

United States Department of State  
United States Agency for International  
Development

# FY 2016 Annual Performance Report



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# Department of State and USAID Overview

## Department of State and USAID Overview

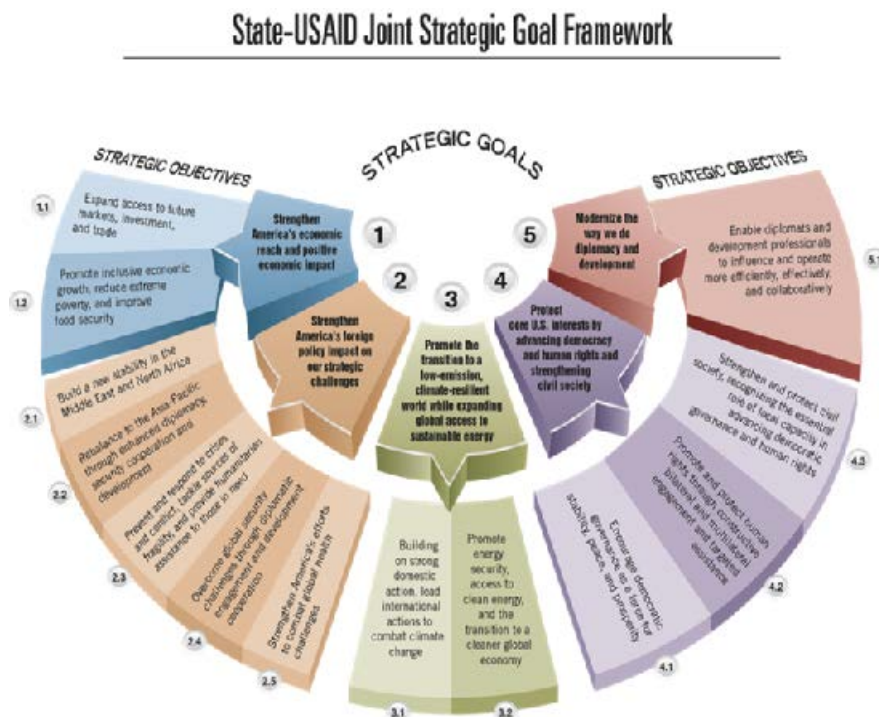
### Overview

The FY 2016 Annual Performance Report (APR) for the U.S. Department of State (the Department) and the U.S. Agency for International Development (USAID) presents indicators and data reflecting the work conducted by the Department and USAID to achieve the strategic objectives, Agency Priority Goals (APGs), and performance goals articulated in the retired [FY 2014 – FY 2017 Joint Strategic Plan](#) (JSP). A revised FY 2018 – FY 2022 Joint Strategic Plan, due to be published in February 2018, is currently under development. 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](http://www.state.gov) and [www.usaid.gov](http://www.usaid.gov). Note: This APR will serve as the closeout report for accomplishments under the FY 2014 – FY 2017 JSP.

### Mission Statement, Strategic Goals, and Objectives

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

The following chart depicts the FY 2014-2017 Joint Strategic Plan:



# Department of State and USAID Overview

## Major Management Priorities and Challenges

To meet Government Performance and Results Act Modernization Act of 2010 (GPRAMA) requirements, agencies must clearly identify major management challenges and actions taken to address them in the Annual Performance Report (APR).

See Annex III for the Department's and USAID's Major Management Challenges.

## Lower-Priority Program Activities

The President's Budget identified the lower-priority program activities, where applicable, as required under the GPRAMA Modernization Act, 31 U.S.C. 1115(b) (1).

## Federal Cross-Agency Priority Goals

The GPRAMA Modernization Act requires agencies to address Cross Agency Priority (CAP) goals in the agency strategic plan, the annual performance plan, and the annual performance report. CAP Goals are a tool used by leadership to accelerate progress on a limited number of Presidential priority areas where implementation requires active collaboration between multiple agencies. Please refer to [www.performance.gov](http://www.performance.gov) for State and USAID's contributions to these goals and progress, where applicable.

## Employee Engagement

The Department of State and USAID value an inclusive work environment, one where the Agency learns from every member of its team and fosters his or her active engagement. USAID recognizes the relationship between employee engagement and mission performance.

## U.S. Department of State

The Best Places to Work in the Federal Government (BPTW) rankings, which reflect federal employee satisfaction and commitment, are based on responses to the Federal Employee Viewpoint Survey (FEVS). In 2016 the Department of State ranked fourth among 18 large federal agencies<sup>1</sup>, falling one spot from the third place ranking in 2015. Positive feedback from employees has placed the agency in the top five among large federal agencies for the past five years. Additionally, among the ten BPTW subcategory rankings, the Department ranked highest – third place – in the effective leadership and strategic management categories.

## USAID

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<sup>1</sup> The Partnership for Public Service defines large agencies as those with at least 15,000 employees.



# Department of State and USAID Overview

In support of the People and Culture CAP goal, the Agency exceeded the 67 percent target by achieving 68 percent for the Employee Engagement Index score of the FY 2016 Federal Employee Viewpoint Survey (FEVS). USAID's Employee Engagement Index score has continued to improve over the years. In 2015, USAID's Employee Engagement Index score was 66.6 percent, increasing from 63.7 percent in 2014. To improve employee engagement further, USAID is requiring action plans from all operating units worldwide in 2017. In addition, USAID executive performance agreements have included Agency-specific performance requirements to demonstrate year round commitment to employee engagement.

## **Agency Priority Goals**

Per the GPRA Modernization Act requirement, the Department of State and USAID identified five Agency Priority Goals (APGs) for FY 2016 – FY 2017. Please refer to [www.performance.gov](http://www.performance.gov) for State and USAID's data and progress.



# Summary of Key Performance Indicators

## Summary of Key Performance Indicators

| Indicator Title  | FY 2013 Results | FY 2014 Target | FY 2014 Results | FY 2015 Target | FY 2015 Results          | FY 2016 Target | FY 2016 Results | FY 2017 Target |
|--|-----------------|----------------|-----------------|----------------|--------------------------|----------------|-----------------|----------------|
| <b>Strategic Goal 1: Strengthen America's Economic Reach and Positive Economic Impact</b>  |                 |                |                 |                |                          |                |                 |                |
| Number of State Department high-level commercial advocacy efforts to support U.S. export of goods and services   | 24              | 28             | 35              | 34             | 58                       | 40             | 44              | 48             |
| Number of foreign students studying in the U.S.  | 819,644         | 860,626        | 886,052         | 903,657        | 974,926                  | 948,840        | 1,044,000       | 996,282        |
| Number of senior-level science and technology innovation dialogues with key foreign governments  | 8               | 9              | 10              | 10             | 12                       | 13             | 20              | 14             |
| Percent of U.S. Global Development Lab innovations/technologies that reach more than 1 million people  | N/A             | 0%             | 0%              | 10%            | 1%                       | 10%            | 1%              | 10%            |
| Percent of U.S. Global Development Lab innovations/technologies that reach more than 5 million people  | N/A             | 1%             | 0%              | 1%             | 0%                       | 1%             | 0%              | 1%             |
| Average number of Direct Line Calls(webinars and teleconferences)  | N/A             | N/A            | N/A             | N/A            | 25                       | 27             | 18              | 27             |
| Average number of participants on Direct Line Calls (webinars and teleconferences)   | N/A             | N/A            | N/A             | N/A            | 44                       | 45             | 33              | 48             |
| Number of farmers and others who have applied new technologies or management practices as a result of U.S. Government assistance                             | N/A             | 7.0 million    | 6.8 million     | 8.0 million    | 9.0 million <sup>2</sup> | 8.0 million    | 10.5 million    | 8.5 million    |
| Percent of operating units using at least one Gender Empowerment and Female Equality indicator in their Foreign Assistance Performance Plan and Report (PPR) | N/A             | 30%            | 45%             | 40%            | 53%                      | 50%            | 57%             | 60%            |
| Number of sex-disaggregated indicators where reporting demonstrating improvements toward equality in gender integration for food security programming        | 8               | 8              | 7               | 9              | 8                        | 5              | 4               | 5              |

