. In FY 2018, the United Nations Industrial Development Organization (UNIDO) PFAN continued to provide coaching and business/technical guidance to individual project developers of small to medium

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size clean energy projects, who secured \$191 million of private sector investment. The Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) Climate Finance Readiness activity also helped beneficiaries secure \$140 million, including \$122 million in Vietnam as a result of various meetings and discussions with sugar companies, local authorities and the Vietnam Sugarcane and Sugar Association (VSSA) which helped to increase awareness, strengthen determination and facilitate the investment procedures; this eventually led to the installation of three bagasse based combined heat and power projects.

USAID activities in India (\$118 million) exceeded their FY 2018 target. The Partnership to Advance Clean Energy Deployment (PACE-D) program reported \$61 million of investment through the Karnataka and Rajasthan Solar Rooftop programs. The Energy Access Investment Readiness program provided acceleration services and investment facilitation support to a portfolio of 30 social enterprises for commercially viable, scalable access to energy resulting in \$40 million of investment. The Market Integration and Transformation Program, Energy Efficiency Services Limited, mobilized energy efficiency equipment worth \$17 million through energy efficiency retrofits in 12,000 buildings in 2017-2018.

Indicator Methodology

This indicator includes mobilized finance (domestic and international) for energy projects (including clean energy) through a variety of instruments and vehicles, including common funding instruments, parallel investments, or in-kind support. This indicator also includes investments made possible by policy and technical-assistance interventions, such as market assessments; financier credit-product development; the incubation and preparation of projects, market-commercialization improvements, such as grid code and access laws; transparent and fair permitting and approvals; competitive procurement platforms (e.g., reverse auctions); and regulatory-policy support for the creation or implementation of tariffs.

Key Indicator: Energy generation capacity (MW) supported by U.S. Government assistance that has achieved financial closure

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 13,812 | 8,325 | 3,568 |
| Actual | 1,079 | 3,642 | 5,094 | 7,895 | | |

Indicator Analysis

In FY 2018, 13 OUs reported on this indicator, with seven OUs reporting over 100 megawatts (MW) each. There was a significant difference, both positive and negative, between the target and actual values for most OUs, which reflects the uncertain nature of large power transactions due to the complex nature of regulatory approvals and funding decisions involving multiple

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stakeholders. USAID and State provide ongoing support to developers and financiers to address any obstacles and achieve successful outcomes.

The Power Africa Transaction and Reform Program (2,346 MW) has been successful in moving the partnership's objectives forward. Power Africa leveraged support from its implementing mechanisms to address long standing legal and financial issues preventing the financial close of 27 projects under the South African Department of Energy's Renewable Independent Power Producers Procurement Programme (REIPPPP). As a result of Power Africa's legal and technical assistance, 24 REIPPPP projects were able to reach financial close in FY 2018, exceeding Power Africa's projected generation capacity target. When the targets were set, providing this support was not anticipated. The USAID Southern Africa Regional OU (2,138 MW) was also able to facilitate significant results.

The West Bank and Gaza (230 MW) OU missed their target of 9,280 MW as a result of the cancellation of the main activities, comprising over 80 percent of the annual target, in the final stages of negotiation. Additionally the Memorandum of Understanding (MOU) for two planned renewable energy projects were signed, but implementation has been postponed to FY 2019. Implementation delays were caused by unexpected technical issues that required in-depth assessment, constant coordination with project stakeholders and approvals by related authorities, which extended the time frame for project planning and design. However, the Palestinian Energy Project (PEP) is still moving forward to accomplish the agreed-upon projects. PEP had already signed MOUs with the Qabatia Municipality for the Qabatia Market Solar Project, and with Al Yamoun Company for Al Yamoun Solar Project, and is expected to start the implementation phase in the upcoming quarters.

In Nepal, the failure to achieve financial closure for Arun 3 and Upper Trishuli 1 was due to external factors that were outside of the activity's control, resulting in a negative deviation of 1,116 MW. These included delays in issuance of the Government of Nepal's policy related to forest clearance requirements, delays in the Government of India's issuance of policies for implementing key elements of the bilateral Power Trade Agreement, and continued uncertainty surrounding the Nepal regulatory environment. Clean energy generation capacity can be counted only after Arun 3, Upper Karnali and Upper Trishuli-1 achieve financial closure.

Indicator Methodology

"Energy-generation" is power-generation, primarily electric power but also heat, measured in MW. For combined heat and power plants, OUs will count the maximum capacity for the plant as a whole. U.S. Government assistance is deemed to be activities funded or enabled by U.S. Government foreign assistance. This indicator represents the total planned capacity of the system, not the actual amount of electricity generated (MW hour). "Financial closure" is when all relevant parties sign the contract or agreement to build or install a system or to provide access to new energy solutions.

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Key Indicator: Number of energy sector laws, policies, regulations, or standards formally proposed, adopted, or implemented as supported by U.S. Government assistance

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 167 | 213 | 161 |
| Actual | 278 | 474 | 427 | 235 | | |

Indicator Analysis

In FY 2018, 21 OUs reported on this indicator, with seven OUs achieving results of 10 or more. In FY 2018, State and USAID exceeded their target, reflecting strong global interest in U.S. expertise in building enabling economic environments for clean and advanced energy and improved regulatory frameworks for energy development.

State's Bureau of Oceans and International Environmental and Scientific Affairs (OES) (46) exceeded its target of 14. OES-supported activities under the Global Lab for Climate Finance helped fast-track investors and developing country recipients to attract private investment for climate change mitigation and adaptation programs. OES funds supported technical assistance and analytical development of financing instruments, six of which were adopted in 2018 and will contribute to low-emissions development and clean energy deployment. The target for FY 2019 and beyond is reduced due to the ending of the Global Climate Change Initiative and lack of FY 2018 appropriations for clean energy programming.

During the reporting period, Kenya's (26) Low Emission Climate Resilient Development (LECRD) activity maintained its performance trend on clean energy, with a slightly higher number of standards and regulations. Several new regulations under the Climate Change Act (CCA) have been proposed, minimum energy standards have been established, and several provisions of the CCA have been implemented, particularly related to setting up the institutional structures for implementation of the CCA.

ENR exceeded its target of 20 with 33 energy sector laws, policies, regulations, or standards formally proposed, adopted, or implemented in assistance countries. ENR assistance in FY 2018 supported energy legal, regulatory, and policy development to improve good governance in key regions and countries. ENR assistance in Central America and South America strengthened regional integration in electric power grids. In Central America, ENR supported power sector regulatory reform in Honduras; power system optimization and energy storage in Costa Rica; and market reform in Panama. ENR assistance in South America helped develop frameworks to increase private investment and develop strong domestic power sectors in Argentina, Chile, and Peru, contributing to the development of regional interconnections and wholesale power markets. Similarly, ENR supported Mexico's implementation of 2014 reforms intended to increase energy sector investment.

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Power Africa-funded assistance by ENR to Nigeria advanced market reforms in the gas-to-power sector and key actions to increase competition, adopt appropriate domestic supply obligations, and create an independent regulator to commercialize additional gas volumes, attract investment in midstream infrastructure, and secure a steady supply of gas for power generation.

In Albania, ENR helped improve hydrocarbon sector governance, thereby strengthening European energy security. ENR assistance in India helped to create opportunities for exports of U.S. advanced energy technologies and services.

USAID Africa Regional (19) exceeded its target of eight. As a result of the Power Africa 2.0 approach, implementing partners have increased their focus on improving the enabling environment within the energy sector to include policy reforms. This shift significantly increased the number of policy reforms adopted and implemented in FY 2018. Out-year targets have been adjusted to reflect the anticipated impact of Power Africa 2.0 priorities.

In Georgia (17), USAID worked intensively with the Georgian National Energy and Water Regulatory Commission and the Ministry of Economy and Sustainable Development on developing and proposing draft secondary laws and regulations for creating a more transparent and competitive energy market that is conducive to attracting investments in clean energy. In addition, USAID supported the Government of Georgia with the development of amendments to the primary law on electricity and gas, and electricity market rules to address clean energy issues in compliance with European Union directives. Also, USAID helped revise net metering policies and technical requirements in order to spur the adoption of solar energy technologies throughout the country.

In Kazakhstan (17), during the first year of program implementation, Power the Future (PtF) conducted a rapid analysis of the existing legal regulatory system in Kazakhstan and identified a number of urgent actions to improve existing regulations pertaining to renewable energy. The program hired an international audit firm with local subcontractors to issue recommendations on improving financial regulations to support international investment in the renewable energy sector. In FY 2018, results significantly exceeded target indicators. The PtF project has generated a high level of interest in Kazakhstan and for the entire region which far exceeds USAID's expectations at the time FY 2018 targets were developed. USAID's efforts also generated extensive assistance that led to changes to policies and regulations relevant to grid integration, renewable energy auctions, and foreign investment in the energy sector. Such results are indicative of the demand for the high quality of assistance provided by USAID.

Indicator Methodology

Data for this indicator are collected annually through the PPR. Legal, regulatory, and policy reform and new industry standards that improve sector governance include measures that, for example, protect consumer interests, enhance transparency, attract private-sector investment,

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and stimulate more efficient and competitive markets. OUs may count each measure once as proposed, once as adopted, and once as implemented, if applicable, within the same reporting period, or across multiple reporting periods.

Key Indicator: Number of countries that improved their energy infrastructure to reduce their vulnerability to a dominant gas supplier or to reduce dependence on an oil subsidy scheme, or reduced their oil imports supplied through foreign subsidy schemes supported by State and USAID efforts (from a 2016 baseline)

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 2 | 4 | 6 |
| Actual | N/A | N/A | N/A | 1 | | |

Indicator Analysis

State diplomatic engagement efforts played a role in four countries expanding gas import infrastructure in Europe and the Caribbean basin including LNG import terminals such as the LNG import facility and gas-fired power plant that opened in Panama in June 2018. Increased LNG import infrastructure has given these countries additional options for gas supply, supporting competition and energy security. In the case of Panama, it also gave the country the ability to substitute higher priced oil and diesel-fired power with its first gas-fired power plant.

The results for FY 2018 are below the target due to the five countries increasing their imports of oil through foreign subsidy schemes outweighing the two countries that decreased their imports of oil through foreign subsidy schemes. State anticipates that the FY 2019 numbers, which will include 2018 calendar year oil import data (see methodological note below), will reverse this for many Petrocaribe countries, as Venezuelan oil imports have fallen to a trickle under that program and State will exceed the target for FY 2019.

Indicator Methodology

State modified the 2016 baseline for this indicator to reflect that infrastructure can be calculated more easily on an FY basis, while oil import data is typically reported on a calendar year basis. Therefore the existing energy infrastructure for European, Central American, and Caribbean countries are reported as a comparison in FY 2018 compared to FY 2016, and the oil imports data for FY 2018 is 2017 calendar year data as compared to 2016 calendar year data.

“Dominant supplier” is defined as a single foreign country (not the United States) that supplies, through non-transparent, state-controlled oil and gas companies, more than 50 percent of a country’s natural-gas imports. Gas suppliers that are private-sector companies or state-controlled companies with transparent corporate governance will not be considered dominant

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suppliers. The focus is on expanding gas-import and internal pipeline infrastructure to improve resilience against foreign suppliers that use dependence upon gas imports as political and economic leverage, such as Russia in Central and Eastern Europe.

“Foreign-subsidy schemes” for oil imports involve the below-market provision of oil and/or oil products by a government or state-owned oil company to a country. As with dominant gas suppliers, the focus is on those that could use such schemes for political and economic leverage with the recipients. One example is Venezuela’s Petrocaribe program, as well as politically driven petroleum sales.

Performance Goal 2.3.2: Prevent and Combat Corruption

Performance Goal Statement: Through 2022, prevent and combat corruption and its role in related criminal activity by strengthening other countries’ commitment and capacity to address it through increased anti-corruption training and anti-corruption measures. (State and USAID)

Performance Goal Overview/Progress Update

Corruption is a worldwide and entrenched phenomenon which undermines democracy, threatens national security, and hinders economic growth. It facilitates criminal activity and funds dangerous transnational criminal organizations, facilitating the illicit trafficking of people, narcotics, and goods that threaten local communities and U.S. citizens. By fueling instability, internal conflict, and violent extremism, corruption threatens geopolitical and national security and stability. Corruption also stifles private investment that could promote economic and job growth and hinders U.S. companies’ ability to compete in the global market place through higher costs, a lack of transparency, and price instability. At the national level, it undermines the rule of law, weakens governments, and erodes public confidence in institutions. Countries with pervasive corruption suffer from higher levels of economic inequality and poverty, substandard healthcare, conflict or other instability, and lower levels of resilience to catastrophe and insecurity. Corruption undermines countries’ development by robbing them of their national wealth and jeopardizing their citizens’ futures. Corruption impedes the delivery of critical public services to underserved populations and perpetuates patronage, ethnic conflict, and state capture. This is an acute challenge which threatens to subvert the rules-based international order upon which U.S. – and indeed global – economic security is predicated.

The Department of State and USAID’s programming strives to prevent corruption before it can take root and address it once it has, by working with partner countries to promote a culture of transparency and accountability, encourage adherence to international anti-corruption standards, and strengthen prevention, detection, and enforcement efforts. State programs aim to build the capacity of foreign law enforcement to combat corruption, increase cross-border cooperation, and strengthen implementation of international standards, and build political will for needed reforms. However, enforcement alone is not sufficient. State programs also work to

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engage and train civil society, including independent media, to expose corruption, to hold corrupt governments or entities accountable, and to identify, advocate for, and implement reforms that will help prevent future corruption. USAID's technical assistance programs help countries prevent and respond to corruption by strengthening partner nations' internal control, oversight, public financial-management systems and judicial institutions; supporting open government, e-governance and similar efforts to make public administration and services less prone to corruption and to empower citizens; partnering with civil society, media, and the private sector in their efforts to hold governments accountable; and bolstering the capacity and commitment of countries to address the underlying drivers, constraints, incentives and behaviors that allow corruption to flourish. State and USAID work with other U.S. Federal entities to apply best practices in our programming, and utilize subject-matter experts to help train and build capacity of criminal justice and anti-corruption authorities. This foreign assistance advances broader State-USAID Joint Strategic Plan objectives by leveling the playing field for U.S. businesses, promoting stability, and reducing threats to U.S. national security and public safety.

Key Indicator: Number of government officials receiving U.S. Government-supported anti-corruption training

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 10,036 | 10,753 | 9,429 |
| Actual | 16,681 | 11,289 | 13,991 | 15,804 | | |

Indicator Analysis

The FY 2018 result and out-year targets reflect reporting from 25 OUs that submitted data through the PPR via the Foreign Assistance Coordination and Tracking System. Out-year targets reflect the ending of existing activities and the transition to new activities that have not yet started, and thus have not set targets yet. The FY 2018 results demonstrated that State and USAID programs continue to strengthen the capacity of public sector officials (including judges, prosecutors, investigators, audit officials, procurement officers, and officials in anti-corruption oversight bodies) to detect, prevent and respond to corruption, as well as to enhance transparency, accountability, and integrity, and engage civil society partners in accountability measures. These activities contribute to achievement of the overall Performance Goal by ensuring that governments have the capacity needed to actively prevent and respond to corruption. Additional training of government officials in anti-corruption-related topics should increase their capacity and commitment to combat and prevent corruption.

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Indicator Methodology

For this indicator, “training” is defined as in-service technical training for civil servants and other public sector employees. “Anti-corruption training for government officials” is defined as the transfer of skills or knowledge intended to prevent, detect and address corruption or leakage in public administration (for example, training in public financial-management, ethics, or investigative skills). The training must follow a documented curriculum with stated learning objectives and/or expected competencies for the trainees.

Key Indicator: Number of people affiliated with non-governmental organizations receiving U.S. Government-supported anti-corruption training

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 13,814 | 12,125 | 11,485 |
| Actual | 7,339 | 4,689 | 15,127 | 15,875 | | |

Indicator Analysis

This data comes from the PPR submitted by USAID OUs via the Foreign Assistance Coordination and Tracking System. The FY 2018 result and out-year targets reflect reporting from 14 OUs. Out-year targets reflect the ending of existing activities and the transition to new activities that have not yet started, and thus have not set targets yet. The FY 2018 results demonstrate that USAID and State programs continue to strengthen the capacity of non-governmental organizations (NGOs) (including civil society and the media) to hold governments to account, provide monitoring of government services, report on corruption, and implement social accountability mechanisms. These activities contribute to achievement of the overall performance goal by ensuring that civil society organizations – including marginalized communities and youth – are able to serve as partners to government in preventing and combatting corruption, and perform a watchdog role in demanding accountability. Additional training of NGO officials in anti-corruption-related topics should increase their capacity to combat and prevent corruption.

Indicator Methodology

For this indicator, “training” is defined as in-service technical training for individuals affiliated with NGOs, including civil society organizations and the media. “Anti-corruption training” is defined as the transfer of skills or knowledge intended to prevent and combat corruption or leakage in public administration (e.g., training in tracking public expenditures or ethics), or to conduct social accountability measures (e.g. citizen oversight). The training must follow a documented curriculum with stated learning objectives and/or expected competencies for the trainees.

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Key Indicator: Number of anti-corruption measures proposed, adopted, or implemented due to USG assistance, to include laws, policies, or procedures

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 125 | 125 | 125 |
| Actual | 126 | 163 | 331 | 704 | | |

Indicator Analysis

This data comes from the performance reports submitted by State Department and USAID OUs through the PPR in the Foreign Assistance Coordination and Tracking System. The FY 2018 result and out-year targets reflect reporting from three OUs. The FY 2018 results demonstrate that Department programs help identify anti-corruption reform needs and specific recommendations for compliance with international standards. These programs also work with partner nations to implement reforms, including legislative reform, establishing codes of conduct, ethics programs, and anti-corruption bodies, and building capacity to enforce legislation. The FY 2018 results also demonstrate that USAID programs continue to support the development of critical anti-corruption measures, including oversight mechanisms for public procurement. These activities contribute to the achievement of the overall performance goal by ensuring that governments and civil society have the systems and tools needed to actively prevent and respond to corruption.

In FY 2018, 84 countries adopted U.S. government-supported anti-corruption measures. Adoption of U.S. government-supported anti-corruption measures enhances the Bureau of International Narcotics and Law Enforcement Affairs (INL)'s efforts to strengthen implementation of international standards and follow-through on recommendations from INL-funded review mechanisms. These review mechanisms are a critical tool in combatting corruption as they identify specific recommendations to improve compliance with international standards, holding governments accountable for their commitments.

Indicator Methodology

The data are calculated by summing the number of "anti-corruption measures", defined as new or altered laws, policy changes, and/or procedures, that a country or countries has/have proposed, adopted, or implemented, at least in part, because of U.S. Government support, as reported by implementers of U.S. foreign assistance. An "anti-corruption measure" is an institutional or cultural change designed to prevent and/or combat (via law enforcement) the use of public power/resources for private gain. A "measure" supported at the national level which is subsequently devolved to a local level (e.g. a web-based portal to oversee government procurement) shall be counted as one single measure. A "measure" developed separately at the

Strategic Goal 2: Renew America's Competitive Advantage for Sustained Economic Growth and Job Creation

sub-national level is counted as a separate measure. This data is collected through regular reporting and semi-annual data calls to implementing partners who report on programming.

These measures can include recommendations implemented as a result of a multilateral review process (e.g., the United Nations Convention against Corruption) or measures implemented because of substantive mentorship and guidance by an anti-corruption advisor or NGO. The data has limits because there is no metric to determine if a measure is strong or weak, and implementers can only report on what they have access to, and judge to be a result, of a U.S. Government-funded activity. OUs that input data should only include measures that result from program activities they have funded. If two or more OUs have supported the same measure, they will need to share information.

Performance Goal 2.3.3: Improve Fiscal Transparency

Performance Goal Statement: By 2022, through assistance to central governments or non-governmental organizations, improve fiscal transparency in at least five countries assessed as not meeting the minimum requirements under the fiscal transparency review process. (State and USAID)

Performance Goal Overview/Progress Update

Improving the fiscal transparency of partner nations is an important aspect of the Department and USAID's overall anti-corruption program. Transparency shines a light on public corruption and makes foreign publics more invested in their governments, which promotes stability and the rule of law. Transparency in fiscal processes also protects American citizens and companies that are operating abroad. Transparent fiscal systems are better able to respond to shocks and weather uncertainty, enabling U.S. partner countries to become more resilient and self-reliant.

The U.S. Government is necessarily limited in its ability to impel statutory reform in other nations, but the Department works through regional and multilateral frameworks to inculcate best practices and encourage action in places where State has limited diplomatic influence. In addition to providing technical assistance and encouraging fiscal reform generally, the Department and USAID provide targeted assistance through the U.S. FTIF to provide extra impetus for needed transparency reforms.

FTIF grants administered to date have helped enhance transparency in the fiscal operations of a number of U.S. partner countries. For instance, in Chad, with the help of the FTIF, the Ministry of Finance created a website enabling citizens to access annual budgets and data on the nation's petroleum contracts. These efforts proved invaluable in educating citizens on how to hold their government accountable for its spending. This increase in the availability of budget documents on the portal has led to the Department's Fiscal Transparency Report determination of "Significant Progress" toward fiscal transparency.

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In the Republic of Congo (Brazzaville), a report published by FTIF recipient, Publish What You Pay, released data showing that oil revenue was not reaching the people and only nine percent of infrastructure projects were functioning. The result of this report was a change in regulations requiring community inclusion in budget planning and oversight.

The table below presents new projects initiated with FTIF grants between FY 2014 and the present. Target setting for new project starts only began with FY 2017 funds.

Key Indicator: Number of target countries with new Fiscal Transparency Innovation Fund projects

| | FY 2014 Baseline | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------------------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 7 | 7 | 7 | 7 |
| Actual | 13 | 10 | 12 | 12 | 15 | | |

Indicator Analysis

FTIF project managers maintain a database of projects supported through the Fund, selected and approved by an interagency panel that consists of subject-matter experts from the Department and USAID. The FY 2018 results list those projects obligated by September 30, 2017 (which correlates to projects funded with FY 2017 funds).

The FY 2020 indicator target is the same as FY 2019, adjusted to reflect a change in the FTIF's strategy. As the FTIF program has matured, project-selection panels have focused more on strategic and sustainable projects, rather than the overall number of projects.

Indicator Methodology

The data for this indicator comes 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.

Strategic Goal 3: Promote American Leadership through Balanced Engagement

Strategic Objective 3.1: Transition nations from assistance recipients to enduring diplomatic, economic, and security partners

Strategies for Achieving the Objective/Strategic Objective Progress Update

The Department and USAID will prioritize programs that assist countries in improving their policies to stimulate economic growth, strengthen their democratic institutions, foster co-investments, share the burden of addressing common challenges, and mobilize domestic resources for self-reliance. The Department and USAID will promote an efficient, effective, and supportive legal and regulatory environment that attracts investment in partner nations through close partnerships with the U.S. interagency and multilateral institutions while supporting each country's self-determined development path.

Strong interagency field missions will develop country-specific strategies that focus available resources to efficiently overcome challenges and capitalize on opportunities in each country. This targeted strategy will enable realistic planning and monitoring of each country's progress toward self-reliance.

In line with American values, State and USAID programs enhance good governance and security, support the rule of law, promote foreign direct investment, combat corruption, and protect private and intellectual property rights. These programs must also improve a country's ability and willingness to mobilize domestic public and private resources as a key element of achieving shared prosperity and greater partnership in global development, diplomacy, and security. The Department and USAID will coordinate media outreach and public communications to explain our assistance, while creating public support for future partnerships.