<sup>2</sup> The 2015 result for this indicator has been updated to reflect data reported in the 2016 Feed the Future Progress Report. Please see the Feed the Future website for further details (<https://www.feedthefuture.gov/>).



# Summary of Key Performance Indicators

| Indicator Title  | FY 2013 Results | FY 2014 Target  | FY 2014 Results | FY 2015 Target   | FY 2015 Results | FY 2016 Target   | FY 2016 Results  | FY 2017 Target  |
|--|-----------------|---|-----------------|--|-----------------|--|------------------|---|
| Number of people trained in disaster preparedness as a result of U.S. assistance   | 28,647          | 16,805  | 148,714         | 34,428   | 106,923         | 75,000 <sup>3</sup>  | 175,213          | 75,000 <sup>4</sup>   |
| Number of communities and stakeholders involved in the development of plans, policies, and strategies related to hazard risk reduction   | N/A             | 60  | 117             | 60   | N/A             | N/A  | N/A <sup>4</sup> | N/A   |
| <b>Strategic Goal 2: Strengthen America's Foreign Policy Impact on our Strategic Challenges</b>  |                 |   |                 |  |                 |  |                  |   |
| Number of country programs that aim to decrease youth unemployment rates   | 7               | 7   | 7               | 7  | 7               | 7  | 6                | 7   |
| MENA region Trade Accords and Protocols  | N/A             | At least one country participates in exploratory talks on trade and investment protocols. | 3               | At least two countries participate in exploratory talks on trade and investment protocols. | 4               | Hold negotiating rounds with at least three countries on trade and investment protocols. | 6                | Conclude at least three new trade and investment protocols. |
| Percentage of participants in U.S.-funded APEC capacity building activities responding that they applied trade and investment liberalization practices   | N/A             | N/A   | N/A             | 50%  | 82%             | 60%  | 75%              | 60%   |
| Percentage of participants in U.S.-funded APEC capacity building activities responding that laws, regulations or processes in their home economy were influenced by the trade and investment liberalization practices shared | N/A             | N/A   | N/A             | 3%   | 31%             | 5%   | 32%              | 20%   |
| Number of technical meetings held with U.S. Government support among U.S. Government and Asian counterparts to strengthen mutual cooperation   | N/A             | N/A   | 69              | 75   | 58              | 57   | 35               | NA <sup>5</sup>   |

<sup>3</sup> DCHA/OFDA reviewed the targets and given the changes from previous year, decided to change the targets the out-year targets have been straight-lined to the conservative increase of 75,000, as it is particularly difficult to predict what future humanitarian assistance needs will be.

<sup>4</sup> OFDA dropped this indicator in the FY2015 PPR and will therefore not be reporting on it in the FY2016 APP-APR.

<sup>5</sup> EAP has discontinued this indicator and therefore has not established future year targets.





# Summary of Key Performance Indicators

| Indicator Title   | FY 2013 Results | FY 2014 Target | FY 2014 Results | FY 2015 Target | FY 2015 Results | FY 2016 Target | FY 2016 Results  | FY 2017 Target |
|---|-----------------|----------------|-----------------|----------------|-----------------|----------------|------------------|----------------|
| Percent of designated USAID focus countries in which foreign assistance resources are aligned with the U.S. National Action Plan (NAP) on Women, Peace and Security (WPS)               | 54%             | 65%            | 74%             | 75%            | 75%             | 80%            | 72%              | 80%            |
| Number of new groups or initiatives created through U.S. Government funding with a mission related to resolving conflict or the drivers of conflict                                     | 12,733          | 14,296         | 10,849          | 492            | 1,619           | 2,082          | 868              | 296            |
| Percent of U.S. Government-declared international disasters responded to within 72 hours  | N/A             | 95%            | 86%             | 95%            | 86%             | 95%            | 100%             | 95%            |
| Number of internally displaced and host population beneficiaries provided with basic inputs for survival, recovery or restoration of productive capacity as a result of U.S. assistance | 61,315,940      | 46,462,565     | 54,079,863      | 46,381,077     | 109,533,298     | 50,750,582     | 101,871,313      | 50,000,000     |
| Percent of planned emergency food aid beneficiaries reached with U.S. assistance  | 90%             | 93%            | 90%             | 93%            | 83%             | 93%            | N/A <sup>6</sup> | 93%            |
| Percentage of refugees admitted to the U.S. against the regional ceilings established by Presidential determination   | 99.99%          | 100%           | 99.98%          | 100%           | 99.90%          | 100%           | 99.99%           | Under Review   |
| Number of countries that have signed, received Board of Governors approval of, and/or brought into force NPT/IAEA Additional Protocols  | 9               | 3              | 3               | 3              | 3               | 2              | 4                | 2              |
| Number of countries that have ratified the Amended Convention on the Physical Protection of Nuclear Material  | 12              | 7              | 13              | 3              | 8               | 2              | 16               | 2              |
| Number of ballistic missile defense interceptors deployed as part of regional missile defense approaches  | 0               | 0              | 0               | 24             | 24              | 24             | 24               | 24             |
| Amount of Chemical Weapons Convention prohibited schedule chemicals decreased around the globe (in MT)  | 56,247 MT       | 59,914 MT      | 59,400 MT       | 62,000 MT      | 64,437 MT       | 64,000 MT      | 67,243 MT        | 66,000 MT      |
| Number of countries with which the U.S. has signed agreements to strengthen the criminal justice system, or with the judicial, police, or corrections sector                            | N/A             | 40             | 72              | 40             | 41              | 40             | 75               | 70             |

<sup>6</sup> FY 2016 results data will not be available until mid- 2017.