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Performance Goal 3.1.1: Country-Level Self-Reliance

Performance Goal Statement: By 2022, all USAID Country Development Cooperation Strategies (CDCSs) will address ways to strengthen partner country capacity to further its self-reliance. (USAID)

Performance Goal Overview/Progress Update

USAID's foreign assistance aims to foster inclusive economic growth, reduce poverty, strengthen democratic governance, and enhance peace and security, while helping other countries progress beyond needing U.S. assistance. Foreign assistance helps build a country's self-reliance – its capacity and commitment to plan, resource, and manage its own development. USAID will integrate efforts to build self-reliance into CDCSs to address areas of weakness related to country capacity and commitment as measured by 17 standard metrics and other analyses. To address identified areas of weakness, USAID will prioritize programs that help countries increasingly own, finance, and manage their own development. Illustrative efforts include working with countries to improve their policies to stimulate economic growth, strengthen democratic institutions, and ensure mutual accountability between governments and citizens, partner with the private sector to integrate market-based solutions, and mobilize domestic public and private resources for self-reliance. USAID will work with partner countries and create incentives for them to demonstrate their tangible commitment to achieving self-reliance objectives and to show measurable progress in the sustainability of reforms. USAID will rely upon strong interagency coordination at overseas posts to enable our field missions to tailor collaboration to the specific challenges and opportunities of partner countries. This will allow for realistic planning for, and monitoring of, each country's progress toward self-reliance.

Key Indicator: Percentage of USAID Country Development Cooperation Strategies that include a Development Objective, Intermediate Result, Sub-Intermediate Result, or transition section that addresses ways to strengthen host country capacity to further its self-reliance

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | N/A | 15.87% | 44.44% |
| Actual | N/A | N/A | N/A | 3.17% | | |

Strategic Goal 3: Promote American Leadership through Balanced Engagement

Indicator Analysis

USAID will address areas of weakness affecting each assisted country's ability to achieve self-reliance by integrating a clear approach for strengthening the capacity and commitment for host country self-reliance within every CDCS. This is within the U.S. Government's manageable interest. As this is a new approach currently under development, eight CDCSs (out of 63 total CDCSs) will act as pilots in fiscal year (FY) 2019 (equivalent to a cumulative target of 15.87 percent of all CDCSs). USAID will then roll out this approach to include an additional 28.57 percent of CDCSs (18 CDCSs) in FY 2020, for a cumulative target of 44.44 percent. By the end of calendar year 2020, all USAID CDCSs will address specific ways to strengthen host country capacity and commitment to further self-reliance.

Indicator Methodology

USAID's Bureau of Policy, Planning and Learning (PPL) will track the number of countries with CDCSs that include a Development Objective, Intermediate Result, Sub-Intermediate Result, or transition section that addresses ways to strengthen host country capacity to further self-reliance for each country that receives Economic Support and Development Fund (ESDF) resources. In some cases, this may be a sector-specific aspect of self-reliance, such as education or health. In other cases, it may be a cross-cutting aspect of self-reliance, such as one that builds the country's capacity to mobilize domestic resources through taxes or the growth of the private sector.

Strategic Goal 3: Promote American Leadership through Balanced Engagement

Strategic Objective 3.2: Engage international fora to further American values and foreign policy goals while seeking more equitable burden sharing

Strategies for Achieving the Objective/Strategic Objective Progress Update

While ensuring the integrity of our sovereignty and respecting that of our partners, the Department of State and USAID will lead by example and leverage the potential of the multilateral system to help defuse crises, mitigate destabilizing economic events, deter aggression and extreme ideologies, promote fair and reciprocal trade, enhance economic competitiveness, open markets, and cooperate on migration issues. It is the primary responsibility of sovereign states to help ensure migration is safe, orderly, and legal.

The Department and USAID will support and initiate reforms to make international bodies more efficient, effective, and equitable in mobilizing all Member States to preserve the global commons.

State and USAID must hold others accountable for sharing the financial burden while supporting collective action. Many recipients of U.S. assistance play critical roles as partners in countering transnational terrorist and criminal groups, and as contributors to peace operations. State and USAID will engage with new donors willing to contribute expertise and funds such that our mutual efforts and shared costs align with the Department and USAID's respective comparative advantages.

The Department of State will employ a wide range of public diplomacy tools to underscore U.S. leadership on the global stage, particularly as a host of international organizations. Highlighting U.S. leadership will provide opportunities to demonstrate the utility of these organizations in promoting American interests. The Department and USAID will seek to increase the number and percentage of Americans who serve in international organizations at all levels, including the United Nations (UN) and its technical and specialized agencies, and in the governance of international economic fora.

Performance Goal 3.2.1: Multilateral Engagement

Performance Goal Statement: By 2022, U.S. contributions as a percentage of total funding support for international organizations are reduced below 2017 levels. (State)

Performance Goal Overview/Progress Update

The President's *National Security Strategy* directs the United States to continue to lead and engage in the multilateral arrangements that shape many of the rules that affect American

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interests and values. It recognizes competition for influence in these institutions, and the need for the United States to remain engaged to shape developments consistent with political and security outcomes that are positive for the country. As the United States prioritizes efforts in organizations that serve American interests, the United States will require accountability and emphasize shared responsibility among members. The United States will seek greater burden-sharing across international organizations, with the goal of decreasing the percentage of total funding provided by the U.S.

Key Indicator: United Nations peacekeeping rate of assessment

| | FY 2015 | FY 2016 | FY 2017 Baseline | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------------------|--------------------|---------|---------|
| Target | N/A | N/A | N/A | 28.4% ⁷ | 25% | 25% |
| Actual | 28.4% | 28.6% | 28.5% | 28.4% | | |

Indicator Analysis

The effort to achieve agreement in the General Assembly to a 25 percent ceiling in the UN peacekeeping scale of assessments was unsuccessful. Despite repeated calls for increased burden sharing and less dependence on a single major contributor for such a large proportion of the financing for UN peacekeeping, other UN member states proved unwilling to contribute more than they would under the existing methodology. The U.S. assessment rate will be 27.9 percent for 2019 through 2021.

Indicator Methodology

Data for this indicator will come from a report prepared by the UN secretariat based on establishment of a methodology laid out in a resolution adopted by the United Nations General Assembly. There are no known limitations to the quality of these data, which are based on a rigorous methodology based in economic data collected by the United Nations Statistics Division.

⁷ The scales of assessment are not renegotiable until 2019, so the United States will continue to be assessed at 28.4 percent in FY 2018.

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Strategic Objective 3.3: Increase partnerships with the private sector and civil-society organizations to mobilize support and resources and shape foreign public opinion

Strategies for Achieving the Objective/Strategic Objective Progress Update

The Department and USAID will engage civil society and non-governmental organizations (NGOs), along with the private sector, to maximize their ability to effect positive change, including protecting ethnic and religious minorities and other marginalized populations, promoting religious and ethnic tolerance, and providing emergency assistance to human-rights defenders and survivors of abuse.

The Department and USAID will develop training focused on collaboration with non-governmental entities. Developing sustainable and effective partnerships outside the public sector requires unique skills and tools distinct from those used in government-to-government diplomacy. Successful communication with civil society and foreign publics requires mutual understanding and trust. State and USAID must develop and train their workforce to deploy people-to-people and communication programs effectively to generate the strong support and robust local participation necessary to solidify partnerships that produce maximum impact.

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Performance Goal 3.3.1: Increased Collaboration

Performance Goal Statement: By 2022, increase partnerships with the private and public sectors in order to promote shared goals, leverage resources, and utilize expertise for more sustainable results. (State and USAID)

Performance Goal Overview/Progress Update

Partnerships play a crucial role in advancing America's core national-security, economic, and foreign-policy interests. In 1969, 70 percent of U.S. capital flows to the developing world were attributable to official development assistance. By 2010, the private sector, including for-profit and non-profit entities, grew to account for 91 percent of U.S. capital flows to developing countries, including U.S. direct investment and remittances. The dramatically increased role of the private sector is a paradigm shift that requires the U.S. Government to reimagine how it conducts foreign policy.

The Department's Office of Global Partnership and several operating units (OUs) within USAID supporting private sector engagement cultivate the increasingly critical role the private and NGO sectors play in shaping sustainable economic development, strengthening diplomatic connections, and nurturing social development. By working together jointly to identify, define, and solve key business and development challenges, the Department, USAID, NGOs, and the private sector build mutually beneficial partnerships that leverage their respective expertise, assets, technologies, networks, and resources to achieve greater impact in diplomatic engagement, civil-society development, and people-to-people exchanges.

Key Indicator: Amount of resource commitments by non-U.S. Government public and private entities in support of U.S. foreign policy goals

| | FY 2015 Baseline | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------------------|------------------|----------------|------------------------------|----------------|-------------|
| Target | N/A | N/A | N/A | \$28.9 billion | \$28.9 billion | \$9 billion |
| Actual | \$7.131 billion | \$28.416 billion | \$25.3 billion | \$0.005 billion ⁸ | | |

⁸ FY 2018 Actual only includes data from State. USAID will add FY 2018 data during the next reporting cycle.

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Indicator Analysis

For purposes of this reporting cycle, USAID is contributing data for FY 2017 and plans to report FY 2018 data during the next reporting cycle. State and USAID, respectively, conduct an annual data collection process on the total amount of external resources leveraged by the Department and the Agency through public-private partnerships for a given fiscal year. Data collection for FY 2017 marked the first year USAID collected this data via a new module. As a result of this transition to a new data collection system and associated delays and system errors expected with the deployment of a new module, USAID was unable to report FY 2017 data last year, and is doing so now.

While the level of external resources leveraged remains strong, resource leverage for FY 2017 represents a decline from FY 2016. Similar to the time lag in reporting this data, a significant factor in the decline of reported external leverage is the transition to the new reporting platform. There were identifiable gaps in data reported in FY 2017. For example, in the full set of USAID public-private partnerships data reported for FY 2017, 85 reported partnerships did not contain any of the associated resource contribution data that would be expected. Additionally, across the FY 2017 dataset, 234 individual resource partners reported in the system did not contain expected data on associated resource contributions. While significant data cleaning and validation is conducted following the data collection period and will continue during future data collection, user compliance is necessary if the data is to be reported in full.

Resource private sector funds leveraged by State declined in FY 2018 to \$5 million from \$201 million in FY 2017. State tracks funds leveraged based on the year a partnership was created, so State's data will likely be revised upward during the next reporting cycle when OUs update past reporting that may not have included tentative funding commitments.

Regarding the FY 2020 target under this indicator, State and USAID are setting the indicator target substantially below FY 2019 levels. A long-standing partnership between USAID and Gavi, the Vaccine Alliance, is expected to end in FY 2019. This partnership expects to leverage nearly \$21 billion, which has significantly increased the total amount of externally leveraged resources reported by the Agency since FY 2016 (the first year the Gavi partnership was reported through the Agency's formal partnerships reporting system). The amount of external resources leveraged through the Gavi partnership is uncharacteristically high for a single partnership. Although it is possible that USAID may enter into a new partnership with Gavi upon the conclusion of our current partnership in 2019 that is not yet certain. For this reason, State and USAID are projecting a significant downward trend in the FY 2020 target that will be set for this indicator.

Regarding ongoing efforts to continue to effectively leverage external resources, USAID continues to pursue numerous lines of effort within the private sector engagement (PSE) project under the Journey to Self-Reliance Transformation Outcome. A notable output of this work was the December 2018 publication of an Agency-wide [Private Sector Engagement Policy](#), a first of

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its kind document that establishes a mandate for USAID staff and partners to integrate market-based approaches and collaborate with the private sector across the full range of development interventions the Agency supports.

Indicator Methodology

The data source for the Department is the Public-Private Partnership (PPP) reporting module in Foreign Assistance Coordinating Tracking System (FACTS). Since 2015, the Department has required domestic offices and overseas posts that seek Department approval for partnerships to provide data on PPPs. This practice, in addition to the new centralized reporting application for the Department and USAID, should contribute to more complete and consistent reporting in the future. State and USAID have moved toward a more formal process of collecting data on externally leveraged resources, which culminated in the launch of a dedicated PPP module in FACTS for FY 2017 and FY 2018. The Department and USAID define a PPP as a collaborative working relationship with external, non-U.S. government partners (e.g., businesses, financial institutions, entrepreneurs, investors, non-profits, universities, philanthropists, and foundations) in which the goals, structure, governance, and roles and responsibilities are mutually determined and decision-making is shared. USAID often reports data on resources mobilized from bilateral and multilateral donors through this data collection process. USAID notes that this indicator focused on resource commitments serves as an indicator of the scale of its partnerships, but may not be correlated to the effectiveness of these efforts to achieve development outcomes. For this reason, USAID expects to establish additional indicators in the coming years to address this gap.

Key Indicator: Number of civil society organizations (CSOs) receiving U.S. Government assistance engaged in advocacy interventions

| | FY 2015 Baseline | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------------------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 5,755 | 6,021 | 4,988 |
| Actual | 17,978 | 5,158 | 7,524 | 7,696 | | |

Indicator Analysis

In FY 2018, 68 bureaus and missions contributed to this indicator, which seeks to support CSOs in successfully advancing and expanding freedom of expression, freedom of association and assembly, and equality for all. Advocacy interventions are essential aspects of democratic policy-making, citizen participation, and oversight of all branches of government. These interventions play an important role in determining social justice, political and civil liberties, and in giving voice to citizens and historically marginalized groups. Of the 68 OUs that report data,

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37 exceeded their targets. Targets for FY 2019 and 2020 are estimates based on current OU activities.

Indicator Methodology

OUs define the data sources for this indicator, and include sources such as partners' advocacy plans, strategies, or materials. FY 2018 Performance Plans and Reports are aggregated from

Department of State and USAID OUs, as collected in FACTS.

OUs verify performance data by using Data-Quality Assessments (DQAs), which must meet five data-quality standards of validity, integrity, precision, reliability, and timeliness. Each OU must document in detail the methodology used for conducting the DQAs. (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 U.S. school communities (K-12 schools, colleges, and universities), businesses, and other private sector organizations in support of USG-funded diplomatic exchange programs

| | FY 2015 Baseline | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------------------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 29,766 | 29,766 | 29,766 |
| Actual | 33,219 | 29,082 | 29,766 | 33,000 | | |

Indicator Analysis

State's Bureau of Educational and Cultural Affairs (ECA) has developed an expanding resource pool of U.S. private sector partners. These partners range from professional individuals who share their specialized skills with foreign exchange participants, to schools and universities hosting educational exchanges, to businesses that host foreign professionals who, in the process, contribute to Americans' international expertise and networks. This rich variety of American private sector in-kind contributions to U.S. Government-funded or managed exchange programs is captured by these representative categories: U.S.-based hosting educational institutions (K-12 and higher education institutions) for Academic Program exchanges; hosting and mentoring U.S. businesses, universities, NGOs and foundations for Citizen Exchanges; U.S. professionals with specialized skills for the International Visitor Leadership Program; and American business or organizational sponsors for the private sector Exchange Visitor Program (J1).

ECA significantly surpassed its target for FY 2018 in building new private sector partnerships. The two percent increase each year over the FY 2016 results allows for budget and program

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fluctuations, but assumes continued high commitment by ECA in seeking out U.S. private sector and civil society partners.

Indicator Methodology

Data for this indicator are drawn from State/ECA's program office administrative records and from the bureau's implementing organizations. The indicator includes representative categories of individual American citizens and American companies, since partnerships that build international networks and business opportunities for Americans are created at both the personal and institutional level.

Key Indicator: Percent of participants reporting ability to apply digital skills learned at TechCamp to their work

| | FY 2015 | FY 2016 Baseline | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|------------------|---------|------------------|---------|---------|
| Target | N/A | N/A | N/A | 90% | 95% | 98% |
| Actual | N/A | 80.79% | 84.58% | 91% ⁹ | | |

Indicator Analysis

On average, 91.91 percent of all survey respondents in FY 2018 indicated that they “strongly agree” (42.60 percent) or “agree” (49.31 percent) they are using the digital skills and knowledge gained through the TechCamp program in their work. This overall percentage is 8.67 percent higher than the FY 2017 average of 84.58 percent. The average survey response rate was 23.03 percent, which is consistent with industry standards and 2017 results. Also, an average of 84.17 percent of all survey respondents indicated that the digital skills and knowledge they gained through the TechCamp program have helped them to be *more effective* in their work.

Indicator Methodology

State continues to survey TechCamp participants approximately 120-180 days after each workshop in order to measure the degree to which alumni have been able to apply the digital skills learned at TechCamp to advance their work around key foreign policy priorities.

⁹ This FY 2018 data is incomplete due to the Federal government shutdown, which halted our ability to collect data from three of the nine IIP-funded TechCamp workshops scheduled to be assessed. This data represents six projects completed in FY 2018, using our standard data processes of surveys going out 120-180 days after each workshop. Due to the shutdown, we were unable to gather data for three workshops completed at the end of FY 2018 and are now, February 2019, in the process of collecting that data.

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Performance Goal 3.3.2: Favorability of Foreign Publics

Performance Goal Statement: By 2022, increase approval of United States Government policies among influential foreign publics. (State)

Performance Goal Overview/Progress Update

Engaging with foreign partners and foreign publics in shared interests and objectives contributes to their favorability toward U.S. Government foreign policy goals. When national decision-making is influenced by public opinion, cultivating and maintaining relationships with significant non-government actors is crucial. Major public diplomacy tools in this effort are the approximately 650 American Spaces supported by State's Bureau of International Information Programs (IIP) and the 100-plus people-to-people exchanges managed by ECA. Substantive engagement that builds from common interests and partnerships is how public diplomacy creates mutual understanding and acceptance of U.S. positions. Both the American Spaces and exchange programs represent major investments of funding, personnel, and staff hours.

Key Indicator: Visitors to exchange program events, U.S. educational advising, cultural offerings, information sessions and professional networking opportunities at American Spaces

| | FY 2015 Baseline | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------------------|-----------------|-----------------|-----------------|--------------|--------------|
| Target | N/A | N/A | N/A | 12.9 million | 70.3 million | 72.5 million |
| Actual | 37.8 million | 40.4 million | 58.9 million | 68.3 million | | |

Indicator Analysis

In January 2016, the Department's Office of American Spaces (OAS) issued revised standards for American Spaces which, combined with an aggressive training program for American Spaces U.S. Government and partner staff, resulted in significant increases in both reporting rates and the numbers of programs being offered in American Spaces beginning in FY 2017. The growth in the number of programs offered, in addition to the unexpected increase in reporting rates, form the basis for OAS's significant upward revision in the targets for FY 2019 and FY 2020. OAS recently launched a Strategic Plan designed to re-align reporting requirements so as to provide a stronger indication of the impact of American Spaces on promoting U.S. foreign policy goals. In the meantime, the clear upward trend in numbers of people visiting American Spaces shows that they are presenting foreign audiences with appealing programming that fosters a positive view of the United States.

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Indicator Methodology

OAS requires regular, timely, accurate, and relevant reporting of statistics from all American Spaces. American Spaces collect data on all of their programs, activities, and visitors, and report data through posts to the OAS. OAS also encourages posts to work closely with American Spaces under their oversight to develop an evaluation culture, with regular customer satisfaction surveys for programs, resources, and staffing. This key indicator reflects all types of programs held in American Spaces, including paid English language classes held at Binational Centers, which were not included in the numbers reported for FY 2017 or the target for FY 2018. That accounts for the difference between the target for FY 2018 and the actual attendance, as OAS continued to count paid English Language classes as programs in FY 2018. The Binational Centers are long-time valued American Spaces partners which are dedicated to reflecting U.S. values and foreign policy priorities in all programs. OAS expects that implementation of its new strategic plan will overcome the data reporting challenges associated with different types of American Spaces.

Key Indicator: Percent of U.S. Government-sponsored foreign exchange program participants who report a more favorable view of the American people

| | FY 2015 Baseline | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------------------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 90% | 90% | 90% |
| Actual | 88.57% | 87.75% | 93.45% | 89% | | |

Indicator Analysis

The data to support this indicator come from a survey administered immediately after an exchange program. Beginning in FY 2003, data for this indicator have been collected routinely by State/ECA every year. Historically, the results have varied slightly, and generally fallen close to the target of 90 percent. There is a demonstrated track record that the majority of participants surveyed from year to year indicate this strategic objective is being met. This year, the result is 89 percent. While this falls just below the target of 90 percent, this is within the small range of fluctuation that ECA has seen in the past. Because ECA collects data for only a subset of its programs, this can result in the slight fluctuations seen as the programs surveyed change every few years. ECA's out-year targets are to meet or exceed a 90 percent favorability rate.

Indicator Methodology

Many ECA program participants complete voluntary pre-, post- and follow-up (approximately nine months to one-year post-program) surveys from ECA's Evaluation Division that collect data on standardized indicators across a small sample of ECA programs. All performance

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measurement surveys are designed by the Division's specialists. ECA performance measurement indicator data are captured through these electronic surveys which are administered through ECA's specialized online performance measurement system. After each survey is conducted, all data received are reviewed for quality, and once cleaned, are analyzed and reported.

Key Indicator: Number of engagements generated by ShareAmerica content delivered to impact targeted narratives

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 Baseline | FY 2019 | FY 2020 |
|--------|---------|---------|---------|-------------------------------|---------|---------|
| Target | N/A | N/A | N/A | Establish baseline engagement | N/A | N/A |
| Actual | N/A | N/A | N/A | 952 engagements per article | | |

Indicator Analysis.

The Department is moving to align its content production more closely with trending social media narratives in target countries on Administration priority issues. Achieving this will require reallocation of internal resources and development of new editorial procedures. Because significant changes to IIP's organization/mission are in the process of being implemented, IIP is unsure of the future of this particular indicator, and are not able to provide out-year targets at this time. While ShareAmerica will continue to operate, the direction and methods of evaluation for the program may be impacted.

A recent content team effort illustrates how this new editorial model can work. More specifically, the team:

- Employed analytics tools to monitor African conversations on the subject of Chinese aid. More specifically IIP sought to determine whether/how Africans drew distinctions between Chinese and American efforts;
- Identified key narratives and even phrases ("Debt-trap Diplomacy") gaining traction in selected English, French, and Portuguese-speaking African nations and audience segments most likely to engage in those narratives;
- Developed content specifically tailored – down to the headline ("How U.S. aid avoids 'debt-trap diplomacy'") – to impact those narratives by contrasting development aid best practices with those that enmesh recipients in debt. IIP did not specifically address Chinese aid, but knew from our research that the target audiences could connect the dots; and

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- Created Facebook and Twitter advertising campaigns (total expenditure: \$1,000 total, or \$8 per day/platform in each country) specifically targeting the audience segments identified during research phase.

Results:

- Digital analytics measure “post momentum” (engagement rate over previous 24 hours) at *76 times* above average;
- 74 percent of respondents clicked-through to read the article;
- Fully 10 percent of respondents shared the article to their own social feeds, shares being the highest level of engagement and clearest indicator of success; and
- Facebook campaign (reach: two million) netted useful benchmarking data, allowing more precise, and inexpensive, future targeting for message reinforcement.

Indicator Methodology

ShareAmerica content is meant to be distributed primarily on social media. IIP will assess whether social media audiences are finding the content engaging and interesting on those platforms. As a proxy for link clicks and for an engagement metric usable for a large set of articles, IIP will look at the total number of social media engagements (retweets, shares, likes, and comments) on Department ShareAmerica social media posts.

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Strategic Objective 3.4: Project American values and leadership by preventing the spread of disease and providing humanitarian relief

Strategies for Achieving the Objective/Strategic Objective Progress Update

The Department and USAID will take the lead on humanitarian assistance globally through policies, multi-sectoral programs, and funding to provide protection and ease suffering. The Department and USAID will work through multilateral systems to build global partnerships and ensure compliance with international norms and standards. Additionally, the Department and USAID will promote best practices in humanitarian response, ensuring that humanitarian principles are supporting broader U.S. foreign policy goals. Collaboration with donors and host countries will help identify solutions to displacement, protect people at risk, promote disaster risk reduction, and foster resilience. The Department and USAID will give particular attention to mitigating gender-based violence (GBV), including sexual exploitation and abuse in emergency contexts. In 2019, the Department will conduct an evaluation focused on the Safe from the Start initiative, an initiative intended to reduce risk of GBV and ensure quality services for survivors through timely and effective humanitarian action.

Through efforts in maternal and child health (MCH), family planning, global health security, malaria, human immunodeficiency virus/acquired immunodeficiency syndrome (HIV/AIDS), tuberculosis, neglected tropical disease, and nutrition, the Department and USAID's health programs will work to to reduce deaths, preempt pandemics and the spread of diseases, and foster prosperity and stability. These programs will concentrate on countries with the highest need, demonstrable commitment, and the potential to leverage resources from the public and private sectors.

State and USAID will provide global leadership, support country-led efforts, and innovate to implement cost-effective and sustainable interventions at scale to prevent the spread of the HIV/AIDS epidemic and mitigate its effects. Working with Health Ministries, partners, and communities, our programs will continue to scale up effective, equitable, locally-adapted, and evidence-based interventions to reach poor, marginalized, and vulnerable people to prevent and treat infectious diseases.

With respect to this Strategic Objective, the performance plan and targets do not reflect changes to USAID's reorganization or State-USAID humanitarian coordination efforts outlined in other budget or reorganization documents.

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Performance Goal 3.4.1 (Agency Priority Goal): Child and Maternal Health

Performance Goal Statement: By September 30, 2019, U.S. global leadership and assistance to prevent child and maternal deaths will annually reduce under-five mortality in 25 maternal and child health U.S. Government-priority countries by an average of 2 deaths per 1,000 live births per year as compared to 2017. (USAID)

Performance Goal Overview/Progress Update

USAID, with its partners in the U.S. Government and the global community, is committed to the goal of preventing 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 by raising child and maternal survival to the top of the international development agenda. Child mortality continues to fall in Preventing Child and Maternal Deaths (PCMD) priority countries with the average under-five mortality rate (U5MR) dropping from 142 deaths per 1,000 live births in 1990 to 55 in 2018. Maternal mortality has similarly declined; despite population increase, the number of maternal deaths in PCMD priority countries declined by nearly half from 1990-2015 (from 402,000 to 209,000).

Through efforts in MCH, malaria, voluntary family planning, and nutrition, USAID's health programs work to reduce deaths, preempt pandemics and the spread of diseases, and foster prosperity, stability, and self-reliance. The programs concentrate on countries with the highest need, demonstrable political commitment, and the potential to leverage internal resources from the public and private sectors. The 25 priority countries for MCH for the USG are Afghanistan, Bangladesh, Burma, the Democratic Republic of the Congo, Ethiopia, Ghana, Haiti, India, Indonesia, Kenya, Liberia, Madagascar, Malawi, Mali, Mozambique, Nepal, Nigeria, Pakistan, Rwanda, Senegal, South Sudan, Tanzania, Uganda, Yemen, and Zambia.

In FY 2018, USAID's Bureau for Global Health (GH) played a critical role in advancing the Agency's goal of preventing child and maternal deaths. By addressing the key drivers of child, newborn, and maternal deaths, GH's efforts demonstrated global leadership, supported innovation and research, and provided critical technical support to USAID missions, with a focus on the 25 USAID PCMD priority countries that account for nearly 70 percent of child deaths worldwide. In 2017, the last year for which data are available, USAID helped 76 million women and children access essential health services. GH's collaboration with mission programs specifically contributed to 9.4 million children vaccinated, 1.5 million newborns receiving care after delivery, 2.8 million women giving birth in a health facility, and nearly 7.5 million treatments for childhood pneumonia and diarrhea. Several challenges are at the forefront of global efforts to prevent child and maternal deaths: inequities in health outcomes; access to health services; and quality of care as a critical and multifaceted health systems issue. In FY 2018, as part of the ongoing efforts around Acting on the Call (AOTC), GH collaborated with the United Nations

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International Children's Emergency Fund (UNICEF) to launch the fifth AOTC report, which assessed where USAID priority countries are in their journey to self-reliance as measured by indices of financial protection and population coverage of high quality health services.

In 2017, two reported indicators were changed to better capture results. The indicator "Annual total percentage of children who received Diphtheria-Tetanus-Pertussis immunization (DPT3) by 12 months of age" was changed to "Absolute change in total percentage of children who received at least three doses of pneumococcal vaccine (PCV3) by 12 months of age series." This change was made because DPT3 coverage had already achieved high levels, while PCV3 is a new vaccine and coverage would be more sensitive to implementation of MCH priority interventions. The indicator "Annual total percentage of births attended by a skilled doctor, nurse, or midwife" was changed to "Absolute change in total percentage of births delivered in a health facility" because the latter is a good proxy of skilled birth attendance, is included in all routine health information systems, and is more likely to be measured consistently across priority countries.

In FY 2018, USAID priority countries experienced a decline in all-cause under-five mortality rate of 2.1 per 1000 live births, higher than the target of 2.0 per 1,000 live births. A child needs to receive three doses of PCV (at various points before his/her first birthday) to be fully protected from pneumococcal infections. USAID almost met its target (an increase of 5.0 percent) for PCV3 vaccine, missing its target value by 3.35 percent for an average global coverage of approximately 40 percent. The absolute change in total percentage of births delivered in a health facility reached 64 percent across USAID priority countries during FY 2018, surpassing the target by 0.05 percent.

Children under five years of age are also one of most vulnerable groups affected by malaria. In FY 2018, USAID's malaria projects continued 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 (ACTs), and intermittent preventive treatment of malaria in pregnancy (IPTp). The President's Malaria Initiative (PMI) includes 24 focus countries in sub-Saharan Africa, and three programs in the Greater Mekong Subregion of Southeast Asia. PMI coordinates its procurement and distribution of ITNs with other major donors including the Global Fund, the World Bank, and UNICEF. Through PMI's efforts, in FY 2018, 126 million people were protected against malaria with insecticide treated bed nets, surpassing the goal by 49 million people.

A major contributor to PCMD is ensuring access to and use of family planning services. Voluntary family planning (FP) is a key intervention to improve MCH. By enabling women and couples to choose and practice healthy timing and spacing of pregnancies and providing family planning contraceptive commodities, family planning can reduce maternal deaths by 30 percent and child deaths by 25 percent annually. In FY 2018, on-time shipments of contraceptive commodities exceeded the target of 80 percent for every quarter, achieving an annual average

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of 91 percent. Overall, for this indicator, USAID met or exceeded its target of 80 percent for every quarter in FY 2018 by an average of 5 percentage points.

USAID also exceeded its target of an increase of one percentage point per year in modern contraceptive prevalence rate (mCPR), achieving an average 1.1 percent increase in mCPR across the USAID-assisted countries from 34.4 percent in 2017 to 35.5 percent in 2018. Increased contraceptive use leads to decreases in unintended pregnancies and abortions, and is an indication that women worldwide are gaining access to potentially life-saving contraception.

In FY 2019, contingent on the availability of funds, GH will continue to strengthen linkages between voluntary FP and MCH programming by: (1) identifying countries where the proportion of women delivering in hospitals is high, but FP provision is low; and (2) helping USAID priority countries scale up integration of FP counseling and voluntary uptake with child immunization visits.

Please refer to www.Performance.gov for more information on this Agency Priority Goal (APG), including the latest quarterly progress update and indicator analysis and methodology.

Key Indicator: Absolute change in all-cause under-five mortality (U5MR)

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | -2 | -1.5 | -2 | -2 | -2 | TBD |
| Actual | -1.7 | -2.2 | -2.3 | -2.1 | | |

Key Indicator: Absolute change in total percentage of children who received at least three doses of pneumococcal vaccine by 12 months of age

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | +0.5 | +0.5 | +0.5 | +5 | +2 | +2 |
| Actual | +1.6 | +1.6 | N/A | +1.65 | | |

Key Indicator: Absolute change in total percentage of births delivered in a health facility

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | N/A | +1 | +1 | +1 | +1 | +1 |
| Actual | N/A | +0.4 | N/A | +1.05 | | |

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Key Indicator: Absolute change in Modern Contraceptive Prevalence Rate (mCPR)

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | +1 | +1 | N/A | +1 | +1 | +1.1 |
| Actual | +1.2 | +1.4 | N/A | +1.1 | | |

Key Indicator: Annual total number of people protected against malaria with insecticide treated nets (ITN)

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|------------|------------|------------|-------------|------------|------------|
| Target | 50 million | 62 million | 72 million | 77 million | 80 million | 85 million |
| Actual | 72 million | 87 million | 59 million | 126 million | | |

Key Indicator: Percent of shipments of contraceptive commodities that are on time¹⁰

| | FY 2018 Q1 | FY 2018 Q2 | FY 2018 Q3 | FY 2018 Q4 | FY 2019 Q1 | FY 2019 Q2 | FY 2019 Q3 | FY 2019 Q4 |
|--------|------------|------------|------------|------------|------------|------------|------------|------------|
| Target | 80% | 80% | 80% | 80% | 80% | 80% | 80% | 80% |
| Actual | 75% | 81% | 84% | 91% | 93% | | | |

Key Indicator: Percent of shipments of contraceptive commodities that are on time and in full

| | FY 2018 Q1 | FY 2018 Q2 | FY 2018 Q3 | FY 2018 Q4 | FY 2019 Q1 | FY 2019 Q2 | FY 2019 Q3 | FY 2019 Q4 |
|--------|------------|------------|------------|------------|------------|------------|------------|------------|
| Target | 80% | 80% | 80% | 80% | 80% | TBD | TBD | TBD |
| Actual | 57% | 74% | 63% | 85% | 71% | | | |

¹⁰ Target(s) for FY 2019 are tentative and will be confirmed at a later date.

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Key Milestones:

| Due Date: FY and Quarter | Milestone | Milestone Status | Progress Update |
|-----------------------------|---|------------------|--|
| FY 2018, Q1 | Approval of 24 Annual Malaria Operational Plans (MOPs) for the 24 priority Presidential Malaria Initiative countries and sub-region | Complete | The Acting U.S. Global Malaria Coordinator formally approved the MOPs during the Interagency Advisory Group meeting on October 25, 2017. (President Trump named Dr. Kenneth Staley as the new Global Malaria Coordinator in April 2018.) |
| FY 2018, Q2 | Execute a data-driven review of country performance results across FY 2017 | Complete | USAID completed an intensive review and analysis of annual performance data collected from over 63 OUs to assess progress in voluntary family planning, maternal and child health, nutrition, infectious-disease threats, malaria, and tuberculosis, as well as global health evaluations. |

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| Due Date: FY and Quarter | Milestone | Milestone Status | Progress Update |
|--------------------------|--|------------------|--|
| FY 2018, Q3 | Release next Acting on the Call Report | Complete | USAID released the report as scheduled on June 18, 2018. The 2018 Acting on the Call report focuses on 25 countries' journey to self-reliance for preventing child and maternal deaths. |
| FY 2018, Q4 | Conduct thorough review of Health Implementation and Operational Plans for 25 U.S. Government maternal and child health priority countries | Complete | In continued effort to ensure data-driven decision-making to sharpen programming, the Agency's annual review of Mission Health Implementation Plans assesses whether Mission and HQ interventions optimally address the key drivers of morbidity and mortality, with clear linkages to evidence-based national or regional strategies. Review also focused on how OUs work with partner governments, organizations and other donors to leverage resources, ensure sustainability, and build country ownership. |

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| Due Date: FY and Quarter | Milestone | Milestone Status | Progress Update |
|--------------------------|--|------------------|-----------------|
| FY 2019, Q1 | Approval of 24 Annual Malaria Operational Plans for the 24 priority Presidential Malaria Initiative countries and sub-region | Planned | N/A |
| FY 2019, Q2 | Execute a data-driven review of country performance results across FY 2018 | Planned | N/A |
| FY 2019, Q3 | Release next Acting on the Call Report | Planned | N/A |
| FY 2019, Q4 | Conduct thorough review of Health Implementation and Operational Plans for 25 U.S. Government maternal and child health priority countries | Planned | N/A |

Performance Goal 3.4.2 (Agency Priority Goal): Reaching HIV/AIDS Epidemic Control

Performance Goal Statement: By September 30, 2019, new infections are fewer than deaths from all causes in HIV-positive patients in up to 13 high-HIV burden countries through leadership by State and implementation by USAID; the U.S. Department of Health and Human Services and its Agencies, including the Centers for Disease Control and Prevention, the Health Resources and Services Administration, and the National Institutes of Health; the Departments of Defense, Labor, and Treasury; and the Peace Corps. (State and USAID)

Performance Goal Overview/Progress Update

The United States, through the U.S. President's Emergency Plan for AIDS Relief (PEPFAR), is the largest bilateral donor to the global response to the global HIV/AIDS pandemic. The Department's Office of the U.S. Global AIDS Coordinator and Health Diplomacy is the headquarters of PEPFAR and leads, coordinates, and funds the U.S. response to global HIV/AIDS through implementation by USAID; the Department of Health and Human Services and its agencies (including the Centers for Disease Control and Prevention, Health Resources

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and Services Administration, and the National Institutes of Health); the Departments of Defense, Treasury, and Labor; and the Peace Corps. Together with host countries, multilateral organizations, faith-based groups, civil society, and other partners, PEPFAR is beginning to demonstrate the ability to control a pandemic for which there is neither a vaccine nor a cure. What once seemed impossible is now possible: controlling and ultimately ending the AIDS pandemic as a public health threat. This course toward epidemic control is only possible with continued aggressive focus, quarterly analysis of performance data, and partner alignment for maximum impact. PEPFAR programming is critical to achieving other USG strategic goals and objectives, including advancing democracy and good governance, improving economic development, empowering women and girls, and strengthening human rights and civil society.

Overall, PEPFAR is investing in more than 50 countries with three concrete goals in mind. The first is to maintain life-saving treatment for those currently in care, while making essential services like testing and linkage to treatment more accessible. The second goal is to provide more services for orphans and vulnerable children — those who are immediately and permanently affected when a parent or caretaker is lost to the disease. The final goal is to accelerate progress toward controlling the pandemic in a subset of 13 countries, which represent the most vulnerable communities to HIV/AIDS and have the potential to achieve control by 2020. We will accomplish this in partnership with, and through attainment of, the UNAIDS 90-90-90 framework — 90 percent of people who are living with HIV know their status, 90 percent of people who know their status are accessing treatment, and 90 percent of people on treatment have suppressed viral loads — and an expansion of HIV prevention.

As of September 30, 2018, PEPFAR is supporting over 14.6 million people on lifesaving antiretroviral treatment (ART), up from with the 50,000 people who were on ART in Africa when PEPFAR began in 2003, and over 1.5 million more than reported at the end of FY 2017. This growth was possible due to increased efforts to identify and initiate people living with HIV onto treatment. In FY 2018, this included approximately 2.7 million adults and children. PEPFAR has also expanded efforts to prevent new infections, including providing voluntary medical male circumcision to 3.7 million men and boys in eastern and southern Africa, offering them critical protection from HIV infection. In addition, a new PEPFAR report released today highlights that, in the past year, new HIV diagnoses among adolescent girls and young women continued to decline in 85 percent of the highest HIV burden communities/districts that are implementing the program's Determined, Resilient, Empowered, AIDS-free, Mentored, and Safe women (DREAMS) public-private partnership. In addition, eight of the DREAMS-supported districts that had less than a 25 percent decline of new HIV diagnoses among adolescent girls and young women in 2017 had a greater than 25 percent decline in 2018 – showing marked success. These reductions are particularly critical as, in 2017, three in four new infections in sub-Saharan Africa occurred among girls ages 15-19. Finally, additional PEPFAR data reveal that Ethiopia is on the verge of achieving HIV epidemic control and that Nigeria may be closer to achieving HIV epidemic control than was previously thought, with the majority of Nigerians who report being on HIV treatment having suppressed their viral replication, allowing them to thrive and not transmit the virus.

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Please refer to www.Performance.gov for more information on this APG, including the latest quarterly progress update and indicator analysis and methodology.

Key Indicator: Number of adults and children currently receiving antiretroviral therapy (ART)

| | FY 2017 | FY 2018 | FY 2019 Q1 | FY 2019 Q2 | FY 2019 Q3 | FY 2019 Q4 |
|--------|------------|------------|------------|------------|------------|------------|
| Target | 13,961,043 | 15,878,510 | 15,612,172 | 16,493,908 | 17,375,643 | 18,257,378 |
| Actual | 13,206,682 | 14,730,437 | | | | |

Note: FY 2020 targets will be developed as part of PEPFAR's annual Country Operational Planning (COP) process for FY 2019. Final targets will be available later in 2019.

Key Indicator: Number of adults and children newly enrolled on antiretroviral therapy (ART)

| | FY 2017 | FY 2018 Q1 | FY 2018 Q2 | FY 2018 Q3 | FY 2018 Q4 | FY 2019 Q1 | FY 2019 Q2 | FY 2019 Q3 | FY 2019 Q4 |
|---------|-----------|------------|------------|------------|------------|------------|------------|------------|------------|
| Target* | 3,657,154 | 1,005,596 | 1,005,596 | 1,005,596 | 1,005,596 | 833,079 | 833,079 | 833,079 | 833,079 |
| Actual | 2,774,524 | 573,936 | 650,010 | 643,889 | 810,729 | | | | |

Note: Reduction in FY 2019 targets for new on treatment is a result of countries approaching epidemic control. There are fewer people living with HIV to identify and initiate on treatment due to the incredible impact PEPFAR has made over the last fifteen years.

FY 2020 targets will be developed as part of PEPFAR's annual COP process for FY 2019. Final targets will be available later in 2019.

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Key Indicator: Number of males circumcised as part of the voluntary medical male circumcision (VMMC) for HIV prevention program within the reporting period

| | FY 2017 | FY 2018 Q1 | FY 2018 Q2 | FY 2018 Q3 | FY 2018 Q4 | FY 2019 |
|--------|-----------|------------|------------|------------|------------|-----------|
| Target | N/A | 970,744 | 970,745 | 970,744 | 970,745 | 3,823,495 |
| Actual | 3,382,541 | 714,338 | 839,088 | 1,086,402 | 1,094,386 | |

Note: FY 2020 targets will be developed as part of PEPFAR's annual COP process for FY 2019. Final targets will be available later in 2019.

Key Milestones:

| Due Date: FY and Quarter | Milestone | Milestone Status | Progress Update |
|--------------------------|--|------------------|--|
| FY 2018, Q2 | PEPFAR Annual Report submitted to Congress | Complete | Annual report submitted to Congress on time. |
| FY 2018, Q2 | Long-term strategy countries submit 2018 Country Operational Plans | Complete | 22 of 23 Country Operational Plans were submitted in Q2, and the final Country Operational Plan in Q3. |

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| Due Date: FY and Quarter | Milestone | Milestone Status | Progress Update |
|--------------------------|--|------------------|---|
| FY 2018, Q3 | All 2018 PEPFAR Country Operations Plans approved and notified to Congress | In Process | All 23 standard process Country Operational Plans were notified and approved by Congress in Q3 2018. This encompasses >90% of the PEPFAR bilateral budget. STAR Country and Regional Operational Plans have been notified and are under review by Congress. |
| FY 2018, Q3 | PEPFAR reauthorization approved by Congress and signed into law | Complete | H.R. 6651 was approved by the U.S. House of Representatives on 13 November and the U.S. Senate on 28 November. The bill was signed in to law by the President on 11 December (Public Law No: 115-305). |
| FY 2018, Q4 | Completion and release of three new Public Health Impact Assessments | Complete | Namibia, Cameroon and Cote d'Ivoire all completed PHIAs in FY 2018 |
| FY 2019, Q1 | Release of FY 2018 Annual Progress | Complete | PEPFAR's annual results were publically released on World AIDS Day (December 1, 2018) |
| FY 2019, Q2 | PEPFAR Annual Report submitted to Congress | Planned | |

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| Due Date: FY and Quarter | Milestone | Milestone Status | Progress Update |
|--------------------------|--|------------------|-----------------|
| FY 2019, Q2 | Long-term strategy countries submit 2019 Country Operational Plans | Planned | |
| FY 2019, Q3 | All 2019 PEPFAR Country Operation Plans approved and notified to Congress | Planned | |
| FY 2019, Q4 | Completion and Release of 3 additional Population-Based HIV Impact Assessments or similar surveys | Planned | |
| FY 2020, Q1 | Release of FY 2019 Annual Progress, including status on epidemic control in 13-high priority countries | Planned | |

Performance Goal 3.4.3: Prevent and Respond to Gender-Based Violence (State)

Performance Goal Statement: By 2022, State increases its systematic response to gender-based violence in new and evolving emergencies by maintaining or increasing the percentage of NGO or other international organization projects that include dedicated activities to prevent and/or respond to gender-based violence. (State)

Performance Goal Overview/Progress Update

The empowerment of women and girls is central to U.S. foreign policy and national security. When people are displaced due to conflict, they are at a greater risk of violence, which becomes a constant of their lives. In turn, in the immediate aftermath of a crisis, GBV, including sexual exploitation and abuse, increases as social structures breakdown, families are torn apart, accountability is undermined, and people are displaced. In these situations, women and girls are the most vulnerable to violence, including to GBV. In FY 2018, the Department's Bureau of Population, Refugees, and Migration (PRM) focused programming and efforts on ensuring that

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displaced women and girls are safe, can meet their basic needs, and are active participants in influencing the decisions that will affect them. In cases where crises have stabilized, programming included an increased focus on access to more specialized services, resources, and opportunities that allow women and girls to advance their social, economic, and political rights. In all settings, the Department works across the U.S. Government, as well as with international organization and NGO partners to develop policies that better address the unique needs of displaced women and girls, and other vulnerable people affected by GBV might affect.

Gender equality is an issue that remains at the forefront of U.S. foreign policy and commitments. The U.S. Government has raised the profile of and galvanized international attention to GBV during emergencies through our Safe from the Start initiative and our role in the Call to Action on Protection of Gender-Based Violence in Emergencies, which is an inter-agency, inter-governmental effort meant to change the way the humanitarian community responds to GBV at the outset of a crisis. The Department funds international organizations that conduct GBV training for their staff and deploy experts to high-level emergencies for leadership

and coordination purposes, as well as to advocate for gender-based needs in the earliest stages of a response.

Key Indicator: Percentage of NGO or other international organization projects that include dedicated activities to prevent and/or respond to gender-based violence

| | FY 2015 Baseline | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------------------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | N/A | 37% | 37% | 37% |
| Actual | 37% | 35% | 37% | 34.85% | 35.77% | | |

Indicator Analysis

The U.S. Government remains invested in and committed to being a voice for change and improvement in addressing the unique needs of displaced women and girls, as well as other vulnerable people affected by GBV. PRM provides technical support and assistance to U.S. government stakeholders working on GBV and engages on an international stage with international organizations (IOs) and other donors and states to improve emergency response and advocate for increased funding to life-saving assistance programs. The U.S. Government remains a leader in supporting global GBV programs through targeted assistance as well as integrating gender and GBV considerations into as many refugee assistance programs as possible. PRM requires every partner to integrate a gender analysis into its work and submit to a code of conduct for the prevention of sexual exploitation and abuse. The U.S. Government's funding advances gender equality by demonstrating leadership, and promoting accountability, coordination, innovation, and service provision, while also drawing attention to the issue of violence against women and girls, and increases dialogue and high-level engagement in the

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humanitarian community around GBV in emergencies. These programs are well-recognized and considered necessary as a gap-filling measure.