# Summary of Key Performance Indicators

| Indicator Title   | FY2013 Results             | FY 2014 Target  | FY 2014 Results            | FY 2015 Target  | FY 2015 Results            | FY 2016 Target             | FY 2016 Results             | FY 2017 Target  |
|---|----------------------------|-----------------|----------------------------|-----------------|----------------------------|----------------------------|-----------------------------|-----------------|
| Number of U.S. Government-assisted courts with improved case management systems                                   | 1,344                      | 917             | 1,256                      | 339             | 409                        | 297                        | 523                         | 349             |
| Number of countries in which International Strategy for Cyberspace is implemented                                 | 18                         | 22              | 27                         | 28              | 42                         | 38                         | 38                          | 50              |
| Percentage of countries with professionals that have successfully completed specialized cybersecurity training    | N/A                        | 24%             | 44%                        | 48%             | 68%                        | 74%                        | 88%                         | 100%            |
| Prevalence of stunted children under five years of age  | N/A                        | 38.2%           | 37.7%                      | 37.0%           | 35.7%                      | 34.9%                      | 34.3%                       | 33.4%           |
| Prevalence of anemia among women of reproductive age  | 38.5%                      | 37.9%           | 35.1%                      | 37.4%           | 33.7%                      | 32.8%                      | 33.3%                       | 32.4%           |
| Number of people gaining access to basic sanitation services  | 1,884,169                  | 1,717,076       | 1,964,680                  | 2,087,731       | 2,386,095                  | 2,712,908                  | 2,325,956                   | 2,875,055       |
| Number of people gaining access to an improved drinking water source  | 3,131,707                  | 3,266,609       | 4,014,312                  | 4,226,216       | 3,625,637                  | 3,987,554                  | 2,935,266                   | 2,977,660       |
| Number of Neglected Tropical Disease (NTD) treatments delivered through U.S. Government-funded programs           | 233.9 million <sup>7</sup> | 190 million     | 239.1 million <sup>8</sup> | 218 million     | 174.9 million <sup>9</sup> | 200 million                | 270.7 million <sup>10</sup> | 200 million     |
| Case Notification rate in new sputum smear positive pulmonary TB cases per 100,000 populations nationally         | 129 per 100,000            | 131 per 100,000 | 131 per 100,000            | 133 per 100,000 | 138 per 100,000            | 140 per 100,000            | 139 per 100,000             | 142 per 100,000 |
| Percent of registered TB cases that were cured and completed treatment (all forms) (treatment success rate)       | 87%                        | N/A             | 88%                        | 87%             | 87%                        | 88%                        | 87%                         | 89%             |
| Teenagers who have begun childbearing   | N/A                        | N/A             | N/A                        | N/A             | 18.8                       | 18.0                       | 19.2                        | Under Review    |
| Number of adults and children with advanced HIV infection receiving Antiretroviral Therapy (ART)                  | 6.7 million                | N/A             | 7.7 million                | N/A             | 9.5 million                | 11.4 million <sup>11</sup> | 11.5 million                | 12.9 million    |
| Number of HIV-positive pregnant women who received antiretrovirals to reduce risk of mother-to-child transmission | 781,800                    | N/A             | 745,369                    | N/A             | 832,000                    | 766,898                    | 768,077                     | 784,821         |

<sup>7</sup> USAID reported 103.2 million treatments delivered in FY 2013 in the FY 2013 APR based on data available as of November 8, 2013. Upon reporting of complete data, an updated result of 233.9 million treatments was delivered.

<sup>8</sup> USAID reported 133.4 million treatments delivered in FY 2014 in the FY 2014 APR based on data available as of October 31, 2014. Upon reporting of complete data, an updated result of 239.1 million treatments was delivered.

<sup>9</sup> USAID reported 174.9 m treatments in FY 2015 in the FY 2015 APR based on data available as of October 31, 2015. Upon reporting of complete data, an updated result of 299 million treatments was delivered.

<sup>10</sup> USAID reported 270.7 million treatments delivered in FY 2016 based on data available as of November 14, 2016. USAID's best estimate for when complete FY 2016 data will be available is mid-2017. The number of treatments delivered in FY 2016 is estimated to reach 364.7 million.

<sup>11</sup> Targets were set based on an announcement for World AIDS Day in 2015.



# Summary of Key Performance Indicators

| Indicator Title   | FY2013 Results  | FY 2014 Target | FY 2014 Results         | FY 2015 Target | FY 2015 Results         | FY 2016 Target | FY 2016 Results         | FY 2017 Target |
|---|---|----------------|-------------------------|----------------|-------------------------|----------------|-------------------------|----------------|
| Number of males circumcised as part of the Voluntary Medical Male Circumcisions (VMMC) for HIV prevention program   | 2,230,075 <sup>12</sup>   | N/A            | 2,242,267 <sup>13</sup> | N/A            | 2,573,000 <sup>14</sup> | 11,000,000     | 2,290,200 <sup>15</sup> | 13,000,000     |
| Absolute change in all-cause under-five mortality rate (USMR)   | N/A   | -2             | -2.4                    | -2             | -1.7                    | -2             | -2.2                    | -2             |
| Absolute change in modern contraceptive prevalence rate (mCPR)  | N/A   | +1             | +1                      | +1             | +1.2                    | +1             | +1.4                    | Under Review   |
| Percent of shipments of contraceptive commodities that are on time  | See Performance Goal 2.5.2 for Quarterly Result and Target Data |                |                         |                |                         |                |                         |                |
| Annual total number of people protected against malaria with insecticide treated nets   | 45,000,000  | 45,000,000     | 89,000,000              | 50,000,000     | 72,000,000              | 62,000,000     | 87,000,000              | 72,000,000     |
| Absolute change in total percentage of births attended by a skilled doctor, nurse or midwife (skilled birth attendance in 24 maternal and child health-priority countries)  | 51.3%   | 52.4%          | 59.9%                   | 53.4%          | 55.5%                   | +1             | +0.04                   | +1             |
| Absolute change in the percent of children who received a third dose of diphtheria, pertussis, and tetanus (DPT3) containing vaccine by 12 months of age <sup>16</sup>  | 60.4%   | +0.5           | +0.9                    | +0.5           | +1.6                    | +0.5           | +1.6                    | +0.5           |
| <b>Strategic Goal 3: Promote the Transition to Low-emission, Climate-resilient World while Expanding Access to Sustainable Energy</b>   |   |                |                         |                |                         |                |                         |                |
| Number of developing country officials and practitioners with strengthened capacity through participation in the LEADS Global Partnership   | See Performance Goal 3.1.1 for Quarterly Result and Target Data |                |                         |                |                         |                |                         |                |
| Number of major milestones achieved by partner countries, each reflecting significant, measurable improvement in national or regional frameworks that support for low emission development, as supported by U.S. assistance | N/A   | 10             | 9                       | 30             | 30                      | 42             | 47                      | Under Review   |

<sup>12</sup> Cumulative 4.2 million

<sup>13</sup> Cumulative 6.9 million

<sup>14</sup> Cumulative 9.5 million

<sup>15</sup> Cumulative 11.7 million

<sup>16</sup> Previously reported as: Annual total percentage of children who received DPT3 by 12 months of age