In FY 2018, 35.77 percent of PRM-funded NGO or other IO projects included dedicated activities to prevent and respond to GBV. This indicator's result is below the FY 2018 target, though it reflects an increase over FY 2017 (34.8 percent) and overall continued progress toward PRM's target of 37 percent. In addition, PRM's overall GBV prevention and response funding in absolute terms increased to nearly \$51.5 million in FY 2018 from \$45 million in FY 2017.

In FY 2018, PRM obligated \$51.5 million overall for GBV preparedness and response, which included both stand-alone and global GBV programming. Of this \$51.5 million, \$18.6 million was for ongoing support for the U.S. Government's Safe from the Start initiative, including funding for life-saving services, GBV coordination, gender mainstreaming, and programming to reduce the risk of GBV. In addition, PRM funded the deployment of GBV coordinators, regional advisors,

and experts; training for non-GBV sector leads on GBV risk reduction; and ongoing support for the Call to Action rollout. Safe from the Start funding is the United States' catalyst for better prioritizing GBV at the outset of every emergency and has supported IO and NGO initiatives to change the way in which they respond to GBV. The United States has leveraged Safe from the Start through conversations with other governments and organizations about the importance of garnering attention to the issue and providing the humanitarian community with the human and financial resources required to scale-up and meet needs. In addition, PRM is working internally to strengthen a tracking and monitoring system for GBV funding, the performance of partners, and to better assess overall progress and impact from year to year through an upcoming evaluation that will be undertaken in FY 2019.

In FY 2018, PRM also provided nearly \$4.4 million for innovation and research projects that will continue to expand the ways the humanitarian community approaches GBV prevention and response. Five new innovation and research grants were awarded to three different partners to expand the ways the humanitarian community approaches GBV prevention and response. These grants focus on developing the mechanisms to understand and address sexual exploitation and abuse in humanitarian settings, preventing early marriage in crisis, enhancing the Grand Bargain with gender and GBV principles, and developing a toolkit that focuses on how to improve energy initiatives and their impact on women and girls. These PRM initiatives intend to improve the quality of service provision and provide models for evidence-based programs to share with other donors and to scaled-up service provision.

In addition to Safe from the Start and programs focusing on innovation and capacity-building, PRM provides funding each year to support the GBV work of international and NGO partners through regional assistance programming. In FY 2018, this funding amounted to approximately \$28.5 million and was used to provide services to GBV survivors, implement prevention activities, and work with other sectors to mitigate the risk of violence particularly for those most vulnerable, such as women and children. This funding, as well as that which is provided through

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Safe from the Start, does not include contributions to global appeals that PRM provides to our main IO partners, who also use this funding to support programs that prevent and respond to GBV.

Indicator Methodology

The unit of measure for this indicator is State-funded projects. The numerator will be the number of State-funded NGO or international organization projects that include activities designed specifically to prevent and/or respond to GBV, while omitting any double-counting by eliminating partner projects that are cost-modifications or no-cost extensions of projects already counted. The denominator will be the total number of State projects; the result will be multiplied by 100 for the percentage. Annual data will come from the State Department's internal award-document tracking system, and from implementing partners (oral or written). A weakness of this indicator is its inability to report on the quality of GBV program activities or the ultimate achievements of dedicated activities to prevent and/or respond to GBV.

Performance Goal 3.4.4: Prevent and Respond to Gender-Based Violence (USAID)

Performance Goal Statement: By 2022, USAID increases its systematic response to gender-based violence in emergencies by increasing the percentage of proposals it receives from non-governmental organizations that include protection mainstreaming to 95 percent. (USAID)

Performance Goal Overview/Progress Update

Conflict and natural disasters often exacerbate the vulnerability of individuals, particularly women and girls, and Gender Based Violence (GBV) can escalate in these scenarios. Addressing GBV is a priority for USAID, and is an integral part of USAID's disaster-response strategies and funding. One of the ways in which USAID prevents GBV in emergencies is by ensuring each proposal received from a NGO mainstreams protection principles and practices. "Protection mainstreaming" is the process of incorporating protection principles and promoting meaningful access, safety, and dignity in humanitarian aid. This performance goal measures the degree to which NGO proposals include protection mainstreaming.

Key Indicator: Protection mainstreaming in NGO proposals

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 95% | 95% | 95% |
| Actual | N/A | N/A | N/A | 100% | | |

Indicator Analysis

Strategic Goal 3: Promote American Leadership through Balanced Engagement

There was no significant deviation from the indicator's FY 2018 target. The USAID Office of U.S. Foreign Disaster Assistance's (OFDA) GBV programming is supported through International Disaster Assistance (IDA) funding, a contingency account that is programmed based on emergency needs, and therefore USAID/OFDA's targets are estimates for future years because the scale, scope, and location of needs vary from year to year.

Indicator Methodology

The numerator is the number of NGO proposals received by USAID/OFDA that include protection mainstreaming; the denominator is the total number of NGO proposals received by USAID/OFDA. The data source for this indicator is a USAID internal proposal-tracking database.

Performance Goal 3.4.5: Timely Humanitarian Response

Performance Goal Statement: Through 2022, timely contributions to emergency appeals ensure humanitarian international organizations respond rapidly to the urgent needs of refugees and other populations of concern by maintaining the percentage of United Nations High Commissioner for Refugees (UNHCR) Supplementary Appeals and ICRC Budget Extension Appeals the U.S. commits funding to within three months. (State)

Performance Goal Overview/Progress Update

A goal of the U.S. Government's humanitarian response is to provide populations of concern with protection and life-saving assistance from the outset of a crisis through partner organizations and according to international standards. Important elements in achieving this goal include ensuring aid providers have the training and resources to work effectively in uncertain environments and contributing resources in close coordination with the international community and other first-responders to avoid gaps or duplication. Ensuring effective humanitarian response has always been at the core of PRM's mandate to protect refugees and other conflict-affected populations and provide life-sustaining assistance. The Department premises its humanitarian response on providing rapid funding to organizations that can operate in insecure or difficult-to-access areas where official Americans cannot travel. PRM gains a global picture of humanitarian assistance by deploying small numbers of trained staff to provide humanitarian expertise at U.S. missions in crisis-affected areas, and collecting information and coordinating with relief agencies and other donors so that policy and program decisions flow from the best information available and a solid understanding of the situation on the ground.

The Department's humanitarian assistance programs aim to save lives and ease the suffering of refugees, stateless persons, vulnerable migrants, conflict victims, and internally displaced persons. Assistance programs are designed to identify and protect the most-vulnerable within

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affected populations, such as single heads of households, children, the elderly, and the disabled, to ensure they have equal access to life-sustaining goods and services. As part of an emergency response, the U.S. Government's timely support to UNHCR and the International Committee of the Red Cross (ICRC) in FY 2018 allowed these partners to respond to unforeseen needs that required increased humanitarian action and provided populations of concern with uninterrupted protection and life-saving assistance.

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Key Indicator: Percentage of UNHCR Supplementary Appeals and ICRC Budget Extension Appeals that PRM commits funding to within three months

| | FY 2015 | FY 2016 Baseline | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------------------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 100% | 100% | 100% |
| Actual | N/A | 100% | 100% | 100% | | |

Indicator Analysis

The State Department leads U.S. government engagement with UNHCR and ICRC. The Department's leadership on the governing bodies of these organizations, and working day to day, globally, with their staff, combine with reliable early contributions to them to reinforce the global multilateral response network that leverages significant contributions from other donors. Effective emergency response is critical to provide protection and life-saving assistance according to international standards from the outset of a crisis. Tracking how quickly the Department responds to UNHCR Supplementary Appeals and ICRC Budget Extension Appeals is one way to illustrate PRM's commitment to timely humanitarian responses during emergencies.

The Department met its FY 2018 target of 100 percent by responding to emergency appeals for crises in South Sudan, Bangladesh, Venezuela, the Democratic Republic of the Congo (DRC), and Libya.

The South Sudan conflict displaced more than 4 million people, including 2.2 million refugees and 1.8 million internally displaced persons (IDPs). Approximately 6.1 million people internally – nearly 60 percent of the population – experienced acute food insecurity. In FY 2018, PRM provided over \$307 million in assistance for IDPs and refugees in South Sudan and for South Sudanese refugees in neighboring countries. This allowed Department partners to address urgent needs by providing protection, emergency medical care, shelter and food, increased access to clean water and sanitation, education for displaced children, and psychosocial support.

PRM provided critical humanitarian assistance following the August 2017 ethnic cleansing by Burmese security forces that forced 728,000 Rohingya to flee to Bangladesh and an unknown number to flee within Burma. In FY 2018, PRM continued to urge better humanitarian access to the crisis-affected communities in Burma's Rakhine State. Since August 2017, the U.S. contributed nearly \$389 million in humanitarian assistance, including more than \$243 million from PRM, to meet urgent needs of those displaced and host communities, including provision of protection, emergency shelter, food, nutritional assistance, health care, and psychosocial support.

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More than 3.6 million Venezuelans have fled Venezuela since 2015. The Department was the first U. S. Government entity to respond at the onset of the Venezuela crisis by providing \$3.3 million in FY 2017 to UNHCR to assist displaced Venezuelans. In FY 2018, the Department, through PRM, programmed nearly \$44 million for protection and assistance to Venezuelans in the region providing shelter and basic needs for the most vulnerable, safe drinking water and hygiene supplies, protection from violence and exploitation, and work and education opportunities.

In the DRC, conflict and violence against civilians related to elections, inter-ethnic violence, and armed groups have displaced 4.5 million people internally and 800,000 refugees in neighboring countries. In FY 2018, PRM provided over \$104 million for protection of and assistance to Congolese conflict victims and IDPs in DRC and DRC refugees in neighboring countries, supporting activities such as GBV prevention and response, shelter, health, logistics, and relief commodities.

An estimated 823,000 people, including around 241,000 children, are in need of humanitarian assistance in Libya as a result of persisting political instability, conflict and insecurity, the breakdown of the rule of law, a deteriorating public sector and a dysfunctional economy. In FY 2018, PRM provided \$22.8 million for humanitarian assistance in Libya for IDPs, returned IDPs, other vulnerable Libyans, refugees and asylum-seekers, and vulnerable migrants. PRM partners supported health activities, distributed non-food items, provided cash assistance, and bolstered projects to help the displaced and their hosting communities strengthen their resilience to the effects of conflict. State support also allowed implementing partners to continue protection work for children and other vulnerable civilians. Emergency efforts worked to promote respect for international humanitarian law (IHL) among government representatives, weapon bearers, and civil society, in order to facilitate the delivery of assistance to vulnerable people and contribute to their protection.

In FY 2019, the Department will continue its timely contributions to emergency appeals to ensure humanitarian international organizations respond rapidly to the urgent needs of refugees and other populations of concern.

Indicator Methodology

Data sources include PRM's internal funding-tracking system and PRM's Funding Policy, and Program Review Committee electronic records. The numerator is the number of UNHCR Supplementary Appeals and ICRC Budget Extension Appeals to which PRM commits funding within a three-month window in a 12-month FY period; the denominator is the total number of UNHCR Supplementary Appeals and ICRC Budget Extension Appeals made that PRM selects to fund during the 12-month FY period.

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The indicator only covers funding for UNHCR Supplementary Appeals and ICRC Budget Extensions; additional humanitarian response programming is discussed in the indicator narrative.

External reasons outside of PRM's control could result in an appeal response time that is longer than three months.

Performance Goal 3.4.6: Humanitarian Assistance

Performance Goal Statement: By 2022, 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. (USAID)

Performance Goal Overview/Progress Update

The Joint Strategic Plan (JSP) explains that the Department and USAID will support needs-based humanitarian assistance through multi-sectoral programs that provide relief from crises, conflicts, and natural disasters. Collaboration with donors and host countries will help identify solutions to displacement, protect populations at risk, reduce the risk of disasters, and foster resilience. USAID/OFDA is the U.S. Government's lead federal coordinator for international disaster response. The Office's mandate is to save lives, alleviate human suffering, and reduce the social and economic impacts of disasters worldwide. Responding efficiently to disasters is critical for USAID/OFDA to implement its mandate. As such, this PG aims to ensure that USAID/OFDA continues to respond to disasters rapidly and efficiently.

Key Indicator: Percent of disaster declarations responded to within 72 hours

| | FY 2015 | FY 2016 | FY 2017 Baseline | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------------------|---------|---------|---------|
| Target | N/A | N/A | N/A | 95% | 95% | 95% |
| Actual | 88% | 100% | 100% | 89% | | |

Indicator Analysis

The above figures provide a summary of USAID/OFDA's immediate responses to new disaster declarations only, as measured by the release of a disaster response cable or submission of an email response with fund cite information within 72 hours of a disaster declaration cable's circulation; the figures do not take into account disaster redeclarations or adjustments to end-of-year disaster response totals.

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Note that two of the three delayed response cables in FY 2018 were for Sensitive But Unclassified (SBU) responses related to a politically sensitive complex emergency of high interest to the interagency. The sensitive political nature of these U.S. Government responses necessitated exceptional levels of intra-agency and interagency coordination, which created a lag in USAID/OFDA's normal response timeframe. Had these delays not occurred, USAID/OFDA's rate of response within 72 hours would have been 96 percent for FY 2018.

Indicator Methodology

USAID/OFDA will source data from 1) an internal program-management database that keeps a record of official cables; 2) Senior Management Team notification of the deployment of a Disaster-Assistance Response Team or the activation of another assistance team; and 3) Information Support Unit records of a disaster declaration. Document review will provide the needed information.

Performance Goal 3.4.7: Improve Accountability and Effectiveness through Grand Bargain Implementation

Performance Goal Statement: By 2019, the United States will identify and pursue key changes by major implementing partners the U.S. believes are required to improve accountability and effectiveness, and create operational and managerial costs savings in humanitarian responses as outlined in the Grand Bargain. (State and USAID)

Performance Goal Overview/Progress Update

The Grand Bargain, launched at the 2016 World Humanitarian Summit, brings together more than 50 donors, UN Agencies, and NGOs to form a package of reforms to make humanitarian financing and assistance more effective. It continues to provide value as a unique platform for policy discussions across UN agencies, donors, NGOs, and the Red Cross, and to be an important agreement for improving the effectiveness and efficiency of the humanitarian system. However, its diverse membership coupled with its voluntary nature and the consensus-based approach to promoting its implementation has limited the impact of the Grand Bargain to realize significant efficiency gains to date.

Given the inconsistent action on the part of Grand Bargain signatories to implement commitments, the USG executed a 2018 Grand Bargain Strategy to reenergize efforts at a collective, global level, as well as targeted engagement of individual agencies and donors. This Grand Bargain Strategy was a central, but not exclusive, element of the UN humanitarian and other reform efforts identified by the U. S. Government's Humanitarian Policy Working Group (HPWG) — which includes the Department of State, USAID, and the U.S. Mission to the United Nations — in 2018. In 2018, the USG joined the Grand Bargain Facilitation Group in part to push forward more comprehensive reporting and implementation of commitments by endorsers.

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As a result, a more robust reporting process has been introduced for the 2018 Grand Bargain Self Report.

Key Indicator: Percentage of targeted implementing partners with completed benchmark plans

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 50% | 80% | 100% |
| Actual | N/A | N/A | N/A | 87% | | |

Indicator Analysis

The HPWG identified eight agencies for the development of the internal tracking documents, or benchmark plans. By the end of FY 2018, the HPWG developed seven of the eight plans. It is expected that the final plan will be developed in FY 2019. These plans are used in internal conversations with UN agency partners to advance targeted reform priorities, gauge progress to date, and identify and mitigate obstacles. With the modified Grand Bargain Self Reporting process for 2018, and reports expected online in mid-2019, the HPWG will have a more comprehensive set of data against which to measure progress.

Indicator Methodology

The data source for this indicator is the HPWG, which meets regularly to advance the U.S. Government involvement in the Grand Bargain and progress towards its own commitments, as well as the progress of implementing partners towards implementation of their Grand Bargain commitments.

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Strategic Objective 4.1: Strengthen the effectiveness and sustainability of our diplomacy and development investments

Strategies for Achieving the Objective/Strategic Objective Progress Update

The Department of State's Managing for Results (MfR) Framework and the USAID Program Cycle are foundational to making diplomatic engagement activities and development investments effective, efficient, and sustainable. These frameworks for strategic planning, budgeting, and program-management set the stage for strategic alignment of resources and evidence-based diplomacy and development.

The Department and USAID conduct joint strategic planning for regional bureaus, which, in turn, informs country-level strategic planning. Each Department of State functional bureau develops a strategic plan for coordination across regions and countries. All embassies have an Integrated Country Strategy (ICS) in place, and the majority of USAID missions have a Country Development Cooperation Strategy (CDCS).¹¹

The ICS affords each mission the opportunity to identify and manage its Chief-of-Mission policy priorities. Developing and managing an ICS is a comprehensive country-team and interagency effort at post. Each ICS is developed to support its geographic region by linking to its respective Department of State and USAID Joint Regional Strategy (JRS), thereby providing a regional policy context. USAID is reorienting its country strategies to improve how it supports each country on the Journey to Self-Reliance — or, put another way, a country's ability to plan, finance, and implement solutions to address its own development challenges. This approach to development — which prioritizes fostering stable, resilient, prosperous, and self-reliant countries — is good for our partners around the world, our nation's security, and the American taxpayer. USAID has created [Country Roadmaps](#) as an analytic tool to visualize each country's overall level of self-reliance and performance on each of 17 self-reliance metrics. The Roadmaps allow USAID to see where all countries are in their journeys to self-reliance, both individually, and relative to the rest of the world. They will help USAID develop better country strategies, engage in development policy dialogue, and think about when to consider countries for possible strategic transition conversations.

The Department and USAID also strengthen the effectiveness and sustainability of our diplomacy and development investments by evaluating programs to learn what is working well and where there is a need to adapt to maximize effectiveness. All foreign assistance evaluation reports continue to be publicly available on USAID¹² and Department¹³ websites. In addition, the Department launched the [Foreign Assistance Resource Library](#) (FARL) which houses strategies, links to budget documents and evaluations, and resources and tools for performance

¹¹ Country Development Cooperation Strategies: <https://www.usaid.gov/results-and-data/planning/country-strategies-cdcs>

¹² Development Experience Clearinghouse: <https://dec.usaid.gov/dec/home/Default.aspx>

¹³ Foreign Assistance Evaluations: <https://www.state.gov/f/evaluations/index.htm>

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management and evaluation. The Department and USAID provide extensive training, guidance, tools, and technical assistance to enable bureaus and overseas missions to clearly define their programmatic goals, and expected results, describe how our investments will help achieve them, and conduct robust monitoring and evaluation to assess program performance and results, learn what is working and adapt programs as needed, and strengthen accountability.

Ancillary to these efforts is the creation of USAID's Development Information Solution (DIS), a unified portfolio-management system designed to better manage USAID's data, facilitate evidence-based decision-making, and enable USAID to improve reporting on the results of its activities. In addition, to ensure that the Department is making data-informed policy and management decisions in support of the agency's mission, efforts are underway to support increased data analytics through greater use of data placemats and the establishment of a Center for Analytics. These efforts support cross-agency priority (CAP) goal 2, Leveraging Data as a Strategic Asset, increasing the Department and USAID's analytical capacity overall.

USAID released a new [Acquisition and Assistance \(A&A\) Strategy](#) in December 2018. By streamlining approaches to design and procurement, and utilizing new and innovative methods of collaboration, the A&A Strategy shifts USAID away from traditional approaches that can unduly constrain our staff and partners. The A&A Strategy also outlines how we will embrace USAID's new approach to self-reliance in our approaches to partnering. Diversifying our partner base and integrating locally-led development into how USAID delivers development assistance will help our partner countries become self-reliant, and will get us closer to the day when such assistance is no longer needed. Through implementation of this strategy, USAID is increasing the efficiency and effectiveness of procuring services through contracts, supporting partners with grants and cooperative agreements, and increasing our use of innovative and flexible instruments that allow for co-creation and payment for performance.

Management of resources must be supported by robust information technology (IT) platforms. The Department's support of the President's Management Agenda IT Modernization CAP goal and IT Modernization Agency Priority Goal (APG) has resulted in improvements to IT architecture, planning, and delivery of a centralized, secure multi-cloud ecosystem to better support customer needs.

The Department and USAID selected Category Management (CM) as a joint APG to increase the efficiency and effectiveness of procuring services through contracts and grants. Both agencies acknowledge that mitigating risk through progress monitoring is critical in these areas.

In support of the President's Management Agenda CAP Goal 8, Results-Oriented Accountability for Grants and CAP Goal 11, Improving Management of Major Acquisitions, the Department and USAID are streamlining their A&A processes, deploying the State Assistance-Management System across the Department, creating innovative approaches to improve core operations, increasing stakeholder engagement, and enhancing the capabilities of our workforce. The

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Department of State and USAID are improving grant-management systems to include performance-management capabilities, streamlined communication, oversight, and coordination with grant recipients. Finally, the Department and USAID are beginning implementation of the Program Management Improvement Accountability Act of 2016 (PMIAA). The Act supports program and project management improvement activities within individual agencies and across the Federal Government.

Performance Goal 4.1.1 Increase the Use of Evidence to Inform Decisions

Performance Goal Statement: By 2022, increase the use of evidence to inform budget, program planning and design, and management decisions. (State and USAID)

Performance Goal Overview/Progress Update

Across the Federal Government, focus on accountability for achieving results and being good stewards of taxpayer dollars continues to grow. State's MfR Framework and USAID's Program Cycle set a strong foundation for program management across bureaus and missions worldwide to ensure State and USAID meets or exceeds the tenets of key laws such as the PMIAA and the Foreign Aid Transparency and Accountability Act of 2016 (FATAA), as well as recent laws such as the Foundations for Evidence-Based Policymaking Act of 2018 (the Evidence Act).

State worked to implement its comprehensive Program and Project Design, Monitoring, and Evaluation Policy across all bureaus and independent offices through ongoing communication, technical assistance, development of a Program Design and Performance Management Toolkit, provision of a four-day classroom training course, and management of a robust and engaged community of practice to share lessons learned and hear from external experts. The policy requires bureaus to document program and project alignment to broader applicable strategies, conduct situational analysis, create logic models, and develop a performance management plan for monitoring, evaluation, and using data to learn and adapt based on evidence. These efforts played a significant role in State's ability to use evaluations to strengthen its evidence-base for decision-making with 100 percent of evaluations meeting their intended use. This exceeds the Fiscal Year (FY) 2018 target by five percentage points. The Office of the Inspector General (OIG) has been engaged to assist with oversight of policy implementation across bureaus, and the U.S. Government Accountability Office (GAO) has also initiated its review of Department policies to ensure compliance with FATAA and PMIAA.

In addition to this new effort around program design, the Department conducts formal evaluations of programs and processes. These evaluations are intended to answer a number of key research questions and help inform or validate areas such as program or process approach, effectiveness, or efficiency. State and USAID both monitor to what extent formal evaluations met the intended use to ensure both agencies are able to get full utility out of evaluations conducted.

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USAID uses the Program Cycle as the framework for building and using evidence in programmatic decision-making. USAID's Program Cycle, updated in 2016 and codified as [Program Cycle Operational Policy](#) (Automated Directive System [ADS] 201), describes a common set of planning, implementation and learning processes intended to improve program performance and effectiveness, ensure USAID programs are informed by evidence, and ultimately better achieve sustainable development results and support countries on their journey to self-reliance. USAID's Program Cycle policy includes specific analysis and evidence requirements for decisions related to country strategic planning, project design, monitoring, evaluation, and learning. USAID implements FATAA and related Office of Management and Budget (OMB) Monitoring and Evaluation guidelines through requirements in ADS 201.