## Summary of Key Performance Indicators

| Indicator Title   | FY 2013 Results | FY 2014 Target | FY 2014 Results     | FY 2015 Target       | FY 2015 Results | FY 2016 Target           | FY 2016 Results | FY 2017 Target |
|---|-----------------|----------------|---------------------|----------------------|-----------------|--------------------------|-----------------|----------------|
| Number of major milestones achieved by partner countries, each reflecting significant, measurable progress in implementing a LEDS and slowing the growth of greenhouse gas emissions, as supported by U.S. assistance | N/A             | 4              | 6                   | 15                   | 16              | 27                       | 35              | Under Review   |
| Number of LEDS policies or measures in developing countries strengthened by increased capacity gained through participation in the LEDS Global Partnership  | N/A             | N/A            | N/A                 | N/A                  | N/A             | 9                        | 10              | Under Review   |
| Number of U.S. diplomatic engagements with key institutions of global energy governance   | 30              | 35             | 34                  | 37                   | 43              | 40                       | 54              | Under Review   |
| Total of electricity traded through the regional power market in Central America, which has been a focus of U.S. policy and technical assistance engagements to increase power sector integration (in GWh)            | 506             | 962            | 1,446               | 1,600                | 1,369           | 1,500                    | 1,666           | Under Review   |
| Total of electricity imported and exported through regional power pools or through bilateral agreements (in MWh)  | N/A             | N/A            | 8,300 <sup>17</sup> | 10,350 <sup>20</sup> | N/A             | 15,500,000 <sup>20</sup> | 9,232,005       | 9,400,000      |
| Total of public and private funds (in USD) leveraged by U.S. Government for energy projects   | 1.4 billion     | 1.5 billion    | 6.9 billion         | 1.5 billion          | 2.2 billion     | 4.8 billion              | 3.7 billion     | Under Review   |
| Clean energy generation capacity installed or rehabilitated as a result of U.S. Government assistance (in MW)   | 29              | 250            | 185                 | 60                   | 8.5             | 310                      | 130             | Under Review   |
| Number of new electric power connections as a result of U.S. Government assistance  | N/A             | N/A            | 20,600              | N/A                  | 604,227         | 1,158,275                | 609,412         | Under Review   |
| Number of MWs of U.S. Government supported generation transactions that have achieved financial closure   | N/A             | 4,999          | 4,147               | 5,493                | 770             | 3,078                    | 632.5           | 1,984.8        |

<sup>17</sup> The baseline and FY 2015 targets were entered incorrectly as thousands and should have been entered as millions. This has been adjusted for FY 2016 onward.



# Summary of Key Performance Indicators

| Indicator Title   | FY 2013 Results | FY 2014 Target | FY 2014 Results | FY 2015 Target | FY 2015 Results | FY 2016 Target | FY 2016 Results | FY 2017 Target    |
|---|-----------------|----------------|-----------------|----------------|-----------------|----------------|-----------------|-------------------|
| <b>Strategic Goal 4: Protect Core U.S. Interests by Advancing Democracy and Human Rights and Strengthening Civil Society</b>  |                 |                |                 |                |                 |                |                 |                   |
| Number of executive oversight actions taken by legislature receiving U.S. assistance  | 359             | 75             | 254             | 181            | 81              | 84             | 190             | 143               |
| Number of U.S.-supported activities designed to promote or strengthen the civic participation of women  | 359             | 231            | 106             | 181            | 221             | 73             | 997             | 59                |
| Number of domestic election observers and/or party agents trained with U.S. assistance  | 41,302          | 27,984         | 28,892          | 14,600         | 40,398          | 20,397         | 43,901          | 23,924            |
| Number of individuals/groups from low income or marginalized communities who received legal aid or victim's assistance with U.S. support  | 36,759          | 87,460         | 185,631         | 168,306        | 257,232         | 171,181        | 229,655         | 71,880            |
| Number of target countries with new Fiscal Transparency Innovation Fund projects  | 16              | 1              | 13              | 9              | 10              | 9              | 12              | 7                 |
| Number of domestic NGOs engaged in monitoring or advocacy work on human rights receiving U.S. Government support  | 914             | 777            | 1,001           | 920            | 1,253           | 604            | 1,556           | N/A <sup>18</sup> |
| Number of human rights defenders trained and supported  | 21,078          | 12,260         | 48,224          | 28,907         | 47,922          | 23,303         | 31,418          | 16,701            |
| Percent of defenders and CSOs receiving Rapid Response Fund assistance (Percent Receiving Assistance) able to carry out work and/or report positive safety or security impacts  | N/A             | 70%            | 86%             | 75%            | 86%             | 85%            | 86%             | 85%               |
| Percentage of NGO or other international organization projects that include dedicated activities to prevent and/or respond to gender-based violence   | 56%             | 35%            | 30%             | 37%            | 35%             | 37%            | 37%             | 37%               |
| Number of anti-TIP policies, laws or international agreements strengthened with U.S. Government assistance  | 24              | 24             | 24              | 24             | 20              | 24             | 21              | 24                |
| Number of training and capacity-building activities conducted with U.S. Government assistance that are designed to promote the participation of women or the integration of gender perspectives in security sector institutions or activities | 149             | 254            | 219             | 229            | 640             | 288            | 344             | 531               |

<sup>18</sup> Because this indicator includes training and supports individual human rights defenders, it will be discontinued. This information is better captured in the indicator, "Number of human rights defenders trained and supported."



# Summary of Key Performance Indicators

| Indicator Title  | FY 2013 Results | FY 2014 Target | FY 2014 Results | FY 2015 Target | FY 2015 Results | FY 2016 Target | FY 2016 Results   | FY 2017 Target |
|--|-----------------|----------------|-----------------|----------------|-----------------|----------------|-------------------|----------------|
| Percentage of priority atrocity prevention countries in which the Department of State and USAID are working to promote credible transitional justice and accountability mechanisms             | N/A             | 100%           | 100%            | 100%           | 100%            | 100%           | 71%               | 100%           |
| Number of people reached by a U.S.-funded intervention providing GBV services (e.g. health, legal, psycho-social counseling, shelters, hotlines, other)  | 800,634         | 782,967        | 2,515,862       | 830,033        | 11,836,729      | 756,522        | 3,084,414         | 675,616        |
| Number of participants in the Young African Leaders Initiative   | N/A             | 500            | 500             | 500            | 28,380          | 56,730         | 66,835            | 83,500         |
| Number of meetings U.S. embassies in Open Government Partnership (OGP) countries convene between CSO OGP participants and CSO non-participants to broaden CSO participation in the OGP process | 0               | 8              | 8               | 10             | N/A             | 13             | N/A <sup>19</sup> | N/A            |
| Percentage of under-30 foreign participants in U.S. Government and private sector-sponsored international exchange programs  | N/A             | 79%            | 79%             | 81%            | 82%             | 83%            | 83%               | 85%            |
| Number of Civil Society Organizations receiving U.S. assistance engaged in advocacy interventions  | 13,570          | 16,875         | 18,238          | 10,950         | 18,024          | 4,259          | 4,979             | 4,044          |
| <b>Strategic Goal 5: Modernize the Way we do Diplomacy and Development</b>   |                 |                |                 |                |                 |                |                   |                |
| Percent of all passport applications processed within the targeted timeframe, as shown on the Department's website   | 99%             | 99%            | 99%             | 99%            | 99.7%           | 99%            | 99%               | 99%            |
| Percent of all applicants interviewed worldwide within three weeks of the date of application  | 90%             | 80%            | 94%             | 80%            | 92.5%           | 80%            | 88.3%             | 80%            |
| Procurement Administrative Lead Time (PALT) for Washington Acquisitions in calendar days   | N/A             | 268            | 517             | 268            | 456             | 268            | 377               | 268            |

<sup>19</sup> This indicator has been deleted.



# Summary of Key Performance Indicators

| Indicator Title  | FY 2013 Results | FY 2014 Target | FY 2014 Results | FY 2015 Target | FY 2015 Results     | FY 2016 Target   | FY 2016 Results                      | FY 2017 Target   |
|--|-----------------|----------------|-----------------|----------------|---------------------|--|--------------------------------------|--|
| Percentage of mission program funds implemented through local systems  | N/A             | N/A            | 16.9%           | 30%            | 18.6% <sup>20</sup> | USAID is not setting Agency-wide targets going forward <sup>21</sup> | Figures will be reported in May 2017 | USAID is not setting Agency-wide targets going forward |
| Percent of contractor performance assessment reports (CPARS) completed in Past Performance Information Retrieval System (PPIRS)                      | N/A             | 80%            | 59%             | 100%           | 82%                 | 90%  | 88%                                  | 90%  |
| Percent of prime contract acquisition dollars obligated to U.S. small businesses worldwide   | N/A             | 6.5%           | 12.1%           | 10%            | 9.3%                | 11%  | 13%                                  | 11.5%  |
| Percent of Office of Acquisition and Assistance (M/OAA) contracting officer series 1102 (Civil Service) and BS 93 (Foreign Service) positions filled | N/A             | 91%            | 87.7%           | 94%            | 84.6%               | 94%  | 90%                                  | 94%  |
| Change in the number of repeat users of the Bureau of International Information Programs' (IIP) digital services, platforms and products             | 379,822         | 417,804        | 826,314         | 459,584        | 1,197,855           | 1,257,747  | 1,277,073                            | 1,320,635  |
| Percent of USAID-funded evaluations that are published online  | 67%             | 80%            | 79%             | 75%            | 95% <sup>22</sup>   | 80%  | 79% <sup>23</sup>                    | 99%  |
| Number of data sets added to usaid.gov/data  | N/A             | 200            | 77              | 20             | 99                  | 20   | 10                                   | 20   |
| Percent of Language Designated Positions (LDPs) filled by employees who meet or exceed the language requirements                                     | 76%             | 77%            | 77%             | 78%            | 76%                 | 79%  | 75%                                  | 80%  |
| Number of U.S. Government employees overseas moved into secure, safe, and functional facilities  | 2,290           | 1,500          | 1,439           | 1,500          | 2,485               | 1,500  | 944                                  | 1,500  |

<sup>20</sup> Figures were not available when the FY 2017 APP/FY 2015 APR was prepared.

<sup>21</sup> Please note that due to the country-, context-, and sector-specific nature of fostering locally-owned development, rather than setting Agency-wide targets, USAID asks Missions to set and report on their progress towards their own, Mission-specific aspirational targets for channeling funds directly through to local actors.

<sup>22</sup> For FY 2015, upon finalization and validation of data in the Evaluation Registry, results show that 95 percent of evaluations were published online as of April 2016, with likely more added to the DEC after that date.

<sup>23</sup> As of January 30, 2017



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

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

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

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

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

|        | FY 2013 Baseline | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|------------------|---------|---------|---------|---------|
| Target | N/A              | 28      | 34      | 40      | 48      |
| Result | 24               | 35      | 58      | 44      |         |

This indicator tracks interactions by senior Department of State officials (Ambassador or Assistant Secretary Level and above) reported in the Advocacy Center's Summaries of FY 2016 Wins document. The Department of Commerce's Advocacy Center maintains a list of cases approved for U.S. government advocacy, which typically take the form of phone calls, meetings, and/or letters to foreign government officials in support of a U.S. company or business unit. Data compiled is a result of reporting by the field and Washington offices to the Advocacy Center of principal advocacy engagements.

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

|        | FY 2011 | FY 2012 | FY 2013 Baseline | FY 2014 | FY 2015 | FY 2016   | FY 2017 |
|--------|---------|---------|------------------|---------|---------|-----------|---------|
| Target | N/A     | N/A     | N/A              | 860,626 | 903,657 | 948,840   | 996,282 |
| Result | 723,277 | 764,495 | 819,644          | 886,052 | 974,926 | 1,044,000 |         |

The Open Doors Report on International Educational Exchange is published by the Institute of International Education (IIE), the leading not-for-profit educational and cultural exchange organization in the United States. IIE has conducted an annual statistical survey of campuses regarding international students in the United States





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

since 1919, with support from the Department of State's Bureau of Educational and Cultural Affairs since the early 1970s. The census is based on a survey of approximately 3,000 accredited U.S. institutions. The figures cited in the results row are released at the end of the calendar year for the previous academic year. For example, the Open Doors 2016 report, released in November 2016, contains information on foreign students from academic year 2015-2016. The number of foreign students enrolled in U.S. institutions fluctuated due to multiple economic and other factors over time.

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

**Performance Goal Statement:** By September 30, 2017, expand by 50 percent the number of senior-level science and technology innovation dialogues with key foreign governments using the eight 2013 dialogues as the baseline, and enable one percent of U.S. Global Development Lab innovations/technologies to reach more than five million people and 10 percent to reach more than 1 million people, using 2013 as the baseline.

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

|        | FY 2013 Baseline | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|------------------|---------|---------|---------|---------|
| Target | N/A              | 9       | 10      | 13      | 14      |
| Result | 8                | 10      | 12      | 20      |         |

#### Indicator Analysis

The Department of State's Bureau of Oceans and International Environmental and Scientific Affairs (OES) notes that the Department exceeded its target in FY 2016 as a result of increased demand from international partners. The Department anticipates that this positive trend will continue as foreign governments look to better leverage investments in research and development.

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

|        | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|---------|---------|---------|---------|
| Target | 0%      | 10%     | 10%     | 10%     |
| Result | 0%      | 1%      | 1%      |         |



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

The U.S. Global Development Lab’s (the Lab) innovation programming aims to increase the adoption of high-impact development solutions that have proven impact, widespread adoption, and sustainable financing. The Lab did not reach the indicator target this year; a significant reason for the lower result is that the Lab finalized its strategic framework in early FY 2016 in which it developed the more stringent and comprehensive indicator. Beneficiary reach, among other key criteria of high-impact innovations, is collected by Lab teams working on innovation programming. For each program that contributes to this indicator, the Lab has rigorous monitoring, evaluation and learning systems in place to track the outcomes of innovation support and ensure programs are evidence-based and iterative. The Lab also builds staged financing into innovation programs; thus support increases only after solutions are tested and demonstrate effectiveness.

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

|        | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|---------|---------|---------|---------|
| Target | 1%      | 1%      | 1%      | 1%      |
| Result | 0%      | 0%      | 0%      |         |

### Indicator Analysis

Lab teams working on innovation programming are responsible for collecting data and beneficiary reach, among other key criteria of high-impact innovations.. For each program that contributes to this indicator, the Lab has rigorous monitoring, evaluation and learning systems in place to track the outcomes of innovation support and ensure the program is evidence-based and iterative. The Lab also builds staged financing into innovation programs, so support increases only after solutions are tested and demonstrate effectiveness.



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

### Performance Goal 1.1.3: Outreach to U.S. Business (Agency Performance Goal)

**Performance Goal Statement:** By September 30, 2017, the Department of State will increase the number of Direct Line calls and webinars by 10 percent and increase the average number of participants on the calls by 10 percent over the FY 2015 baseline to provide U.S. companies with tactical, on-the-ground information critical to market access and decision-making.