Key Indicator: Percentage of completed evaluations used to inform management and decision making

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|--|--|---|---|--------------------------|--------------------------|
| Target | State: N/A USAID: N/A | State: N/A USAID: N/A | State: N/A USAID: N/A | State: 95% USAID: 95% | State: 95% USAID: 95% | State: 95% USAID: 95% |
| Actual | State: 89% ¹⁴ USAID: N/A | State: 94% ¹⁵ USAID: N/A | State: 100% ¹⁶ USAID: N/A | State: 100% ¹⁷ USAID: 99.4% ¹⁸ | | |

Indicator Analysis

As of publication of this report, State and USAID do not yet have complete data, with only 10 of 21 bureaus having completed their foreign assistance evaluation data call for FY 2018. Of the completed entries, all State-commissioned evaluations met intended use. Seven more preliminary entries have not yet been submitted. Of the completed diplomatic engagement-funded entries, all evaluations met intended use and two evaluations exceeded intended use. More complete data may be available by the end of April 2019.

¹⁴ 25 out of 28 completed evaluations met intended use

¹⁵ 17 out of 18 completed evaluations met intended use – preliminary results

¹⁶ 14 out of 14 completed evaluations met intended use – preliminary results

¹⁷ 12 out of 12 evaluations at least met intended use and two exceeded intended use – preliminary results (State)

¹⁸ 158 of 159 evaluations met intended use – preliminary results (USAID)

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As of publication of this report, out of USAID-commissioned FY 2018 evaluations with completed entries, 158 out of 159 used evidence from the evaluation to inform budget, program planning and design, and other management decisions. USAID changed how it measures evaluation use as of FY 2018 reporting, and therefore FY 2018 is the first year of available data using this methodology.

Indicator Methodology

Data for this indicator is sourced from the Evaluation Registry for foreign assistance-funded evaluations and the Evaluation Management System for diplomatic engagement-funded evaluations. For the Registry, the methodology of establishing the percentage is to divide the number of completed foreign assistance evaluations in a given FY by State and USAID that report the evaluation having an instrumental use (one of six options¹⁹ for reporting intended use) by the total number of completed foreign assistance evaluations that FY. This option is only available for evaluations entered into the Evaluation Registry as of FY 2018, thus data calculated using this method are not available for previous years for USAID. In addition, the annual reporting cycle is completed each year after the publication deadline for this report. As a result, it may take two cycles before complete data are available.

For the Evaluation Management System, the methodology of establishing the percentage is to divide the number of completed diplomatic engagement-funded evaluations in a given FY that meet or exceed the intended use by the total number of completed diplomatic engagement-funded evaluations that FY.

¹⁹ All six listed uses include 1) Instrumental: Inform management and decision making, e.g., developing guidance on project implementation; 2) Conceptual or Learning Use: Used for better understanding of program or policy, even if there is no change in the program or policy; 3) Design-Focused: Used to inform project design; 4) Strategic: Persuade others, gain particular strategies outcomes or inform strategy and policy formulation; 5) Transparency and Accountability: Provide accessible information and show responsible use of resources; 6) Engagement Ownership and Capacity Building: Opportunity to better engage stakeholders in program or process.

Strategic Goal 4: Ensure Effectiveness and Accountability to the American Taxpayer

Key Milestones (State):

| Due Date: FY and Quarter | Milestone | Milestone Status | Progress Update |
|---|---|------------------|---|
| Applicable State bureaus and independent offices will be in compliance with each implementation milestone of the Department's Program Design, Monitoring and Evaluation Policy: | | | |
| FY 2018, Q3 | By June 29, 2018: All applicable State bureaus and independent offices have identified their major programs and/or projects | Delayed | By June 29, 2018, 24 of 41 (59 percent) bureaus successfully identified their major programs and projects. By early April, an additional 13 bureaus submitted, for a total of 37 of 41 (90 percent). The Office of U.S. Foreign Assistance Resources (F) and the Bureau of Budget and Planning (BP) staff regularly reach out to remaining bureaus to provide technical assistance to meet the requirement, and update our Assistant Secretaries so senior level outreach can be made. Additionally, we work closely with the OIG to train inspectors on the policy requirements, and we provided an "inspector checklist" for reviewing bureaus' compliance with the policy. |
| FY 2019, Q2 | By February 28, 2019 (Extended to March 29, 2019): All applicable Bureaus and independent offices have completed logic models or project plans for all of their major programs and projects | In Progress | The deadline for this milestone was extended by one month to account for the lapse in appropriation. A full analysis of milestone performance is underway. Bureaus and offices continue to work on documenting their initial logic models to depict goals and objectives, and how program/project activities are expected to lead to desired outcomes. |

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| Due Date: FY and Quarter | Milestone | Milestone Status | Progress Update |
|--------------------------|---|------------------|--|
| FY 2020, Q3 | By May 31, 2019 (Extended to June 28, 2019): All applicable Bureaus and independent offices have established monitoring and evaluation plans that identify relevant indicators, and possible opportunities for evaluation of their major programs | Planned | This milestone is not due from bureaus and offices; however, some bureaus have begun documenting relevant indicators and evaluation topics as work takes place on their logic models and/or project plans. |

Performance Goal 4.1.2: Engagement with Local Partners

Performance Goal Statement: By 2022, increase engagement with local partners to strengthen their ability to implement their own development agenda. (USAID)

Performance Goal Overview/Progress Update

Self-reliance is a critical component of development, and ensures the sustainability of our investments. Engagement of local actors, including host-country governments, civil society organizations, and the private sector, is integral to furthering partner countries' journey to self-reliance so they can manage and finance their own development interests. This results in more private enterprise-driven solutions and stronger in-country capacity for leading development solutions by mobilizing domestic resources. Local priorities, to the extent that they align with U.S. Government interests, should be a part of a country's shared development agenda.

Key Indicator: Percent of completed foreign assistance evaluations with a local expert as a member of the evaluation team

| | FY 2015 | FY 2016 Baseline | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|------------------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 50% | 65% | 65% |
| Actual | N/A | 49% | 59% | 64.8% | | |

Strategic Goal 4: Ensure Effectiveness and Accountability to the American Taxpayer

Indicator Analysis

This indicator captures multiple elements of local ownership. It illustrates the degree to which missions are integrating local actors and experts into the evaluation of USAID programs. Including local experts on evaluation teams demonstrates USAID's commitment to seeking out local perspectives and ensuring local values are represented. This is important to improving sustainability and including local priorities in USAID programs. Finally, including local experts on evaluation teams strengthens the knowledge and expertise of local evaluation communities, which in turn provides improved evaluation services to not only USAID but also partner governments and other local development actors.

FY 2016 is the baseline year for this indicator, as it was not previously collected on a corporate level. For FY 2016, 49 percent of teams reported having a local expert. The percentage of evaluations teams with a local expert increased by 15.8 percent between FY 2016 and FY 2018.

Indicator Methodology

USAID nominator of this indicator is any completed USAID-commissioned evaluation for a FY for which an individual indigenous to the country or region with evaluation or sector expertise participated on the evaluation team, either as a team member or team leader. The denominator is all USAID-commissioned evaluations completed in the same FY. The data is reported by USAID missions and OUs, in the Evaluation Registry in the Foreign Assistance Coordination and Tracking System (FACTS Info). Operating units (OUs) individually report the evaluations they plan to initiate within the next three FYs, currently have ongoing, or have completed within the FY. Data in the Registry can be updated on an ongoing basis but is reviewed and validated annually, along with the rest of the data in the Performance Plan and Report (PPR).

USAID has prioritized data that can be retrieved from existing systems in the development of new indicators. The use of existing systems relieves field staff from additional reporting burdens and provides data sourced from proven and well-tested collection methods.

Indicator data is reported based on current results in the evaluation registry. Registry review is in process and submissions have not yet been finalized. All information is valid as of publication of this report and will be updated when data are available.

Performance Goal 4.1.3 (Agency Priority Goal): Effective Partnering and Procurement Reform (EPPR)

Performance Goal Statement: By September 30, 2019, USAID will have increased the utilization of collaborative partnering methods and co-creation within new awards by 10 percentage points, measured by percentage of obligated dollars and procurement actions. (USAID)

Strategic Goal 4: Ensure Effectiveness and Accountability to the American Taxpayer

Performance Goal Overview/Progress Update

Through the adoption of this APG, USAID will be able to achieve the Administrator's vision of increasing collaboration, co-design, and co-financing approaches that promote innovation and the diversification of our partner base. This will result in more empowered partners, results-driven solutions, and stronger host-country capacity and self-reliance, to advance the Agency's overall goal of ending the need for foreign assistance.

The Agency has continued its efforts to promote co-creation and collaboration by having senior leaders in Washington, D.C., and in missions, as well as contracting and technical specialists, champion best practices. USAID has engaged partners to reinforce support for co-creative approaches, and is using an increasing variety of incentives to reduce risk-aversion and drive innovation while training and promoting peer-to-peer learning within USAID.

Through USAID's Transformation efforts, specifically the Effective Partnering and Procurement Reform (EPPR) workstream, USAID has continued to develop its reform package, which includes a shift towards more effective co-creation and collaboration, with the release of USAID's first-ever A&A Strategy in the first quarter of FY 2019.

At the conclusion of FY 2018, the Agency reviewed its co-creation data collected through the Global Acquisition and Assistance System (GLAAS) and the A&A Plan, and established baselines and targets for FY 2019. For FY 2018, USAID made 18 percent of its awards through co-creation, which represented 21 percent of dollars obligated through new awards. For the first quarter of FY 2019, USAID had 10.6 percent of its new awards through co-creation, which represented 28.1 percent of dollars obligated through new awards. The Agency continues to track on its targets of a 10 percent increase in both the percentage of new awards and dollars obligated through collaborative methods while also expanding its new partner base.

Please refer to www.Performance.gov for more information on this APG, including the latest quarterly progress update and indicator analysis and methodology.

Key Indicator: Percentage of Awards using co-creation

| | FY 2018 Q1 | FY 2018 Q2 | FY 2018 Q3 | FY 2018 Q4 | FY 2019 Q1 | FY 2019 Q2 | FY 2019 Q3 | FY 2019 Q4 |
|--------|------------------|------------------|------------------|------------------|------------------|------------------|------------------|------------------|
| Target | N/A | N/A | N/A | Baseline | 20% | 22% | 24% | 28% |
| Actual | N/A | N/A | N/A | 18% | 10.6% | | | |

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Key Indicator: Percentage of Obligations using co-creation

| | FY 2018 Q1 | FY 2018 Q2 | FY 2018 Q3 | FY 2018 Q4 | FY 2019 Q1 | FY 2019 Q2 | FY 2019 Q3 | FY 2019 Q4 |
|--------|------------|------------|------------|------------|------------|------------|------------|------------|
| Target | N/A | N/A | N/A | Baseline | 23% | 25% | 27% | 31% |
| Actual | N/A | N/A | N/A | 21% | 28.1% | | | |

Key Indicator: Number of New Partners

| | FY 2018 Q1 | FY 2018 Q2 | FY 2018 Q3 | FY 2018 Q4 | FY 2019 Q1 | FY 2019 Q2 | FY 2019 Q3 | FY 2019 Q4 |
|--------|------------|------------|------------|------------|------------|------------|------------|------------|
| Target | N/A | N/A | N/A | Baseline | 22 | 31 | 51 | 145 |
| Actual | N/A | N/A | N/A | 226 | 28 | | | |

Key Milestones:

| Due Date: FY and Quarter | Milestone | Milestone Status | Progress Update |
|--------------------------|---|------------------|--|
| FY 2018, Q2 | M.1 Study and assess methods to measure and achieve improved outcomes (increased use of collaboration and co-creation approaches) | Complete | The Agency reviewed the A&A Planning Tool and GLAAS, and decided to add/modify existing fields to be able to measure the increased use of collaborative methods. |
| FY 2018, Q2 | M.2 Adapt working definitions for planned quantitative indicators (on collaboration/co-creation) and partner diversification) based on input from external partner engagement | Complete | The Agency recently concluded an external listening tour on EPPR. As a part of its EPPR listening tour, the Agency has refined its definitions of collaborative approaches to procurement. |

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| Due Date: FY and Quarter | Milestone | Milestone Status | Progress Update |
|--------------------------|---|------------------|---|
| FY 2018, Q3 | M.3 Finalize data collection methods. Determine baseline and modify automated systems to collect data | Complete | USAID modified the A&A Planning Tool and GLAAS to capture the use of collaborative methods. Baseline data are available through Q3. Additional data collected in Q4 will serve as the total FY 2018 baseline |
| FY 2018, Q3 | M.4 Adapt working definitions for planned quantitative indicators (on collaboration/co-creation and partner diversification) based on input from USAID internal working groups and field missions | Complete | Within USAID's Transformation initiative, working groups discussed the definitions to be used for collaboration/co-creation to support efforts to diversify USAID's partner base. As part of its commitment to learning, USAID generated EPPR concept notes which will result in policy recommendations that inform the final definition, baseline, and targets |
| FY 2018, Q4 | M.5 Conduct training for Agency staff to achieve targets based on new policy direction. | In Progress | The Agency is finalizing its new <u>A&A Strategy Implementation Plan</u> . Training continues to track to be incorporated when the final policy is available in FY 2019 Q2. USAID has conducted 4 formal EPPR training classes with over 100 participants and conducted partner outreach to over 100 partners. More courses and outreach session are planned throughout 2019. |
| FY 2018, Q4 | M.6 Examine results and finalize baseline for co-creation and collaboration methods in FY 2018 | Complete | USAID assessed the results of the first phase of tracking the co-creation indicator at the conclusion of FY 2018. The Agency will issue recommendations for enhanced input and collection of data in FY 2019 Q1. |

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| Due Date: FY and Quarter | Milestone | Milestone Status | Progress Update |
|--------------------------|---|------------------|--|
| FY 2019, Q1 | M.7 Implement new approach. Indicator definition and baseline established | Complete | EPFR strategy and baseline to support implementation has been established. USAID's Bureau for Management Office of Acquisition and Assistance (M/OAA) has created tracking targets and milestones. |
| FY 2019, Q2 | M.8 Monitor and make necessary adjustments. Collect lessons learned | In Progress | M/OAA continues to collect, monitor and track results of Co-creation metrics and will update based on feedback and updates |
| FY 2019, Q3 | M.9 Progress assessment | Planned | N/A |
| FY 2019, Q4 | M.10 Finalize results. Collect lessons learned and "best practices" | Planned | N/A |

Performance Goal 4.1.4 (Agency Priority Goal): Category Management

Performance Goal Statement: By September 30, 2019, meet or exceed federal targets for Best-In-Class (BIC) contract awards. (State and USAID)

Performance Goal Overview/Progress Update

By applying principles from CM and the associated BIC solutions, USAID and State can purchase goods and services more like a single enterprise. Application of BIC solutions enables the Federal Government to eliminate redundancies by avoiding multiple contracts, to increase efficiency by streamlining administration costs, and to deliver more value and savings from the U.S. Government's acquisition programs.

One of the overall goals of CM is to increase Spend-Under-Management (SUM). There are three tiers of solutions that fall under the broad umbrella of SUM: Tier 1, Tier 2, and BIC. OMB has designated BIC contracts as preferred as they are used Government-wide, and can provide the best savings and availability. These contracts have been pre-vetted, and are mature and market-proven:

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- Tier 2 contracts are well-managed and have cross-Agency collaboration occurring; and
- Tier 1 contracts are also well-managed, and Agency-wide strategies exist.

USAID successfully coordinated with OMB to recategorize awards made at the level of missions and regional bureaus from Tier 0 (unmanaged) to Tier 1 (managed or included in the total of SUM). Efforts within USAID to make progress against this APG included demonstrations, discussions, and engagement by senior executives with contracting staff; CM in briefings by our Evaluations and Policy Division at OUs (Washington and overseas), and encouraged the use of CM solutions by using USAID's Business Forecast to identify potential CM opportunities with subsequent consultations with Contracting Officers (COs).

The Department of State carried out a number of initiatives and activities in support of CM, which is both a CAP goal as well as a State APG. To help meet Federal-wide goals for CM, the Department identified and implemented acquisitions leveraging BIC and Tier 2 government-wide contracts, as well as developed Tier 1 agency-wide agreements to increase our total SUM. This includes the development of two new cloud software licensing agreements, transition of laptop and desktop acquisition to a BIC contract, and identification of existing Department of State agreements that meet the CM practices for Tier 1 status. Additionally, the Department will assess its global contract inventory to determine the extent to which BIC contract vehicles can meet overseas requirements.

Both State and USAID supported the accomplishment of CM initiatives by educating, training, and emphasizing the importance, capability, and benefits of CM to our contracting and IT workforces through training on the Acquisition Gateway and BIC contracts for our senior acquisitions management team and all of our contracting officers and contracting specialists. USAID also engaged the Office of Small and Disadvantaged Business Utilization (OSDBU) and small-business implementing partners to participate in BIC and other similar contracts.

A challenge for USAID is balancing the implementation of CM objectives and goals with those of APG 4.1.3, "Effective Partnering and Procurement Reform" (EPPR). EPPR is designed to expand the number of and diversify USAID's partners, including local organizations overseas, while CM is designed to increase efficiency through awarding large contracts to pre-selected partners.

Please refer to www.Performance.gov for more information on this APG, including the latest quarterly progress update and indicator analysis and methodology.

Strategic Goal 4: Ensure Effectiveness and Accountability to the American Taxpayer

Key Indicator: Percentage of addressable contract dollars awarded to Best in Class vehicles (State)

| | FY 2018 Q1 | FY 2018 Q2 | FY 2018 Q3 | FY 2018 Q4 | FY 2019 Q1 | FY 2019 Q2 | FY 2019 Q3 | FY 2019 Q4 |
|--------|------------------|------------------|------------------|------------------|------------------|------------------|------------------|------------------|
| Target | 35% | 35% | 35% | 35% | 37% | 37% | 37% | 37% |
| Actual | 32% | 52% | 37% | 40% | | | | |

Key Indicator: Percentage of addressable contract dollars awarded to Best in Class vehicles (USAID)

| | FY 2018 Q1 | FY 2018 Q2 | FY 2018 Q3 | FY 2018 Q4 | FY 2019 Q1 | FY 2019 Q2 | FY 2019 Q3 | FY 2019 Q4 |
|--------|------------------|------------------|------------------|------------------|------------------|------------------|------------------|------------------|
| Target | 10% | 20% | 25% | 35% | 10% | 20% | 30% | 40% |
| Actual | 0% | 29% | 30% | 36% | | | | |

Key Indicator: Percentage of contract dollars awarded to contract vehicles designated as Spend Under Management (State)

| | FY 2018 Q1 | FY 2018 Q2 | FY 2018 Q3 | FY 2018 Q4 | FY 2019 Q1 | FY 2019 Q2 | FY 2019 Q3 | FY 2019 Q4 |
|--------|------------------|------------------|------------------|------------------|------------------|------------------|------------------|------------------|
| Target | 5% | 10% | 15% | 18.06% | 5% | 10% | 15% | 21% |
| Actual | 2% | 8% | 15% | 25% | | | | |

Key Indicator: Percentage of contract dollars awarded to contract vehicles designated as Spend Under Management (USAID)

| | FY 2018 Q1 | FY 2018 Q2 | FY 2018 Q3 | FY 2018 Q4 | FY 2019 Q1 | FY 2019 Q2 | FY 2019 Q3 | FY 2019 Q4 |
|--------|------------------|------------------|------------------|------------------|------------------|------------------|------------------|------------------|
| Target | 45% | 56% | 65% | 70% | 56% | 66% | 70% | 75% |
| Actual | 77% | 56% | 59% | 74% | | | | |

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Key Milestones: (State)

| Due Date: FY and Quarter | Milestone | Milestone Status | Progress Update |
|-----------------------------|--|------------------|-----------------|
| FY 2018, Q2 | <ul style="list-style-type: none"> Conduct Annual Spend Analysis and Opportunity Assessment including FY 2017 figures Conduct semiannual CM Council meeting with representatives from across State to review spend analysis, opportunity assessment, BIC/SUM Goals, and to set Department-specific initiatives | Complete | N/A |
| FY 2018, Q3 | Assess Business Forecast for State future acquisitions over \$50 million and \$100 million to identify key opportunities to improve SUM/BIC usage | Complete | N/A |
| FY 2018, Q4 | Conduct semiannual CM Council meeting to assess progress against baseline and target goals for both BIC and total SUM for FY 2018. Coordinate with OMB regarding target and goal attainment | Complete | N/A |

Strategic Goal 4: Ensure Effectiveness and Accountability to the American Taxpayer

| Due Date: FY and Quarter | Milestone | Milestone Status | Progress Update |
|--------------------------|---|------------------|---|
| FY 2019, Q1 | Work with OMB to establish new goals or changes for goals and targets for FY 2019 | Complete | N/A |
| FY 2019, Q2 | <ul style="list-style-type: none"> Conduct semiannual CM Council Meeting with representatives from across State to review spend analysis, opportunity assessment, BIC/SUM Goals, and set Department-specific initiatives Increase CM outreach efforts to include two major engagement opportunities (e.g., acquisition management (AQM) “brown bags,” lessons learned events, etc.) | In Progress | On track, for example State’s eGov Program office’s FY 2020 IT Business Case Training included a CM panel discussion. |

Strategic Goal 4: Ensure Effectiveness and Accountability to the American Taxpayer

| Due Date: FY and Quarter | Milestone | Milestone Status | Progress Update |
|--------------------------|---|------------------|-----------------|
| FY 2019, Q3 | <ul style="list-style-type: none"> Identify and engage with each major acquisition organization within State to increase CM awareness for FY 2020 planning Increase CM outreach efforts to include two major engagement opportunities (e.g. AQM “brown bags,” lessons learned events, etc.) | Planned | |
| FY 2019, Q4 | Conduct semiannual CM Council meeting to assess progress against baseline and target goals for both BIC and total SUM for FY 2019. Coordinate with OMB regarding target and goal attainment | Planned | |

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Key Milestones: (USAID)

| Due Date: FY and Quarter | Milestone | Milestone Status | Progress Update |
|--------------------------|--|------------------|--|
| FY 2018, Q1 | Conduct webinar on CM for procurement personnel | Complete | Increased awareness of CM and how it can be implemented, what resources are available, and the benefits of leveraging a CM solution. |
| FY 2018, Q2 | Assess Business Forecast for USAID future acquisitions over \$50 million to identify key opportunities to address spending | Complete | USAID periodically reviewed the forecast for transactions that OUs should consider for CM. |
| FY 2018, Q3 | Complete access and training for USAID staff for CM and its application | Complete | USAID continued to engage and leverage the General Services Administration (GSA) for formal CM training for USAID. |

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| Due Date: FY and Quarter | Milestone | Milestone Status | Progress Update |
|--------------------------|--|------------------|---|
| FY 2018, Q4 | Assess status against baseline and target goals for both BIC and total SUM for FY 2018. Coordinate with OMB regarding target and goal attainment | Complete | USAID coordinated with OMB to address the applicability of CM to USAID's challenging operational environments. OMB allowed USAID to recognize awards made at the level of Missions and Regional Bureaus to be re-categorized from Tier 0 (unmanaged) to Tier 1 (managed or included in the SUM total) |
| FY 2019, Q1 | Work with OMB to establish new or changes to goals and targets for FY 2019 | Complete | Percentage and value targets have been established. |
| FY 2019, Q2 | Increase CM outreach efforts to include four major engagement opportunities (e.g. A&A "brown bags," lessons learned events, etc.) | In Progress | This remains on track. For example, CM will be a component of the upcoming USAID World-wide CO's Conference. |
| FY 2019, Q3 | Identify and engage with each major acquisition organization within USAID to increase CM awareness for FY 2020 planning | Planned | This is an ongoing effort that is planned and conducted as schedules permit. |
| FY 2019, Q4 | End-of-year measures collected. Assess status against FY 2019 baseline and targets | Planned | Still in planning phase and will be addressed at end of year. |

Strategic Goal 4: Ensure Effectiveness and Accountability to the American Taxpayer

Strategic Objective 4.2: Provide modern and secure infrastructure and operational capabilities to support effective diplomacy and development

Strategies for Achieving the Objective/Strategic Objective Progress Update

State and USAID will continue to promote and share services, where appropriate, to deliver cost-effective and customer-focused services and products. Informed by analysis grounded in data, State and USAID will focus on improving the quality of data to demonstrate foreign aid development results and help drive fact-based investment decisions to promote recipient self-reliance and resilience. The Department and USAID will increase data quality assurance measures, such as enforcing enterprise data standards, conducting periodic quality audits to assess the validity of data, and mitigating the root causes of systemic errors.