**Key Indicator: Number of Direct Line Calls (webinars and teleconferences)**

|        | FY 2015 Baseline | FY 2016 | FY 2017 |
|--------|------------------|---------|---------|
| Target | N/A              | 27      | 27      |
| Result | 25               | 18      |         |

The Direct Line program did not meet its targeted number of calls (webinars and teleconferences) for FY 2016, completing 18 calls instead of the targeted 27 calls. The target number of calls represented an increase over the 2015 baseline; the actual number of calls continued its downward trajectory from the previous years. This decrease can be attributed to a change in the way Direct Line is now conducted – switching from conference calls to video-conferencing. Although video-conferencing has increased the quality of the exchange and information flow, the technological constraints have resulted in a lower number of calls and participants. The Bureau of Economic and Business Affairs (EB) is currently implementing reforms to increase the efficiency and performance of Direct Line calls. The Number of Direct Line Calls is calculated by summing the number of Direct Line webinars and teleconferences that EB/Commercial Business Affairs supports and hosts over the Fiscal Year.

**Key Indicator: Average Number of Direct Line Participants per Call (webinars and conferences)**

|        | FY 2015 Baseline | FY 2016 | FY 2017 |
|--------|------------------|---------|---------|
| Target | N/A              | 45      | 48      |
| Result | 44               | 33      |         |

The Average Number of Direct Line Participants per Call is calculated by taking the number of peak users on a webinar as recorded by a webinar platform. For teleconferences, the conference service records the total number of listeners and notifies EB/CBA at the end of each conference. Participant numbers are thereby recorded for each call, and averaged quarterly and then yearly.



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

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

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

**Performance Goal Statement:** By September 30, 2017, 10 out of 19 Feed the Future Focus countries will exhibit reductions of 10 percent or greater in the prevalence of poverty or stunting in their zones of influence, compared to the 2011-2012 baseline study results.

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

|        | FY 2014     | FY 2015      | FY 2016      | FY 2017     |
|--------|-------------|--------------|--------------|-------------|
| Target | 7.0 million | 8.0 million  | 8.0 million  | 8.5 million |
| Result | 6.8 million | 9.0 million* | 10.5 million |             |

The 2015 result for this indicator has been updated to reflect data reported in the 2016 Feed the Future Progress Report.<sup>24</sup> Country-level implementation plans for the Global Food Security Strategy are still in the early stages of development. The data sources for this indicator are the FY 2016 Performance Reports as reported in the Feed the Future Monitoring System. This system is used to collect results data for Feed the Future activities.

As of the FY 2016 APR publish date, full data quality reviews of performance data are on-going. The final figure for this indicator will be published in the Feed the Future Progress Report later this year, along with other Feed the Future performance data.

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

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

<sup>24</sup> Please see the [Feed the Future website](#) for further details.



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

|        | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|---------|---------|---------|---------|
| Target | 30%     | 40%     | 50%     | 60%     |
| Result | 45%     | 53%     | 57%     |         |

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

|        | FY 2013 Baseline | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|------------------|---------|---------|---------|---------|
| Target | N/A              | 8       | 9       | 5       | 5       |
| Result | 8                | 7       | 8       | 4       |         |

FY 2016 results are slightly below the target, but demonstrate a continued positive trend in improving gender equity in food security programs. Improvements may be attributed to USAID’s ongoing efforts to improve female participation and gender equity in food security programming, as well as better reporting as more food security agriculture programs are able to collect sex-disaggregated data. Despite these improvements, some indicators demonstrated larger differences in participant gender parity.

USAID reduced out-year targets in the FY 2015 APP/FY 2013 APR, as certain indicators already demonstrate good gender parity between female and male participants. Given the variance in programs each year, it is unlikely these indicators will show continued improvements when compared to the previous year despite maintaining overall gender parity for participants. In addition, some food security programs aim to address underlying causes of female disempowerment by actively targeting female participants, which would not promote gender parity in the number of participants.

In addition, Feed the Future is currently updating its set of interagency indicators to report under the Global Food Security Strategy. Revisions to the list of indicators may change the type and number of sex-disaggregated indicators that can be reported on. The data source is the FY 2016 Performance Reports.



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

### Performance Goal 1.2.3: Resilience to Recurrent Crisis

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

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

|        | FY 2011 | FY 2012 | FY 2013 Baseline | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|---------|---------|------------------|---------|---------|---------|---------|
| Target | N/A     | N/A     | N/A              | 16,805  | 34,428  | 75,000  | 75,000  |
| Result | 12,396  | 26,768  | 28,647           | 148,714 | 106,923 | 175,213 |         |

With continued growth in the scale and integration of disaster preparedness-related programming and reciprocal improvements in USAID reporting and data processing, the number of persons trained in disaster preparedness increased, significantly. Given these improvements, the out-year targets have been straight-lined to the conservative increase of 75,000, as it is particularly difficult to predict future humanitarian assistance needs.

This indicator measures the output of disaster preparedness capacity building activities. It is linked to a longer-term outcome of utilization of disaster preparedness skills and the improved lead-time, response, risk reduction, and sustainability of disaster preparedness and risk reduction activities. The deviation from the target could be due to continued improvements in USAID’s ability to capture training achievements from grantees via the new USAID Award Results Tracking (ART) system. In addition, given the very large number of people trained this fiscal year, some partners may be double counting inadvertently. The Office of Foreign Disaster Assistance (OFDA) has noted this issue and plans to further refine the reporting function for this indicator in its program database.

Using USAID’s ART system, the data are submitted by partners under the Risk Management Policy and Practice Sector. The numbers above are an aggregate of two OFDA standard indicators: 1) “Number of people trained in disaster preparedness, mitigation, and management, by sex”, and 2) “Number of people participating in training, by sex.”



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

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

|        | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|---------|---------|---------|---------|
| Target | 60      | 60      | N/A     | N/A     |
| Result | 117     | N/A     | N/A     |         |

USAID dropped this indicator in the FY 2015 Performance Plan Report (PPR) and will therefore not report on it in the FY 2016 APR based on the justification that it is no longer representative of OFDA programming and would not effectively or accurately communicate performance in the respective sector.



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# Strategic Goal 2: Strengthen America’s Foreign Policy Impact On Our Strategic Challenges

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

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

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

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

|        | FY 2013<br>Baseline | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|---------------------|---------|---------|---------|---------|
| Target | N/A                 | 7       | 7       | 7       | 7       |
| Result | 7                   | 7       | 7       | 6       |         |

Data on the indicator are provided by the Economic Growth Team in USAID’s Middle East Bureau and State’s Bureau of Near Eastern Affairs (NEA) Office of Assistance Coordination. The data reflect on-the-ground U.S. Government program results that improve the economic livelihood of youth and/or decrease youth unemployment rates.

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

|        | FY 2014  | FY 2015   | FY 2016   | FY 2017  |
|--------|--|---|---|--|
| Target | At least one country participates in exploratory talks on trade and investment protocols | At least two countries participate in exploratory talks on trade and investment protocols | Hold negotiating rounds with at least three countries on trade and investment protocols | Conclude at least three new trade and investment protocols |
| Result | 3  | 4   | 6   |  |

Indicator data are provided by the Economic Growth Team in USAID’s Middle East Bureau. This information was provided by NEA /Regional and Multilateral Affairs (RMA) and EB (with confirmation by the U.S. Trade Representative (USTR)).





## Strategic Goal 2: Strengthen America’s Foreign Policy Impact On Our Strategic Challenges

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

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

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

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

|        | FY 2014 Baseline | FY 2015 | FY 2016 | FY 2017 |
|--------|------------------|---------|---------|---------|
| Target | N/A              | 50%     | 60%     | 60%     |
| Result | N/A              | 82%     | 75%     |         |

Participants in U.S.-funded Asia-Pacific Economic Cooperation (APEC) capacity building activities are surveyed electronically one year after the training to ascertain whether and how they have applied what they learned in the training or workshops. The implementing partner conducts the survey and includes results in annual reports. The target refers to the percentage of participants who respond to the survey and state that they have applied learning. However, there have been challenges with data collection that may impact quality. An example of one of these challenges is that high response rates to the follow up survey have been difficult to achieve for some activities.



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# Strategic Goal 2: Strengthen America's Foreign Policy Impact On Our Strategic Challenges

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

|        | FY 2014 Baseline | FY 2015 | FY 2016 | FY 2017 |
|--------|------------------|---------|---------|---------|
| Target | N/A              | 3%      | 5%      | 20%     |
| Result | N/A              | 31%     | 32%     |         |

The percentage share of these respondents stated that what they learned influenced the adoption or amendment of relevant policies in their home economy. Important challenges to keep in mind are that electronic surveys sometimes have low response rates, which may introduce bias into results. Again, there have been challenges with data collection that may impact quality. Specifically, it is difficult to obtain high response rates to the follow up survey for some activities.

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

|        | FY 2014 Baseline | FY 2015 | FY 2016 | FY 2017 |
|--------|------------------|---------|---------|---------|
| Target | N/A              | 75      | 57      | N/A*    |
| Result | 69               | 58      | 35      |         |

\*The Emergency Action Plan (EAP) has discontinued this indicator.

The number of meetings relevant to this indicator are tracked by the implementing partners and reported to USAID via quarterly reporting. USAID's Regional Development Mission for Asia gathers data through the ASEAN programs managed by USAID including the ASEAN Connectivity through Trade and Investment (ACTI) and ASEAN-U.S. Partnership for Good Governance, Equitable and Sustainable Development and Security (PROGRESS).



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# Strategic Goal 2: Strengthen America's Foreign Policy Impact On Our Strategic Challenges

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

#### Performance Goal 2.3.1: Conflict and Fragility

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

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

|        | FY 2013 Baseline | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|------------------|---------|---------|---------|---------|
| Target | N/A              | 65%     | 75%     | 80%     | 80%     |
| Result | 54%              | 74%     | 75%     | 72%     |         |

In FY 2016, indicator results were impacted by the security situation in several focus countries, which limited USAID's ability to support WPS activities. Data for this indicator are derived from key issue data reported by operating units in the annual operational plan. Operational plan data are supplemented by a review of centrally-managed and other programming supported by USAID's Bureau for Democracy, Conflict, and Humanitarian Assistance to capture the full range of countries in which resources are aligned with NAP objectives.

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

|        | FY 2011 | FY 2012 | FY 2013 | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|---------|---------|---------|---------|---------|---------|---------|
| Target | N/A     | N/A     | N/A     | 14,296  | 492     | 2,082   | 296     |
| Result | 440     | 17,148  | 12,733  | 10,849  | 1,619   | 868     |         |

This indicator measures the extent to which the U.S. Government engages with groups and supports initiatives that aim to reduce conflict and the drivers of conflict. The performance under this indicator is consistent with the FY 2016 context of targeted countries, which, for instance, experienced fuel blockades and other serious



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# Strategic Goal 2: Strengthen America's Foreign Policy Impact On Our Strategic Challenges

security challenges. In FY 2016, targets and final reported results for this indicator were revised based on data quality assessments that recommended adjustments in the measurement to avoid over-counting. USAID gathers data from FY 2016 Performance Reports and the Foreign Assistance Coordination and Tracking System. Specifically, USAID and implementing partner staff conduct a series of monitoring tasks – direct observation, surveys, focus groups, and interviews – in order to verify that the groups funded through programming exist and meet certain basic criteria (legal registration, board of directors, regular meeting schedule, defined outputs). Overall, this indicator presents some risks of double-counting as a result of challenges in distinguishing new groups from new initiatives, as well as risks of counting groups that would have been established even in the absence of U.S. funding.

### Performance Goal 2.3.2: Humanitarian Assistance: Response

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

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

|        | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|---------|---------|---------|---------|
| Target | 95%     | 95%     | 95%     | 95%     |
| Result | 86%     | 86%     | 100%    |         |

In FY 2016, there were a total of 28 new declared disasters and USAID responded to 100 percent of these disasters within 72 hours. The indicator definition was revised to specify that OFDA's response time is recorded as the time OFDA sends the cable email to the cable room, not the transmission of the cable from the cable room. The change was made because the time the cable room sends the cable is outside of OFDA's control. The original way in which this indicator was measured caused a number of late responses that were out of USAID's control. For example, USAID would send the response cable within 72 hours of the disaster declaration, but the cable was not sent by the cable room within the 72 hour window.



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# Strategic Goal 2: Strengthen America’s Foreign Policy Impact On Our Strategic Challenges

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

|        | FY 2013    | FY 2014    | FY 2015     | FY 2016     | FY 2017    |
|--------|------------|------------|-------------|-------------|------------|
| Target | N/A        | 46,462,565 | 46,381,077  | 50,750,582  | 50,000,000 |
| Result | 61,315,940 | 54,079,863 | 109,533,298 | 101,871,313 |            |

The deviation between the FY 2016 results and target is consistent with the known unpredictability of the scale of needs from year to year. As USAID provides funds based on need, it cannot compare assistance provided from year to year because needs and responses vary greatly. USAID found a slight error in the method it used to count beneficiaries in FY 2015; USAID has corrected the number in FY 2016 and has updated its analysis instructions to ensure this error does not occur again.

USAID pulls data from its internal awards tracking systems (Abacus), implementing partner reports, and verbal or written reports from regional teams. As USAID’s planning and reporting is sector-focused with multiple partners, often working in collaboration in whole or part of the same geographic areas, focused on the whole or part of the same beneficiary groups to provide different or multiple services (e.g. shelter and protection), it is impossible to calculate the exact number of people assisted by USAID in a given region or country.

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

|        | FY 2012 | FY 2013 Baseline | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|---------|------------------|---------|---------|---------|---------|
| Target | N/A     | N/A              | 93%     | 93%     | 93%     | 93%     |
| Result | 93%     | 90%              | 90%     | 83%     | N/A     |         |

Due to the lateness of reporting from Food for Peace’s main implementing partner, the World Food Program, the FY 2016 results data are not currently available. However, as an indication of a typical year in humanitarian response, USAID provided emergency food assistance to over 33 million individuals in 53 countries in FY 2015. This included humanitarian responses in conflict affected areas, geographically isolated regions, and natural disasters required significant logistical effort. Providing timely food assistance to less than 93 percent of projected beneficiaries is below USAID’s historical averages. Conflict impeded implementing partners’ ability to access populations in need in several countries in FY 2015, including Afghanistan, DRC, South Sudan, and Yemen.