The Department and USAID will prioritize cloud-based tools for collaboration, make use of emerging technologies to provide greater reach and impact in delivering each organization's mission, and web-based systems that improve the accessibility and security of timely, relevant data to staff and decision makers both in the field and in Washington. USAID has already achieved 100 percent cloud adoption, including the migration of the Agency's information to a new cloud-based data center and disaster recovery site. Further, in November 2018, USAID launched a new, improved Development Data Library (DDL) platform as part of USAID's DIS Work Stream 5. The DDL is USAID's central data repository, which preserves and accelerates the re-use of USAID-funded data. The new platform offers an improved data submission workflow to help implementing partners register and submit data that document the results of USAID-funded activities. It also delivers robust search, discovery, and retrieval features, including well-documented Application Programming Interfaces (APIs) and in-platform visualization capabilities. The contents of the DDL continue to grow. To date, the DDL hosts more than 370 unique datasets and has averaged more than 1,000 users per month since its launch. Additionally, USAID works to protect its networks, systems, and information from unauthorized access or disruption while continually providing essential services and protecting privacy. In the fourth quarter of 2018, OMB and the Department of Homeland Security (DHS) gave USAID an overall cybersecurity risk management rating of "Managing Risk," meaning the Agency is able to actively manage the cybersecurity risk to the enterprise. This rating placed USAID in the top percentile of Federal agencies rated as required by the Presidential Executive Order on Strengthening the Cybersecurity of Federal Networks and Infrastructure (M-17-25).

Wireless access to data will enhance productivity within State and USAID Offices. To facilitate centralized control of IT resources, the Department will improve the governance processes to ensure its Chief Information Office (CIO) is positioned to meet legislative requirements for control over Department-wide IT spending and systems — an effort that has already occurred at USAID. Tiered trust security will allow access to data based on the level of trust established by user identification, device, and location. The Department will modernize legacy systems and software, which will include efforts to reduce the number of disjointed data warehouses.

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Employing business intelligence tools will allow the aggregation, analysis, research, and evidence-based assessment of U.S. foreign-policy and development work for data scientists.

State will continue to expand and improve its global supply chain platform, the Integrated Logistics Management System (ILMS). State will train more staff at posts to use ILMS to reduce their use of resources, monitor for fraud, and streamline logistics and procurement processes. The Department may develop new ILMS modules to expand posts' capabilities further, for example by producing new types of reports that analyze different data. Other agencies have shown interest in using this logistics platform. State will encourage them to participate in this shared service, which would reduce costs to each agency. However, the inability to conduct pilot tests, site visits, and training could potentially hinder the Department's ability to expand the ILMS platform and gain the efficiencies that come from it.

Performance Goal 4.2.1: Improved Capacity to Manage Development and International Assistance

Performance Goal Statement: By 2022, provide USAID staff access to integrated and accurate foreign-assistance portfolio data to better assess performance and inform decision-making. (USAID)

Performance Goal Overview/Progress Update

USAID will provide a unified portfolio-management system that every USAID mission, bureau, and independent office will use. Once fully deployed, the DIS will enable USAID to have a comprehensive view of all development activities. DIS will meet the Agency's demand for streamlined operational and data management support and allow USAID staff to provide a cohesive story about USAID's activities, reduce the data-management burden, facilitate the analysis of data and evidence-based decision-making, support adaptive management, and streamline reporting. DIS' five workstreams coincide with the functionality that will be available to staff, which includes performance management, budget planning and monitoring, project management and procurement planning, portfolio viewer and development data library.

Data migration for the Performance Management and Budget Planning and Monitoring workstreams was deferred to ensure there is no risk of data loss or corruption. There is an emphasis on data migration given lessons learned from challenges encountered during the initial deployment of DIS' predecessor system, AIDTracker+ and due to the level of coordination needed within USAID. Data migration is not occurring en masse but planned around ongoing mission operations and the availability of OU support. As an interim solution, USAID deployed a Data Migration Tool to these OUs to ensure no data will be lost during migration, data are readily available for required reporting, and there is uninterrupted collection of indicator data by the OUs.

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While the Performance Management and Budget Planning and Monitoring workstreams have been delayed to protect the integrity of the data, part of the Project Management and DDL workstreams were deployed in the fourth quarter of 2018 and the first quarter of 2019, respectively. Procurement functionality in Work Stream 3 was deployed in July 2018 to support over 800 active users of the A&A Planning system (A&A Plan) and will be enhanced in further releases. Work Stream 5, the DDL, was deployed to over 1,000 users in November of 2018 and will continue to be enhanced as well.

Key Indicator: Number of Operating Units Adopting DIS

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 Baseline | FY 2019 | FY 2020 |
|--------|---------|---------|---------|------------------|---------|---------|
| Target | N/A | N/A | N/A | 7 | 6 | 35 |
| Actual | N/A | N/A | N/A | 0 | | |

Indicator Analysis

The DIS data model is continuously evolving under the Agile methodology. Data migration and speed of deployment are both factors that impact the number of OUs adopting DIS.

USAID encountered unforeseen challenges beyond its control that resulted in DIS deployment delays. Deployment was impacted by a five-month delay in getting the deployment provider on contract. There was also an additional delay of more than two months for getting contractor personnel through the security clearance process. USAID revised the number of users adopting DIS target as a result of the delays. The revised targets are based on the number of OUs actively using AIDTracker+.

Indicator Methodology

USAID revised its schedule for the DIS in early 2018, and created estimates of deployment to OUs based on an accelerated project timeline. The schedule for deployment of each module depends to a degree on the development milestones reached, as well as successful deployment and user adoption activities. An OU is considered to have adopted DIS once deployment activities, such as data migration, user training, and OU guidance to staff, are complete.

Strategic Goal 4: Ensure Effectiveness and Accountability to the American Taxpayer

Key Milestones:

| Due Date: FY and Quarter | Milestone | Milestone Status | Progress Update |
|-----------------------------|--|--|--|
| FY 2018, Q3 | <ul style="list-style-type: none"> First release of workstream 1 (WS1) Performance Management Agency pilot of WS5 DDL AIDTracker+ is decommissioned | <ul style="list-style-type: none"> Complete Complete Complete | <ul style="list-style-type: none"> The Q3 release of DIS was tested by a selection of Missions to direct ongoing development AT+ and the Force.com version of A&A Plan were decommissioned Avoided \$2.2M annual license fee A&A Plan replatformed to merge with DIS |
| FY 2018, Q4 | <ul style="list-style-type: none"> Second release of WS1 Performance Management First release of WS2 Budget Planning and Monitoring First Release (beta) of WS5 DDL | <ul style="list-style-type: none"> Complete Delayed Complete | <ul style="list-style-type: none"> The second release of WS1 was also tested by a subset of Missions The release of WS2 was delayed to focus on WS1 |
| FY 2019, Q1 | <ul style="list-style-type: none"> WS5 DDL customization based on partner engagement and beta release feedback | <ul style="list-style-type: none"> Complete | <ul style="list-style-type: none"> WS5 DDL went live on 11/9/18 and was opened to over 1,000 end users on 11/13/18 |

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| Due Date: FY and Quarter | Milestone | Milestone Status | Progress Update |
|--------------------------|---|---|--|
| FY 2019, Q2 | <ul style="list-style-type: none"> • Second release WS5 DDL • Third release of WS1 Performance Management • Second release of WS2 Budget Planning & Monitoring • OPS Master tool decommissioned | <ul style="list-style-type: none"> • Complete • Delayed • Delayed • Delayed | <ul style="list-style-type: none"> • Delayed until Q3 due to partial government lapse in appropriations |
| FY 2019, Q3 | <ul style="list-style-type: none"> • First release of WS4 Portfolio Viewer • First release of WS3 Project Management and Procurement Planning • A&A Plan decommissioned | <ul style="list-style-type: none"> • In progress • In progress • Planned | <ul style="list-style-type: none"> • Portions of the portfolio viewer are released as needed to support functionality deployed in workstreams 1 and 2 • Procurement Planning (3b Phase 1) was live in July of 2018 and portions of Project Design (3a) have been completed |
| FY 2019, Q4 | <ul style="list-style-type: none"> • Second release of WS3 Project Management and Procurement Planning • Final release of WS4 Portfolio Viewer | <ul style="list-style-type: none"> • Delayed | <ul style="list-style-type: none"> • A delay in funding has pushed this into FY 2020 |

Performance Goal 4.2.2: Expand and Leverage Logistics Analytics Capabilities

Performance Goal Statement: By 2022, establish a plan to expand and leverage analytics capabilities of the Department's integrated global logistics systems to drive data-informed decisions, efficiencies, and/or improved accountability in the supply chain. (State)

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Performance Goal Overview/Progress Update

The Department's ILMS analytics leverages transactional data to enable data-driven decision-making for State supply chain managers. Through logistics business intelligence delivered to posts via key service metrics, ILMS has already achieved an estimated annual cost savings of \$17 million in Furniture and Appliance Pool costs and helped reduce prompt payment penalties to transportation vendors by \$1 million a year. Using business intelligence reports generated in ILMS, posts have achieved an \$11 million reduction in expendables inventory and saved \$39.97 million in disposed vehicles that were not replaced. By expanding and leveraging its analytical capabilities, the Department can derive additional benefits from streamlining processes, reducing data entry, and eliminating cuff systems, enabling personnel to engage in more value-added activities.

A top priority for successful post operations (and a continuing requirement as the Department increases use of such technology in the workplace) is deployment of new ILMS modules and continued training support for posts. State's training programs teach users in the field to improve the end-to-end supply chain across each General Services Officer portfolio using key ILMS reports and data analytics and highlight important policies for managing procurements and assets. Training is offered through online tutorials, webinars, formal classroom offerings with the Foreign Service Institute (FSI), outreach to regional executive offices and posts, and customized on-site training for posts most in need. Any reduction in funding to maintaining a robust training agenda increases the risk to posts in achieving the full breadth of benefits associated with ILMS and its analytics capabilities.

Continuation of the ILMS Analytics Data Forensics is currently unfunded in FY 2019/2020 due to budget cuts, which represents an additional risk to the program. If funded, the ILMS Analytics Data Forensics program could expand to investigate trends in Department procurements an area known to be susceptible to fraud. This program would examine global historical purchases to identify trends and targeted areas for further review of anomalous behavior, such as 1) vendor-Procurement Agent relationships; 2) price trends and thresholds; and 3) vendor behaviors. Results of the risk assessment would be used to 1) inform training policies; 2) identify improvements in internal management controls; and 3) combat fraud at post. In addition to procurement, ILMS could perform a similar statistical analysis to identify anomalies in fuel operations overseas, a historic area of vulnerability for oversight.

Strategic Goal 4: Ensure Effectiveness and Accountability to the American Taxpayer

Key Indicator: Supply Chain Cost Savings

| | FY 2015 | FY 2016 Baseline | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------------------|------------------|--------------------|--------------|--------------|
| Target | N/A | N/A | N/A | \$10 million | \$10 million | \$10 million |
| Actual | N/A | \$10.1 million | \$6.2 million | \$16.65 million | | |

Indicator Analysis

State achieved the \$16.65 million in cost savings through several key initiatives resulting from data driven decisions informed through ILMS and supply chain analytics.

- \$3.15 million in travel cost through the use of travel International Rate Desk and \$1.85 million through the use of our Online Travel Booking Tool.
- \$0.634 million Dispatch Agency warehouse storage cost savings resulting from more efficient shipping practices.
- \$1.6 million warehouse reduction across FY 2018 resulting inventory optimization efforts conducted at 10 posts.
- \$.851 million in net stock reduction across FY 2018 resulting from expendables outreach efforts conducted at 10 posts.
- \$4.4 million in Unclassified Pouch shipping charge savings resulting from strategically sourced lane rates.
- \$1.17 million in annual cost avoidance by reducing the size of overseas fleet with a one-time FY 2018 cost avoidance of \$39.97 million.
- \$2.26 million in annual Furniture and Appliance Pool savings by reduction in FAP inventory.
- \$0.738 million in annual ICASS Furniture and Appliance Pool buy-in costs.

Indicator Methodology

Data source: State will use the ILMS high-performance analytic appliance data warehouse, which is replicated daily from the ILMS transactional databases.

Data quality: The Department's use of metrics improves data quality by identifying erroneous transactions such as trip tickets where mileage driven information may have been entered incorrectly. The Department highlights these transactions for posts. The corrected data results in more accurate International Cooperative Administrative Support Services billing and the ability to make better informed business process decisions.

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Performance Goal 4.2.3: Implement key elements of the Federal Information Technology Acquisition Reform Act (FITARA)

Performance Goal Statement: By 2022, the Department will fully implement the key elements of FITARA, including IT Acquisitions oversight, IT Budget oversight, and IT Workforce competency. (State)

Performance Goal Overview/Progress Update

The Federal IT Acquisition Reform Act (FITARA) established three key elements of oversight authority under the CIO, including Department-wide IT acquisitions, IT budget, and IT workforce. The CIO, in coordination with other Department bureaus, to include the Bureaus of Budget and Planning (BP), Administration (A), Comptroller and Global Financial Services (CGFS), Human Resources (HR), and FSI, has developed a plan to implement FITARA.

Implementation of this plan will enhance the management of IT across the Department and strengthen the authorities, responsibilities, and accountability of the Department's CIO. Giving the CIO greater authority and responsibility over IT decisions, management services, and security will increase transparency, accountability, and the CIO's ability to appropriately address duplicative systems and ensure that IT investments are sound and are resulting in systems that efficiently and effectively deliver mission aligned business capabilities.

The Department will continue to evolve its policies, processes, systems, and operations to ensure that the principles outlined in FITARA and implemented at the Department will result in the effective and efficient delivery of IT Department-wide. Responsibility for implementing FITARA extends beyond the CIO, who is committed to working with BP, A, HR, CGFS, and FSI. The principles and initiatives outlined in the FITARA implementation plan include measuring three key indicators associated with monitoring this goal.

Key Indicator: Percent of IT procurements reviewed and approved by the Department CIO that are aligned to specific IT Investment through the Department's Capital Planning and Investment Control (CPIC) process

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 40% | 60% | 65% |
| Actual | N/A | N/A | N/A | 31% | | |

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Indicator Analysis

This indicator assesses the CIO's active involvement in the approval of acquisition strategies and plans for the Department's planned IT spend, as outlined in the Office of Management and Budget's (OMB) FITARA guidance, M-15-14. Measuring CIO involvement in acquisitions builds on the Department's more mature process for developing its IT budgetary resource requirements. Starting in FY 2018, the Department identified IT acquisition actions and established a review process to ensure CIO approval.

The results revealed the CIO reviewed and approved \$1.188 billion, or roughly, 50 percent of the Department's total \$2.3 billion IT spend reported on the IT Dashboard (www.itdashboard.gov). In FY 2018, the CIO was involved in 31 percent, \$716.84 million, of the Department's acquisitions plans and strategies that align with a specific IT investment through the capital-planning program, short of its target. The gap between the contract commitments formally approved by the CIO and what the Department reports on the IT Dashboard is being addressed through training, system changes, and policy updates.

Indicator Methodology

Data Source: The data for this indicator came from the reported IT acquisitions reviewed and approved by the CIO. This data is analyzed based on the IT Portfolio Summary information that is prepared and submitted to OMB as part of the annual budget request.

Data Quality: Bureaus, offices, and overseas posts self-report the IT acquisitions data on a SharePoint site. Tracking is manual and a team reviews and crosswalks IT acquisitions and investment information. Maturing these processes will improve the Department's ability to

identify IT plans that require expenditure, and track those IT plans in the budget, acquisition, and accounting systems. Identifying IT plans in all three systems may provide the CIO enterprise-wide visibility into the Department's planned and actual IT expenditures. As the Department better categorizes its IT environment, the indicator will become more useful to measure the CIO's involvement in IT acquisitions.

Key Indicator: Percent of IT funding the Department CIO has direct review and oversight of

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 50% | 100% | 100% |
| Actual | N/A | N/A | N/A | 100% | | |

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Indicator Analysis

IT is a critical resource underpinning most business operations in the Department. As part of the Department's IT budget process, the CIO requested bureau input on current and future plans that involve IT. In 2018, the CIO implemented a requirement that bureau executives certify their FY 2020 IT resource requests to ensure effective oversight.

In FY 2018, through the Department's dedicated enterprise Information Technology Central Fund, the CIO had oversight of 100 percent of the Department's \$2.2 billion IT budget. Since the FY 2018 result exceeded State's FY 2018 target of 50 percent, the Department adjusted its out-year targets upward.

Indicator Methodology

Data Source: The Department used budget data from the CPIC process. The Department's budget officers are responsible for the development of bureau's budgets and the IT controls across the Department's bureaus and offices.

Data Quality: The CIO required bureaus to submit executive certification of their IT resource plans, which includes IT spending actuals. The CPIC process compared the certified plans and budget information against other available financial datasets to validate accuracy. Bureaus able to satisfy the requirements are included in the indicator. However, at this time the Department does not have this specific level of information, and a fully deployed certification process with full compliance across the enterprise. The recent partial government shutdown prevented the Department from full implementation for the FY 2020 Congressional Budget Justification Submission. The Department will continue to integrate this certification process with the FY 2021 budget formulation.

Key Indicator: Percent of Civil Service and Foreign Service IT workforce with known cloud-specific certifications on file

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 10% | 20% | 20% |
| Actual | N/A | N/A | N/A | 4.6% | | |

Indicator Analysis

The indicator language has been revised to better clarify what is being measured.

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For FY 2018, three certifications were considered qualified as cloud credentials:

1. Microsoft Certified Solutions Expert (MCSE): Cloud Platform & Infrastructure;
2. Microsoft Certified Solutions Expert (MCSE): Productivity; and
3. Certified Cloud Security Professional (CCSP).

Altogether, there were 39 active IT Foreign Service and Civil Service full-time equivalent (FTE) employees registered in the IT Skills Incentive Program (SIP) database with a cloud credential at the end of FY 2018. This means that out of 845 participants in the IT SIP database, there is a 4.6 percent rate of known cloud certifications.

FY 2018 served as our baseline year and we expect changes to the methodology in FY 2019. Currently, the IT SIP operates on a three-year clock where the validity of the employee's certification will likely drop off as employees do not obtain additional cloud certifications approved for the IT SIP when their three-year clock expires. In addition, certifications approved for the IT SIP are reviewed routinely by the IT SIP Panel to ensure approved certifications continue to align with the Department's IT Strategic Plan, the Bureau of Information Resource Management (IRM) goals and objectives, and have not been retired by the accrediting entity. When new certification changes are rolled out, there will also be a lag as to when new certifications are approved by the IT SIP panel and when employees will start submitting newly approved credentials including those for cyber security.

IRM recognizes that individuals both in and not enrolled in the skills incentive program may have cloud certifications that are not reflected in this FY 2018 metric (because the program requirements dictate that participants can only be eligible for one certificate at a time). IRM will need to identify a different data collection mechanism in the future to ensure a more accurate reflection of the workforce with proficiency in cloud-based competencies.

Indicator Methodology

Data Source: The data for this FY 2018 indicator comes from the FSI SIP database and is reflected in the newly developed IT SIP dashboard that captures all participant current SIP certifications and credentials, and displays this information for all IT employees participating in the program. The database facilitates the submission of applications and retains participant information for real-time analysis on the number of IT FTEs participating and the count of all submitted IT certifications. IRM continues to seek additional data sources to reflect a more accurate picture.

Data Quality: Currently, the certification data in the FSI SIP database is considered accurate because participants can verify their credentials have been uploaded into the database appropriately. The new application data is pulled from and verified through the Global Employee Management System (GEMS), which initially validates employees' personal information and eligibility based on their employee ID number and skill code. Audits are performed as planned,

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and, if there is a need, to resolve any discrepancies that may arise. IRM decides which IT SIP certifications count toward this indicator.

Performance Goal 4.2.4 (Agency Priority Goal): IT Modernization

Performance Goal Statement: By September 30, 2019, the Department will establish a secure cloud-based platform to improve Information Technology (IT) service delivery by: implementing an Identity Management Solution (IDMS) for all Department systems, transitioning users to cloud collaboration platforms, closing redundant data centers, modernizing target architecture, and continuing to deploy wireless (WiFi) Department wide. (State)

Performance Goal Overview/Progress Update

The Department made considerable progress in achieving its IT Modernization APG. By the end of FY 2018, the Department was well on its way to establishing a secure cloud-based platform to improve IT service delivery. Microsoft Office Online is now available to 100 percent of our users and additional cloud-based capabilities are being rapidly deployed. An IDMS solution and acquisition plan was developed to enhance security and increase user accessibility. To further support mobility, the WiFi pilot program was successfully completed and has transitioned to the operations stage where new installations will occur at a faster rate. In accordance with the Data Center Optimization Initiative (DCOI), 21 domestic data centers were closed in FY 2018. Furthermore, the Chief Information Officer established a Cloud Program Management Office to manage the architecture, planning, and delivery of a secure, enterprise-wide, multi-cloud ecosystem.

The IT Modernization APG is a result of the Department's IT Modernization initiative.

Please refer to www.Performance.gov for more information on this APG, including the latest quarterly progress update and indicator analysis and methodology.

Key Indicator: Percentage of users that are leveraging the enterprise IDMS solution thus increasing efficiencies

| | FY 2018 Q1 | FY 2018 Q2 | FY 2018 Q3 | FY 2018 Q4 | FY 2019 Q1 | FY 2019 Q2 | FY 2019 Q3 | FY 2019 Q4 |
|--------|------------------|------------------|------------------|------------------|------------------|------------------|------------------|------------------|
| Target | N/A | N/A | N/A | 0% | N/A | N/A | N/A | 90% |
| Actual | N/A | N/A | N/A | 0% | | | | |

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Key Indicator: Percentage of employees transitioned to primary cloud collaboration platform

| | FY 2018 Q1 | FY 2018 Q2 | FY 2018 Q3 | FY 2018 Q4 | FY 2019 Q1 | FY 2019 Q2 | FY 2019 Q3 | FY 2019 Q4 |
|--------|------------|------------|------------|------------|------------|------------|------------|------------|
| Target | N/A | N/A | N/A | 50% | N/A | N/A | N/A | 90% |
| Actual | N/A | N/A | N/A | 52% | | | | |

Key Indicator: Percentage of domestic data centers that are closed due to efficiencies of the cloud

| | FY 2018 Q1 | FY 2018 Q2 | FY 2018 Q3 | FY 2018 Q4 | FY 2019 Q1 | FY 2019 Q2 | FY 2019 Q3 | FY 2019 Q4 |
|--------|------------|------------|------------|------------|------------|------------|------------|------------|
| Target | N/A | N/A | N/A | 15% | N/A | N/A | N/A | 30% |
| Actual | N/A | N/A | N/A | 17% | | | | |

Key Indicator: Percentage of Department domestic buildings and overseas posts that support WiFi

| | FY 2018 Q1 | FY 2018 Q2 | FY 2018 Q3 | FY 2018 Q4 | FY 2019 Q1 | FY 2019 Q2 | FY 2019 Q3 | FY 2019 Q4 |
|--------|------------|------------|------------|------------|------------|------------|------------|------------|
| Target | N/A | N/A | N/A | 10% | N/A | N/A | N/A | 30% |
| Actual | N/A | N/A | N/A | 4% | | | | |

Key Indicator: Percentage of systems designed to the target architecture

| | FY 2018 Q1 | FY 2018 Q2 | FY 2018 Q3 | FY 2018 Q4 | FY 2019 Q1 | FY 2019 Q2 | FY 2019 Q3 | FY 2019 Q4 |
|--------|------------|------------|------------|------------|------------|------------|------------|------------|
| Target | N/A | N/A | N/A | 0% | N/A | N/A | N/A | 20% |
| Actual | N/A | N/A | N/A | 0% | | | | |

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Key Indicator: Percentage of High Impact Systems that have ATO

| | FY 2018 Q1 | FY 2018 Q2 | FY 2018 Q3 | FY 2018 Q4 | FY 2019 Q1 | FY 2019 Q2 | FY 2019 Q3 | FY 2019 Q4 |
|--------|------------------|------------------|------------------|------------------|------------------|------------------|------------------|------------------|
| Target | N/A | N/A | N/A | 65% | N/A | N/A | N/A | 75% |
| Actual | N/A | N/A | N/A | 70% | | | | |

Key Indicator: Percentage of Moderate Impact Systems that have ATO

| | FY 2018 Q1 | FY 2018 Q2 | FY 2018 Q3 | FY 2018 Q4 | FY 2019 Q1 | FY 2019 Q2 | FY 2019 Q3 | FY 2019 Q4 |
|--------|------------------|------------------|------------------|------------------|------------------|------------------|------------------|------------------|
| Target | N/A | N/A | N/A | 46% | N/A | N/A | N/A | 60% |
| Actual | N/A | N/A | N/A | 53% | | | | |

Key Indicator: [Intrusion and Detection Prevention] Percentage of DMARC set up to default 'reject'

| | FY 2018 Q1 | FY 2018 Q2 | FY 2018 Q3 | FY 2018 Q4 | FY 2019 Q1 | FY 2019 Q2 | FY 2019 Q3 | FY 2019 Q4 |
|--------|------------------|------------------|------------------|------------------|------------------|------------------|------------------|------------------|
| Target | N/A | N/A | N/A | 55% | N/A | N/A | N/A | 100% |
| Actual | N/A | N/A | N/A | 55% | | | | |

Key Milestones: Improve Enterprise-Wide Data Accessibility

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| Due Date: FY and Quarter | Milestone | Milestone Status | Progress Update |
|--------------------------|---|------------------|--|
| FY 2018, Q1 | <ul style="list-style-type: none"> Implement requirements gathering and analysis | Complete | |
| FY 2018, Q3 | <ul style="list-style-type: none"> Identify a PM and submit IDMS business case to the eGov Program Management Office (PMO) | Complete | The business case was submitted in January and the select phase package was submitted in June. |
| FY 2018, Q3 | <ul style="list-style-type: none"> Design IDMS solution and develop acquisition plan | Complete | The solution and acquisition plan was submitted as part of the select phase package in June. |
| FY 2018, Q4 | <ul style="list-style-type: none"> Pilot Cloud application/integration access through IDMS solution | Delayed | Due to delays in the release of designated IT Modernization funding streams, acquisition of all required software was not completed until the end of Q4 FY 2018. Milestone expected to be achieved Q1 FY 2019. |
| FY 2019, Q1 | <ul style="list-style-type: none"> First production, on premise application access via IDMS | Planned | |
| FY 2019, Q2 | <ul style="list-style-type: none"> Expand legacy system integration with IDMS | Planned | |

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Key Milestones: Real Time Collaboration/Work Anytime, Anywhere

| Due Date: FY and Quarter | Milestone | Milestone Status | Progress Update |
|-----------------------------|---|------------------|--|
| Cloud Collaboration | | | |
| FY 2018, Q1 | <ul style="list-style-type: none"> Implement requirements gathering and analysis | Complete | |
| FY 2018, Q3 | <ul style="list-style-type: none"> Identify a PM and submit business case to the eGov PMO | Complete | A Cloud Program Management Office (CPMO) has been identified and the Real Time Collaboration business case has been updated. |
| FY 2018, Q3 | <ul style="list-style-type: none"> Deploy collaboration capabilities to targeted domestic and overseas locations, including Outlook Online, Skype, SharePoint Online, OneDrive Web, OneDrive Sync, InTune, and Office Online | Delayed | MS Office Online and Skype is available to 100% of Department users, while 52% are using cloud-based mail capabilities. Other collaboration capabilities are still being deployed. |
| FY 2019, Q1 | <ul style="list-style-type: none"> Expand domestic and overseas cloud collaboration capabilities | Planned | |
| Overseas and Domestic WiFi | | | |
| FY 2018, Q1 | <ul style="list-style-type: none"> Finalize pilot and develop plan | Complete | |

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| Due Date: FY and Quarter | Milestone | Milestone Status | Progress Update |
|--|---|------------------|--|
| FY 2018, Q3 | <ul style="list-style-type: none"> Identify a PM and submit WiFi business case to the eGov PMO | Complete | A PM has been identified and a business case was submitted on August 31 to eGov PMO. |
| FY 2018, Q3 | <ul style="list-style-type: none"> Identify target domestic and overseas locations for WiFi install/upgrades | Complete | WiFi pilot program finalized. |
| FY 2018, Q4 | <ul style="list-style-type: none"> Deploy WiFi to planned FY 2018 locations | Complete | All identified FY 2018 locations are complete. |
| FY 2019, Q1 | <ul style="list-style-type: none"> Expand domestic and overseas WiFi Deployment | Planned | |
| Mobile Device Management (MDM) and Conversion Strategy | | | |
| FY 2018, Q1 | <ul style="list-style-type: none"> Implement requirements gathering and analysis | Complete | |
| FY 2018, Q2 | <ul style="list-style-type: none"> Initiate pilot and develop plan | Complete | Pilot and plan complete. |
| FY 2018, Q3 | <ul style="list-style-type: none"> Identify a PM and submit MDM business case to the eGov PMO | Complete | A PM has been identified, and the business case is developed. |
| FY 2018, Q4 | <ul style="list-style-type: none"> Begin upgrade/modernization of MDM Solution | Delayed | 75% of infrastructure is complete to support 50,000 users. |
| FY 2019, Q2 | <ul style="list-style-type: none"> Expand upgrade/modernize MDM Solution | Planned | |

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| Due Date: FY and Quarter | Milestone | Milestone Status | Progress Update |
|--------------------------------|--|------------------|-----------------|
| FY 2019, Q4 | <ul style="list-style-type: none">Retire Legacy MDMs | Planned | |

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Key Milestones: Modernize IT Systems and System Delivery

| Due Date: FY and Quarter | Milestone | Milestone Status | Progress Update |
|--|---|------------------|--|
| Governance Initiatives & IT Service Delivery – Enterprise Architecture (EA) Governance | | | |
| FY 2018, Q1 | <ul style="list-style-type: none"> Implement requirements gathering and analysis | Complete | |
| FY 2018, Q3 | <ul style="list-style-type: none"> Identify a PM and submit EA business case to the eGov PMO | Delayed | A PM has been identified and the business case is being developed and will be completed in Q1 FY 2019. |
| FY 2018, Q4 | <ul style="list-style-type: none"> Develop a modernized EA Program focused on services | Delayed | A project plan plus associated program budget and resources are being executed iteratively to generate the appropriate EA staff and services to be completed Q1 FY 2019. |
| FY 2019, Q1 | <ul style="list-style-type: none"> Build IT Modernization focused EA roadmap(s) | Planned | |
| FY 2019, Q3 | <ul style="list-style-type: none"> Update IT portfolio investments and systems modernization using modernized EA | Planned | |
| Governance Initiatives & IT Service Delivery – Service Delivery Governance | | | |
| FY 2018, Q1 | <ul style="list-style-type: none"> Implement requirements gathering and analysis | Complete | |

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| Due Date: FY and Quarter | Milestone | Milestone Status | Progress Update |
|--------------------------|---|------------------|--|
| FY 2018, Q3 | <ul style="list-style-type: none">Identify a PM and submit service delivery business case to the eGov PMO | Delayed | Immediately following the establishment of these APG baselines, the Department's Redesign program was brought to an early close, and several of its priority initiatives, in various states of planning maturity, were transitioned to Bureau-level portfolios. A PM will be identified to lead the service-delivery initiative, and a business case package defining the effort will be submitted to the DOS eGov PMO by the end of Q2 FY 2019. |

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| Due Date: FY and Quarter | Milestone | Milestone Status | Progress Update |
|--------------------------|---|------------------|---|
| FY 2018, Q4 | <ul style="list-style-type: none"> Develop new Service Delivery Model | Delayed | <p>The Department developed an initial draft of a DOS Service Taxonomy in September 2018, which represents the service layer of the TBM framework. The Department is participating in government-wide working groups to mature TBM implementation guidance and will refine its plans based on these efforts. These plans will mature service-delivery through improved alignment of the TBM framework to IT governance, Change Management, CPIC Investment lifecycle management, IT Service Management, Performance tracking/reporting, and Customer Requirements Management.</p> |
| FY 2019, Q3 | <ul style="list-style-type: none"> Upgrade IT portfolio investments and systems modernization using new service delivery model | Planned | |

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Key Milestones: Improve Enterprise-Wide Data Accessibility & Security & Standard Security Controls for Cloud Platform

| Due Date: FY and Quarter | Milestone | Milestone Status | Progress Update |
|---|---|------------------|---------------------------------------|
| Cybersecurity and Standard Security Controls for Cloud Platform | | | |
| FY 2018, Q4 | <ul style="list-style-type: none"> Complete the Enterprise Information Security Program Plan | Complete | This Plan was completed in September. |
| FY 2019, Q1 | <ul style="list-style-type: none"> [For intrusion detection and prevention] Increase the DMARC set to default 'reject' to 100% | In Progress | Q4 FY 2018 DMARC rate is at 55.5%. |
| FY 2019, Q4 | <ul style="list-style-type: none"> In support of the standard security controls for the cloud platform, complete the Amazon Web Services Information Security Program Plan | Planned | |
| FY 2019, Q4 | <ul style="list-style-type: none"> Increase High Impact Systems that have authorization to operate (ATO) to 75% | In Progress | Q4 FY 2018 is 70%. |
| FY 2019, Q4 | <ul style="list-style-type: none"> Increase Moderate Impact Systems that have ATO to 60% | In Progress | Q4 FY 2018 is 53%. |

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Strategic Objective 4.3: Enhance workforce performance, leadership, engagement, and accountability to execute our mission efficiently and effectively

Strategies for Achieving the Objective/Strategic Objective Progress Update

The Department and USAID both seek to improve flexibility, cost-effectiveness, and strategic human-capital support. Both agencies will continue to establish consistent, measurable standards for human resources (HR) processes and procedures, performance goals, and continuous improvement initiatives where needed. For example, the Department completed competency studies for the Foreign Service and Civil Service IT workforces resulting in 13 recommendations for improvements in compensation, training, and other IT initiatives.

In FY 2018, USAID successfully accomplished significant HR Transformation initiatives. These include the human capital framework policy, a new approach to prioritizing Foreign Service positions, a one-stop portal (LaunchPad) that allows staff to submit personnel action requests and access online employee information, and a new Agency Leadership Philosophy.

The Department and USAID will each continue to review HR functions and recommend operating efficiencies where appropriate to enhance flexible service-delivery and provide global service and support to multiple organizational units more uniformly. Centralizing, consolidating, and automating transactions will allow HR staff at both organizations to provide more strategic human-capital support. USAID will continue to streamline processes and implement new IT systems consistent with its HR Transformation and [Human Capital \(HC\) Framework policy](#) (from October 2018), such as further advancing the Foreign Service assignments process, the new web-based Getting-to-Post (G2P) system to manage the logistics associated with Foreign Service Officers transferring to a new post, and ePerformance. USAID will continue to make improvements to LaunchPad and focus on accountability of Office of Human Capital and Talent Management (HCTM) staff in response times for service tickets submitted.

The Department and USAID will continue to build upon an integrated approach to talent-management that maximizes transparency and the engagement, motivation of, and accountability for employees; and adopts effective workforce-planning tools and hiring programs with best practice metrics and targets. For example, the Department, along with many other federal agencies, recently participated in a Talent Management and Succession Planning (TM&SP) Workgroup to come up with ways to advance TM&SP practices across government and to identify and develop tools and resources that will help agencies implement TM&SP programs.

State will develop talent management platforms tailored to each individual organization to better align personnel with positions, and streamline workforce strategic planning. In a series of

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stages, the Department is implementing TalentMAP, an enhanced online assignment bidding tool designed to replace the Department's existing Foreign Service Bidding (FSBid) application.

In 2018, the Department implemented the third wave of the phased enrollment of the Foreign Service Family Reserve Corps (FSFRC) and progressed to open enrollment. The FSFRC supports the Department's goal of more quickly mobilizing Appointment Eligible Family Members (AEFM) to fill available positions in missions overseas, which allows the Department to improve efficiency in the hiring process. In FY 2019, USAID will finalize the automation of a workforce planning tool, Human Capital Data Analytics, to effectively manage its workforce and automate various standardized and ad hoc reports.

The Department and USAID continue to emphasize professional development, and empower leadership at all levels. This year, State and USAID launched a domestic exchange program between the two agencies. Our approach promotes diversity and inclusion, and will help increase employee wellness. Also to achieve this objective, the Department has increased education and awareness of services to support employees with disabilities through training, webinars, Department Notices/ALDACS, and implementation of the Disability Dashboard, a one-stop resource on OpenNet. The Department also created a dedicated e-mailbox and searchable database of candidates and subsequently referred 433 Schedule A candidates to Bureau HR POCs and hiring managers.

State will continue to enhance performance-management tools that enable frequent and substantive discussions, including multisource feedback, tied to performance expectations. Most recently, the Department instituted a requirement that calls for supervisors to meet weekly or bi-weekly with employees on Performance Improvement Plans (PIPs), followed by a recap email to establish a contemporaneous record of timely performance feedback. The Department's Community of Practice for HR Employee Relations professionals focused in 2018 on several best practices for addressing conduct and performance issues, and State conducted in-house training for HR professionals on establishing and monitoring PIPs. Additionally, following the Department of State's first agency-wide Results-Oriented Performance Culture Human Capital Accountability Review (HCAR), an Impact Document was created and widely distributed to share 29 performance management and 23 recruitment plans of action and best practices.

Increasing leadership and diversity classes will contribute to these outcomes. For example, for the Foreign Service, the Department began providing additional training to our staff and leadership; significantly expanded plans for outreach on Employee Evaluation Report (EER)-related issues; overhauled recruitment and training for members of the many Foreign Service Boards, and introduced Diversity and Unconscious Bias presentations. To ensure greater employee and management accountability, State will continue to better align performance objectives to measurable criteria, enforce mandatory training requirements, and identify and invest in promising leaders. To that end, in FY 2019 the Department will conduct a HCAR on employee development and knowledge management human capital functions.

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Performance Goal 4.3.1: Human Capital Services Cost (Benchmarking Initiative)

Performance Goal Statement: By 2022, the Department of State will reduce the costs of HR service delivery by 14 percent. (State)

Performance Goal Overview/Progress Update

The Department of State aims to create a nimble and data-informed decision-making process that leads to greater employee engagement and improved HR service delivery. As an indication of how well the Department of State is accomplishing its objectives, the Department planned to focus on evidenced-based data such as the General Services Administration (GSA) Benchmarking Initiative for the Human Capital Function. This initiative is a collaborative project to measure the performance of mission-support functions across the federal government and allow for cross-agency comparisons.

As reported to GSA, human capital cost per employee for the Department of State for FY 2017 is \$3,178 per employee serviced, which ranks 14 among 24 Chief Financial Officer (CFO) Act Agencies. In the long-term, HR seeks to improve this ranking through 1) consolidating services where possible; 2) streamlining operations; and 3) modernizing HR IT, which once fully implemented is expected to increase efficiency, effectiveness, and lower costs. However, in the near-term, the Department must continue efforts to fill vacancies and support operations following the end of a Department-wide hiring freeze.

Key Indicator: Human Capital Services Cost (Benchmarking Initiative)

| | Reporting Year 2016 (FY 2015 data) | Reporting Year 2017 (FY 2016 data) Baseline | Reporting Year 2018 (FY 2017 data) | Reporting Year 2019 (FY 2018 data) | Reporting Year 2020 (FY 2019 data) | Reporting Year 2021 (FY 2020 data) |
|--------|---|---|---|---|---|---|
| Target | N/A | N/A | N/A | \$2,887 | \$3,508 | \$3,564 |
| Actual | N/A | \$3,104 | \$3,178 | | | |

Indicator Analysis

The Department is committed to ensuring the efficient and responsible use of resources and continues to pursue cost savings while providing consistent and timely delivery of human capital services. When the performance goal was drafted, the Department anticipated being able to reduce costs by 14 percent (down to \$2,670) by September 20, 2021, subsequently advancing the Department's rank among CFO Act Agencies by one resulting in a rank of 10 out of 24. In FY 2017, the Department saw a slight increase in the cost per employee serviced from \$3,104 in FY 2016 to \$3,178 in FY 2017. The increase is attributable to factors outlined below.

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The GSA Benchmarking Initiative cost metric is comprised of aggregate data on various aspects of human capital spending, such as training and development, recruiting and hiring, overhead, and HR IT. The Department's current personnel data system makes it difficult to distinguish human capital operations from other functions in the personnel system. Assumptions are needed based on bureau and occupational series to estimate the cost of human capital operations, which could result in inconsistent reporting each year and diminish the validity of the metric. Another variable that potentially distorts the metric is that total human resource costs stay stable even when there are temporary downturns in hiring. This means that the cost per employee can be greatly impacted by employment targets and limitations to hiring beyond the control of the Department, even when total costs remain flat or only increase by inflation. The actual cost per employee is not on track for hitting the original performance goal. This is due to resumption of staffing following a 17-month hiring freeze, higher cost for the online recruiting provider, and staff pay increase. Given the inflation trends, State has modified its out-year targets to reflect more realistic results.

Indicator Methodology

Data for this indicator will be sourced from the Benchmarking Initiative via GSA (benchmarks.gsa.gov). It is worth noting that the data point reported above reflects actual data collected the fiscal year prior to the reporting year. The cost of Human Capital Business Reference Model (HCBRM) functions A1 through A10 includes Department inputs for HR Salaries/Benefits/Overhead/G&A, HRIT, Outsourcing, and Shared Service Center Fees across all Human Capital Service Areas. To come up with a per employee cost, the total cost is divided by the number of distinct employees observed in department personnel data over the calendar year.

Performance Goal 4.3.2: GSA's Customer Satisfaction Survey Human Capital Function

Performance Goal Statement: By 2022, the Department of State and USAID will achieve a 5.08 and 4.50 overall satisfaction score, respectively, in the Human Capital function of GSA's Customer Satisfaction Survey. (State and USAID)

Performance Goal Overview/Progress Update

The Department of State and USAID aim to create a nimble and data-informed decision-making process that leads to greater employee engagement and improved HR service-delivery. As an indication of how well the Department and USAID are accomplishing their objectives in the area of human resources, State and USAID will focus on evidenced-based data, such as the GSA Customer Satisfaction Survey's (or USAID's equivalent survey) Human Capital function. The Benchmarking Initiative is a collaborative project to measure and improve the performance of mission-support functions across the Federal Government. This initiative surveys Federal employees and others to collect data to support its analysis. The Department and USAID will

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focus on improving factors that affect the score, including employees' participation in the survey, as well as employee engagement, customer-service, training and development, and work-life balance. The Department of State and USAID's Human Capital function scores for reporting year 2017 (i.e., FY 2016 data) were 4.68 and 4.16, respectively. In reporting year 2018 (i.e., FY 2017 data), the scores were 4.60 and 3.91 respectively. In FY 2018, State ranked 12th out of 24 Chief Financial Officers Act agencies, and USAID ranked 24th out of 24.

In FY 2018, USAID's HCTM made solid progress in improving HR customer service as part of USAID's support of the 21st Century Workforce CAP Goal and execution of its HR Transformation initiative. In April 2018, USAID implemented a significant overhaul of its performance management system in an effort to improve employee performance and engagement, a critical component of the Workforce for the 21st Century CAP Goal.

In support of strategic workforce management, a Guiding Principle of the CAP Goal Workforce for the 21st Century, USAID re-engineered the Agency's delivery of HR services that previously relied on emails and telephone calls to a centralized, online employee portal and mobile App, called LaunchPad for HR. LaunchPad makes it easy for customers -- the Agency's workforce -- to easily access their personnel data and check the status of their HR service requests, all in one location. In August 2018, as part of LaunchPad, USAID implemented the first release of a new Interactive Assignment and Bidding Platform in line with the CAP Goal Workforce for the 21st Century. This platform was well-received by the Agency's Foreign Service cadre, particularly the over 600 Foreign Service Officers who bid on new assignments each year. The new Interactive Bidding tool brings together for the first time all bidding related information, including post-specific information on schools, medical facilities, and the different allowances. The tool also makes it easy to sort, filter, and select positions online and communicate with the relevant points of contact. Foreign Service Officers placed 406 bids using this tool in the three-week Major Listing in October 2018. In addition, USAID's HCTM has integrated and launched several follow-on improvements such as the G2P module, which replaced a cumbersome process that was heavy on forms and paper, with an automated, online, "one stop shop" solution. The tool collects all the needed information to create an assignment cable up front so that there is less back and forth. Before the G2P tool, Foreign Service Officers would have to complete multiple forms and the typical time to process a cable was three months – G2P has reduced that to 21 days.

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Key Indicator: Overall Score on Human Capital Function of GSA's Customer Satisfaction Survey (or USAID's equivalent survey)

| | Reporting Year 2015 (FY 2014 data) | Reporting Year 2016 (FY 2015 data) | Reporting Year 2017 (FY 2016 data) | Reporting Year 2018 (FY 2017 data) | Reporting Year 2019 | Reporting Year 2020 |
|--------|---|---|---|---|---------------------------|---------------------------|
| Target | N/A | N/A | N/A | State: 4.88 USAID: 4.32 | State: 4.98 USAID: 4.3 | State: 5.08 USAID: 4.5 |
| Actual | State: 4.3 USAID: 2.99 | State: 4.29 USAID: 4.16 | State: 4.68 USAID: 4.16 | State: 4.60 USAID: 3.91 | | |

Indicator Analysis

The Department relies on the GSA Customer Satisfaction Survey Human Capital function scores, which relate directly to services provided in the human capital area, including employee engagement, recruiting and hiring support, training and development, and work-life support, in order to detect trends and determine areas for improvement. The score range is from 1-7. The Department saw a slight decrease in customer satisfaction from the 2017 score of 4.68 to 4.60 in 2018, which falls below the target score of 4.88. USAID is down from 4.16 in 2017 to 3.91 in 2018. The Department and USAID attribute the downward movement to the hiring freeze; the organizations' response to E.O. 13781, Comprehensive Plan for Reorganizing the Executive Branch; and vacancies in leadership positions. Subsequently, the Department dropped in rank among CFO Act Agencies from 9 in 2016, 10 in 2017, and then 12 in 2018. In order to reverse the downward trend, the Department and USAID are taking steps to normalize hiring, fill leadership positions, and have a transparent reorganization plan.

Indicator Methodology

For the Department, data for this indicator come from the GSA Benchmarking Customer Satisfaction Survey. There could be limitations associated with GSA's collection and analysis of the data. For USAID, data for this indicator come from the Agency's annual Customer Service Survey, which incorporates key questions from GSA's Benchmarking Customer Satisfaction Survey. USAID provides relevant the data from its survey to GSA for incorporation with the larger Benchmarking Customer Satisfaction Survey results. The survey results reflect the perceptions of those staff that completed the survey. It is worth noting that for the data point reported above, the dates vary depending on whether the information is presented by reporting

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year or data collection year. The table above notes the reporting year, which reflects prior FY data.

Performance Goal 4.3.3: OPM's Federal Employee Viewpoint Survey (FEVS) Employee Engagement Index (EEI) Score

Performance Goal Statement: By 2022, the Department of State will increase its FEVS calculated Employee Engagement Index to 72 percent. (State)

Performance Goal Overview/Progress Update

The Department of State understands that its greatest assets are the men and women who serve domestically and abroad advancing American interests and demonstrating American values. Understanding the views and needs of the workforce is critical to the Department's human capital management strategies. One of the primary indicators used to measure how well the Department understands and responds to the needs of the workforce is the U.S. Office of Personnel Management's (OPM's) Employee Engagement Index (EEI), which is derived from the annual Federal Employee Viewpoint Survey (FEVS). OPM's EEI score attempts to measure the extent to which an agency provides conditions conducive to high employee engagement. It is in the Department's interest to strive for high employee engagement because high employee engagement correlates with lower attrition, higher productivity, and greater commitment. The Department will continue to address employee engagement at the bureau level. HR is developing and providing Departmental resources for those bureaus with low EEI scores to help them: 1) identify the cause(s) of the low scores, 2) identify supervisory and managerial ineffectiveness, and 3) develop improvement plans that are tailored for their employees and work units.

Key Indicator: Overall Score on FEVS Employee Engagement Index (EEI)

| | FY 2015 | FY 2016 | FY 2017 Baseline | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------------------|---------|---------|---------|
| Target | N/A | N/A | N/A | 70 | 70 | 70 |
| Actual | 70 | 70 | 69 | 68 | | |

Indicator Analysis

The Department's EEI score for 2018 was 68 percent, which is equal to the overall government-wide score of 68 percent. While the Department's EEI score dropped by one point in both 2017 and 2018, the government-wide score improved. HR attributes the 2017 and 2018 drops in the Department's EEI scores, in part, to atypical circumstances in the Department, such as the extended hiring freeze and the inordinate amount of vacancies in senior leadership. The FY

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2019 target was adjusted downward to reflect a more realistic target following the lower than anticipated score in FY 2018. Following the administration of FEVS 2018, the Department filled

a number of key leadership positions and hiring has resumed. States expect these developments will yield positive FEVS 2019 results.

Indicator Methodology

Data for this indicator will be sourced from OPM's FEVS (www.viewpoint.opm.gov). There may be limitations associated with OPM data collection and analysis.

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Strategic Objective 4.4: Strengthen security and safety of workforce and physical assets

Strategies for Achieving the Objective/Strategic Objective Progress Update

The Department and USAID must proactively assess risks and strengthen the ability to respond. Achieving this requires strategies in priority areas, which includes fulfilling the Department's key responsibilities of developing and ensuring compliance with security standards, being a leader in protective security operations, and ensuring operationally safe facilities that adhere to occupational health and safety standards. This will require yearly review of all high-threat, high-risk posts by senior Department leadership using the Post Security Program Review (PSPR) process and Program Management Review process to ensure adherence to Overseas Security Policy Board (OSPB) policy and compliance with procedures. Each year, the Department will review and validate our continued, or new, presence at all high-threat, high-risk posts by using the Senior Committee on Overseas Risk Evaluation process.

In FY 2018, the Bureau of Diplomatic Security (DS) issued 392 PSPR recommendations to posts regarding security programs. Of those, 144 remain open and are being actively managed and implemented. The PSPR program is a well-defined oversight process that allows DS to proactively strengthen posts' security programs for the safety of Chief of Mission personnel, information, and facilities. In the coming FYs, DS will continue to work with overseas missions to close open recommendations, identify risks and mitigations strategies, and improve the trend of PSPR scores.

The Department and USAID will establish and institutionalize an "Expeditionary Platform Working Group" in instances when foreign policy goals dictate a diplomatic or development presence in new or non-traditional operating environments. This Working Group would incorporate subject matter experts from appropriate Department of State Bureaus. Relevant representation from USAID and the Department of Defense should also be included to reflect an approach that encompasses defense, diplomacy, and development.

Staff plays a vital role in strengthening the security posture for both the Department and USAID. The Department and USAID will promote efforts to improve staff proficiency in mitigating organizational and individual staff security. The Department and USAID will emphasize a security risk profile that balances risk and operational effectiveness and prepare people to operate wherever our work takes us, including in increasingly complex, unstable, and risky environments. The Department and USAID will centralize lessons learned with respect to both risk management and security concerns, thus making it easy to search and data mine security-related information to improve the institutionalization of corrective actions and create a true learning organization. The Department and USAID will also develop a mission analysis and policy planning process that is consistent, credible, and actionable, and that balances risk and resources.

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The Department and USAID will codify our cooperation with other agencies (e.g., Department of Defense, allied forces, United Nations, non-governmental organizations (NGOs), etc.) by establishing standing authorities, protocols, and global mechanisms to improve operational effectiveness overseas, especially in non-permissive environments. Domestically, USAID will continue its improvements in real property utilization through the execution of its Washington Real Estate Strategy, a multi-year, dual track strategy to consolidate headquarters workspace in two locations and modernize workspace to meet 21st Century needs, achieve efficiencies, reduce costs, and meet OMB's Reduce the Footprint mandate.

Performance Goal 4.4.1: Post Security Program Review

Performance Goal Statement: By 2022, ensure that diplomatic missions reviewed through the Post Security Program Review (PSPRs) process receive a 95-100 percent rating. (State)

Performance Goal Overview/Progress Update

A score of 95-100 percent on the PSPR indicates that a post is Fully Mission Capable and compliant with OSPB and Department of State standards, policies, and procedures. PSPRs are conducted by DS headquarters staff once every one, two, or three years for non-high-threat, high-risk posts (depending on threat levels) and annually for all high-threat, high-risk posts. To satisfy this performance goal (PG), resources must support staffing, funding, and travel priorities.

The purpose of the PSPR process is to ensure that posts manage life safety, emergency preparedness, and other post security programs with full mission support and participation, adequate personnel, sufficient resources, and appropriate management controls in direct support of Strategic Objective 4.4. DS will continue to strive for improvements in security operations by maintaining proper management oversight of regional security offices at all U.S. missions overseas, and by overseeing posts' implementation of recommendations to ensure the safety and security of the Department's workforce, information, and physical assets.

Key Indicator: Percent of reviewed posts receiving a 95-100 percent PSPR score

| | FY 2015 | FY 2016 | FY 2017 Baseline | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------------------|---------|---------|---------|
| Target | N/A | N/A | N/A | 80% | 85% | 90% |
| Actual | N/A | N/A | 80% | 67% | | |

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Indicator Analysis

In FY 2018, DS conducted 96 PSPRs at U.S. embassies and consulates abroad, 64 of which received a “Fully Mission Capable” score of 95-100. However, an additional 25 posts received a score of “Mission Capable,” with scores of 85-94. Therefore, while only 67 percent of posts received the “Fully Mission Capable” designation, 93 percent of posts are in good standing, with noted areas for improvement. In general, posts that did not receive “Fully Mission Capable” scores received recommendations related to updating post security policies and other documentation; the conduct of emergency drills; and Emergency Action Plan processes and procedures. The implementation of these recommendations is actively tracked by DS headquarters staff.

Indicator Methodology

The target PSPR compliance rating score percentage is derived from the total number of reviews conducted in the FY where the post achieved Fully Mission Capable” (95-100 percent scores).

Performance Goal 4.4.2: People Moved into Safer and More Secure Facilities

Performance Goal Statement: By 2022, Department of State will move overseas U.S. government employees and local staff into secure, safe, and functional facilities at a rate of 3000 staff per year. (State)

Performance Goal Overview/Progress Update

Since the 1999 enactment of the Secure Embassy Construction and Counterterrorism Act or SECCA, the Bureau of Overseas Building Operations (OBO) has completed 150 diplomatic facility projects. These projects include new embassies and consulates, annex facilities, Marine Security Guard residences, and warehouses. In total, these projects have moved more than 41,687 Department staff into safer and more secure facilities.

The Department of State carries on the business of the American government and its people in challenging overseas construction and security environments where key U.S. national security interests are at stake. Every day, the Department works to protect its people and foreign missions by constantly assessing threats and its security posture. OBO is one of its key implementers in keeping people safe overseas. Each year, the Department awards new embassy and consulate projects that move staff into secure facilities that meet its mandated security and life safety requirements.

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Key Indicator: Number of U.S. Government employees and local staff moved into safer and more secure facilities

| | FY 2014 Baseline | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------------------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | N/A | 3,000 | 3,000 | 3,000 |
| Actual | 2,196 | 2,830 | 538 | 3,072 | 3,108 | | |

Indicator Analysis

As of September 30, 2018, OBO moved 3,108 personnel into safe, secure and functional facilities. On average, OBO has moved 2,350 employees per fiscal year since FY 2014. New embassy compounds vary considerably in size to meet the required building population as determined by right-sizing exercises. The safety and security of personnel working overseas is essential to achieving the Department's mission.

Indicator Methodology

Information is provided internally by OBO's Office of Construction Management. Data is collected, monitored, and reported on a monthly basis to senior staff. The data may vary since the numbers are based on the staffing estimates during the design phase. Actual mission staffing numbers may change during the project cycle. Bureau offices will continue to review the data and track project milestones and project completions to ensure the most accurate and available data is being reported on during the FY.

Performance Goal 4.4.3: Improve USAID Office Space Safety and Efficiency through Consolidation

Performance Goal Statement: By 2022, domestically, USAID will improve safety and efficiency by consolidating scattered smaller spaces into more efficient larger locations. (USAID)

Performance Goal Overview/Progress Update

The USAID/Washington Real Estate Strategy (WRES), developed in consultation with GSA, provides a multi-year, dual-track strategy designed to create a consolidated real property footprint in two locations. The WRES is guiding the planning for the modernization of the Ronald Reagan Building (RRB) and the lease-consolidation project to achieve increased efficiencies, reduced costs, and a higher utilization rate, while also supporting the OMB Reduction in Footprint Initiative. The Agency Reduce the Footprint plans include a reduction in FY 2021 of 10,195 usable square footage after full occupancy of the new consolidated lease and the release of three expiring leases.

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In FY 2018, USAID successfully secured a leased space (USAID Annex 1) and began preparations for design, construction, and interior outfitting of the building. Under the auspices of the RRB modernization effort, USAID moved two bureaus into external and internal swing space for Phase 3 renovation of the RRB second floor. The Agency also completed work with GSA on contracts for the refresh of USAID-occupied space on the B3 level and the third floor of the RRB, and for the Construction Management and Design-Build contracts for renovation phases 3 and 4.

Key Indicator: Percentage of USAID Global Health and Management Bureau staff moved to newly leased facility

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 0% | 0% | 100% |
| Actual | N/A | N/A | N/A | 0% | | |

Indicator Analysis

USAID will begin to occupy the property by first consolidating some Management Bureau operations and Global Health offices from four separate locations into a new building. During FY 2019, USAID will work with GSA to prepare the USAID Annex for occupancy. In FY 2020, the Agency will initiate occupancy by moving the Global Health and Management Bureaus. A small number of headquarters management functions are not planned to move to the UA and will not be included in this count.

Indicator Methodology

Data source: Administrative Management Services (AMS) staff directory and staff space assignments in USAID's Computer-Aided Facility Management (CAFM) system.

Data quality: There are no known limitations to these data. AMS Office staff will validate staff space assignments in the new building prior to the move date. AMS Officers will validate that all staff identified to transition to the leased building have successfully moved by cross-referencing current Bureau staff directories and space-assignment information in the CAFM system.

Key Indicator: Percent completion of Phases 3 and 4 of the Ronald Reagan Building Renovation

| | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 |
|--------|---------|---------|---------|---------|---------|---------|
| Target | N/A | N/A | N/A | 0% | 33% | 100% |
| Actual | N/A | N/A | N/A | 0% | | |

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Indicator Analysis

USAID completed several staff moves in FY 2018 that will allow Phase 3 and Phase 4 construction to begin in USAID occupied space on the RRB's 2nd floor and the Mezzanine level. Construction for both the 2nd floor and Mezzanine levels is scheduled for completion in FY 2020.

Indicator Methodology

Data source: The RRB Modernization project plan maintained by the Headquarters Management Division in the Bureau for Management's Office of Management Services.

Data quality: There are no known limitations to this data. The Headquarters Management Division updates completion status in the project plan in coordination with the GSA, which is responsible for construction.

Key Milestones:

| Due Date: FY and Quarter | Milestone | Milestone Status | Progress Update |
|--------------------------------|---|------------------|---|
| FY 2019, Q4 | Office lease with sufficient space to accommodate staff in all Washington smaller offices outside of the Agency's headquarters in the RRB | Complete | Lease space has been secured for USAID Annex 1. |
| FY2019, Q4 | Construction completed and interior outfitting procured for USAID Annex 1. | Planned | |
| FY 2019, Q4 | Percent of affected employees for RRB renovation moved to swing space by FY 2019, Q4 | Planned | |
| FY 2020, Q4 | Construction completed and E3 moved into RRB second floor (FY 2020, Q4) | Planned | |

Acronyms

1MDB – 1Malaysia Development Berhad Scandal
A&A – Acquisition and Assistance
ACS – Office of American Citizens Services
ACT – Artemisinin-based Combination Therapies
ADS – USAID’s Automated Directive System
AEFM – Appointment Eligible Family Members
AFR – Agency Financial Report
AMS – Administrative Management Services
AOTC – Acting on the Call
AP – Additional Protocol
APEC CBPR – Asia Pacific Economic Cooperation Cross-Border Privacy Rules
APG – Agency Priority Goal
API – Application Programming Interface
APP – Annual Performance Plan
APR – Annual Performance Report
ART – Antiretroviral Treatment
ATO – Authorization to operate
AQM – Acquisition management
BEA – Bureau of Economic Analysis
BIC – Best-in-Class
BOP – Bottom of Pyramid
BP - Bureau of Budget and Planning
CA – Bureau of Consular Affairs
CAFM – Computer-Aided Facility Management
CAP – Cross-Agency Priority
CBA – Office of Commercial and Business Affairs
CCA – Climate Change Act
CCM – Consular Crisis Management
CCSP – Certified Cloud Security Professional
CDCS – Country Development Cooperation Strategy
CEAC – Cooperative Electrique de l’Arrondissement des Côteaux
CEFF-CCA – Clean Energy Finance Facility for Central America and the Caribbean
CEN-SAD – Community of Sahel-Saharan States
CGFS – Comptroller and Global Financial Services
CIO – Chief Information Office
CIP – Consular Information Program
CM – Category Management
CMS – Content Management System
CO – Contracting Officer
COP – Country Operational Planning

CPC – Child Protection Compact
 CPIC – Capital Planning and Investment Control
 CPMO – Cloud Program Management Office
 CSO – Civil Society Organization
 CWC – Chemical Weapon Convention
 CT – Counterterrorism
 CT/TSI – Bureau of Counterterrorism, Office of Terrorist Screening and Interdiction Programs
 CVE – Countering Violent Extremism
 DABS – Da Afghanistan Breshna Sherkat
 DCOI – Data Center Optimization Initiative
 DDL – Development Data Library
 DHS – Department of Homeland Security
 DIS – Development Information Solution
 DOC – Department of Commerce
 DOD – Department of Defense
 DOJ – Department of Justice
 DPRK – Democratic People’s Republic of Korea
 DPT3 – Diphtheria-Tetanus-Pertussis Immunization
 DQA – Data-Quality Assessment
 DRC – Democratic Republic of the Congo
 DREAMS – Determined, Resilient, Empowered, AIDS-free, Mentored, and Safe Women
 DRL – Bureau of Democracy, Human Rights, and Labor
 DS – Bureau of Diplomatic Security
 E3 – Bureau of Economic Growth, Education and Environment
 EA – Enterprise Architecture
 EB – Bureau of Economic and Business Affairs
 ECA – Bureau of Educational and Cultural Affairs
 EEI – Employee Engagement Index
 EER – Employee Evaluation Report
 ENR – Bureau of Energy Resources
 E.O. – Executive Order
 EPA – Environmental Protection Agency
 EPPR – Effective Partnering and Procurement Reform
 ESDF – Economic Support and Development Fund
 EU – European Union
 Evidence Act – Foundations for Evidence-Based Policymaking Act of 2018
 F – Office of U.S. Foreign Assistance Resources
 FACTS - Foreign Assistance Coordination and Tracking System
 FARL – Foreign Assistance Resource Library
 FATAA – Foreign Aid Transparency and Accountability Act
 FBI – Federal Bureau of Investigation
 FBS – Functional Bureau Strategy
 FEVS – Federal Employee Viewpoint Survey

FITARA - Federal IT Acquisition Reform Act
FP – Family Planning
FSFRC – Foreign Service Family Reserve Corps
FSI – Foreign Service Institute
FTE – Full-time equivalent
FTIF – Fiscal and Transparency Innovation Fund
FTF – Feed the Future
FY – Fiscal Year
G7 – Group of Seven
G20 – Group of Twenty
G2P – Getting-to-Post
GAO – U.S. Government Accountability Office
GBV – Gender-Based Violence
GEC – Global Engagement Center
GEMS – Global Employee Management System
GFSA – Global Food Security Act
GFSS – Global Food Security Strategy
GDP – Gross Domestic Product
GH – Bureau for Global Health
GIZ – Deutsche Gesellschaft für Internationale Zusammenarbeit
GLAAS – Global Acquisition and Assistance System
GPRAMA – Government Performance and Results Act Modernization Act
GSA – General Services Administration
GTD – Global Terrorism Database
GWS – U.S. Global Water Strategy
HC – Human Capital
HCAR – Human Capital Accountability Review
HCTM – USAID’s Office of Human Capital and Talent Management
HPWG – Humanitarian Policy Working Group
HR – Human Resources
HIV/AIDS – Human Immunodeficiency Virus/Acquired Immunodeficiency Syndrome
HSPD-6 – Homeland Security Presidential Directive
ICED II – Indonesia Clean Energy Development II
ICRC – International Committee of the Red Cross
ICS – Integrated Country Strategy
ICT – Information and Communications Technology
IDA – International Disaster Assistance
IDMS – Identify Management Solution
IDP – Internally Displaced Persons
IHL – International Humanitarian Law
IIP – Bureau of International Information Programs
ILMS – Integrated Logistics Management System
INCLE – international narcotics control and law enforcement

INL – Bureau of International Narcotics and Law Enforcement Affairs
INTERPOL – International Criminal Police Organization
IO – International Organization
IOM – International Organization for Migration
IPTp – Intermittent Preventive Treatment of Malaria in Pregnancy
IRM – Information Resource Management
IRS – Indoor Residual Spraying
ISIS – Islamic State of Iraq and Syria
IT – Information Technology
ITNS – Insecticide-treated Nets
JRS – Joint Regional Strategy
JSP – Joint Strategic Plan
LECRD – Low Emission Climate Resilient Development
LED – Light Emitting Diode
LNG – Liquefied Natural Gas
mCPR – Modern Contraceptive Prevalence Rate
MCSE: Microsoft Certified Solutions Expert
MDM – Mobile Device Management
MDR – Missile Defense Review
MfR – Department of State’s Managing for Results Framework
MIC – Messaging Integration & Coordination
M/OAA – USAID’s Bureau for Management Office of Acquisition and Assistance
MOU – Memorandum of Understanding
MTCR – Missile Technology Control Regime
MW – Megawatt
NATO – North Atlantic Treaty Organization
NGO – Non-governmental organization
NPT – Nuclear Non-proliferation Treaty
NSG – Nuclear Suppliers Group
OAS – Office of American Spaces
OBO – Bureau of Overseas Building Operations
OCS – Overseas Citizens Services
OECD – Organization for Economic Cooperation and Development
OES – Bureau of Oceans and International Environmental and Scientific Affairs
OFDA – Office of U.S. Foreign Disaster Assistance
OIG – Office of the Inspector General
OMB – Office of Management and Budget
OPCW – Organization for the Prohibition of Chemical Weapons
OPM – U.S. Office of Personnel Management
OSDBU – Office of Small and Disadvantaged Business Utilization
OSPB – Overseas Security Policy Board
OU – Operating Unit
PACE-D – Partnership to Advance Clean Energy Deployment

PCMD – Preventing Child and Maternal Deaths
 PCV3 – Pneumococcal Vaccine
 P/CVE – Prevention and Countering of Violent Extremism
 PEP – Palestinian Energy Project
 PEPFAR – President’s Emergency Plan for AIDS Relief
 PERFORM – Protecting Ecosystems and Restoring Forests in Malawi
 PFAN – Private Financing Advisory Network
 PG – Performance Goal
 PIP – Performance Improvement Plan
 PLN – Indonesia’s State Electricity Company
 PMA – President’s Management Agenda
 PMI – President’s Malaria Initiative
 PMIAA - Program Management Improvement Accountability Act
 PMO – Program Management Office
 PMP – Performance Management Plan
 PPL – Bureau of Policy, Planning and Learning
 PPP – Public-Private Partnership
 PPR – Performance Plan and Report
 PRA – Paperwork Reduction Act
 PRM – Bureau of Population, Refugees, and Migration
 PSC – Personal Service Contractor
 PSE – Private Sector Engagement
 PSPP – Post Security Program Review
 PTF – Power the Future
 READ – Reinforcing Education Accountability in Development
 REDD+ - Reducing Emissions from Deforestation and Degradation
 REEP – Renewable Energy and Efficiency Project
 REIPPPP – Renewable Independent Power Producers Procurement Programme
 RRB – Ronald Reagan Building
 S/CCI – Office of the Coordinator for Cyber Issues
 SDG – Sustainable Development Goal
 SIP – Skills Incentive Program
 SOCOM – Special Operations Command
 START – Strategic Arms Reduction Treaty
 State or the Department – U.S. Department of State
 STEP – Smart Traveler Enrollment Program
 STC – Office of Science & Technology Cooperation
 TCO – Transnational Criminal Organization
 TFA – Trade Facilitation Agreement
 TIP – Office to Monitor and Combat Trafficking in Persons
 TM&SP – Talent Management and Succession Planning
 TSC – Terrorist Screening Center
 TSG – Travel.State.Gov

U5MR – Under-Five Mortality Rate
UIS – Institute for Statistics
UN – United Nations
UNESCO – United Nations Educational, Scientific, and Cultural Organization
UNHCR – United Nations High Commissioner for Refugees
UNICEF – United Nations International Children’s Emergency Fund
UNIDO – United Nations Industrial Development Organization
UNOCHA – United Nations Office for the Coordination of Humanitarian Affairs
UNODC – United Nations Office on Drugs and Crime
UNSCR – United Nations Security Resolution
USAID or the Agency – U.S. Agency for International Development
USG – U.S. Government
VSSA – Vietnam Sugarcane and Sugar Association
WA – Wassenaar Arrangement
WHO – World Health Organization
WiFi – Wireless
WMD – Weapons of Mass Destruction
WRES – Washington Real Estate Strategy