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### Performance Goal 2.3.3: Humanitarian Assistance: Refugees

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

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

|        | FY 2011 | FY 2012 | FY 2013 Baseline | FY 2014 | FY 2015 | FY 2016 | FY 2017      |
|--------|---------|---------|------------------|---------|---------|---------|--------------|
| Target | N/A     | N/A     | N/A              | 100%    | 100%    | 100%    | Under Review |
| Result | 73%     | 80%     | 99.99%           | 99.98%  | 99.90%  | 99.99%  |              |

In FY 2016, the United States admitted 84,994 refugees from 71 countries. This constitutes the largest number of refugees admitted to the United States in 17 years.



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

### Performance Goal 2.4.1: Arms Control and Nonproliferation

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

**Key Indicator:** Number of countries that have signed, received Board of Governors approval of, and/or brought into force Non-Proliferation of Nuclear Weapons (NPT)/International Atomic Energy Agency (IAEA) Additional Protocols

|        | FY 2011 | FY 2012 | FY 2013<br>Baseline | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|---------|---------|---------------------|---------|---------|---------|---------|
| Target | N/A     | N/A     | N/A                 | 3       | 3       | 2       | 2       |
| Result | 17      | 13      | 9                   | 3       | 3       | 4       |         |

Data are collected and provided by the IAEA.

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

|        | FY 2011 | FY 2012 | FY 2013<br>Baseline | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|---------|---------|---------------------|---------|---------|---------|---------|
| Target | N/A     | N/A     | N/A                 | 7       | 3       | 2       | 2       |
| Result | 8       | 7       | 12                  | 13      | 8       | 16      |         |

Data are collected and provided by the IAEA.



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

|        | FY 2013<br>Baseline | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|---------------------|---------|---------|---------|---------|
| Target | N/A                 | 0       | 24      | 24      | 24      |
| Result | 0                   | 0       | 24      | 24      |         |

Data are provided by the U.S. Department of Defense.

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

|        | FY 2013<br>Baseline | FY 2014   | FY 2015   | FY 2016   | FY 2017   |
|--------|---------------------|-----------|-----------|-----------|-----------|
| Target | N/A                 | 59,914 MT | 62,000 MT | 64,000 MT | 66,000 MT |
| Result | 56,247 MT           | 59,400 MT | 64,437 MT | 67,243 MT |           |

Destruction data are derived from reports submitted by the Organization for the Prohibition of Chemical Weapons (OPCW). Target values are estimations from a variety of sources.





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

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

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

|        | FY 2015 | FY 2016 | FY 2017 |
|--------|---------|---------|---------|
| Target | 40      | 40      | 70      |
| Result | 41      | 75      |         |

Data for this indicator are derived from the number of partner countries with which the USG has entered into Letters of Agreement (LOAs) and Amended Letters of Agreement (ALOs). These agreements are the result of often lengthy negotiations on the nature of criminal justice assistance partnerships. The number of agreements is comprised of a combination of agreements with new countries, the continuation of work with existing partner countries and modifications to existing agreements. The changes may include new commitments in capacity building to address civilian security, transnational organized crime, and the rule of law.

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

|        | FY 2015 | FY 2016 | FY 2017 |
|--------|---------|---------|---------|
| Target | 339     | 297     | 349     |
| Result | 409     | 523     |         |

Overall, progress for this indicator is due to greater than anticipated interest from cooperating courts, adjustment of the methodology for improving courts, and expansion of the types of eligible courts in several countries.



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### Performance Goal 2.4.3: Securing Cyberspace

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

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

|        | FY 2013 | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|---------|---------|---------|---------|---------|
| Target | 18      | 22      | 28      | 38      | 50      |
| Result | 18      | 27      | 42      | 58      |         |

The data reflect the number of countries the Department has engaged in implementing the International Strategy in FY 2016, and does not indicate the cumulative or aggregate of all the countries which the Department and USAID have engaged with since FY 2013.

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

|        | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|---------|---------|---------|---------|
| Target | 24%     | 48%     | 74%     | 100%    |
| Result | 44%     | 68%     | 88%     |         |

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



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

### Key Indicator: Prevalence of stunted children under five years of age

|        | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|---------|---------|---------|---------|
| Target | 38.2%   | 37.0%   | 34.9%   | 33.4%   |
| Result | 37.7%   | 35.7%   | 34.3%   |         |

FY 2016 targets and results were estimated using Demographic Health Survey (DHS) and Reproductive Health Survey (RHS) data, where available. Multiple Indicator Cluster Survey (MICS) data were used if a DHS/RHS has not been completed in the last ten years. The data were weighted using Census Bureau International Database population estimates, and the analysis was done using linear regression, thus modeling estimates for years where no surveys were conducted and projecting out-year targets using a 'best-fit' line. As a result, reported results reflect linear interpolation (FY 2011 – FY 2014) and regression (FY 2015 – FY 2016) models, and may change year to year based on inclusion of new survey results in the linear model.

These declines in stunting reflect national level results for nutrition priority countries to which USAID has contributed, not exclusively the specific FTF target areas.

### Key Indicator: Prevalence of anemia among women of reproductive age

|        | FY 2011 | FY 2012 | FY 2013 | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|---------|---------|---------|---------|---------|---------|---------|
| Target | N/A     | N/A     | N/A     | 37.9%   | 37.4%   | 32.8%   | 32.4%   |
| Result | 41.4%   | 40.9%   | 38.5%   | 35.1%   | 33.7%   | 33.3%   |         |

In FY 2016, the prevalence of anemia among women of reproductive age was 33.3 percent in 15 of the 19 priority countries for which data are available. This represents a decrease from the previous year's estimate and nearly reaches the target of 32.8 percent. The unexpected change in the downward global trend reflects new national survey data from Malawi and Tanzania included in the FY 2016 analysis. Both countries observed a subtle increase in maternal anemia rates in these recent surveys, thus impacting the overall regression analysis for the 15 countries. The countries showing the largest average annual rate of reduction were Uganda, Ethiopia,



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and Guatemala. Due to their relative importance in driving trends at the global level, reductions in anemia in Ethiopia and Democratic Republic of Congo (DRC) significantly contributed to the FY 2016 results. However, Nigeria was notably absent from the analysis due to lack of national level data. In FY 2016 USAID's programs improved the nutritional status of women through targeted investments in the highest burden countries and worked across sectors such as health, agriculture, and water, sanitation and hygiene.

A concern with data quality is that anemia is determined through a blood test performed during the survey process and women below reference threshold of hemoglobin concentration are determined to have anemia.

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

|        | FY 2012   | FY 2013 Baseline | FY 2014   | FY 2015   | FY 2016   | FY 2017   |
|--------|-----------|------------------|-----------|-----------|-----------|-----------|
| Target | N/A       | N/A              | 1,717,076 | 2,087,731 | 2,712,908 | 2,875,055 |
| Result | 1,247,737 | 1,884,169        | 1,964,680 | 2,386,095 | 2,325,956 |           |

In FY 2016, the target was 2,712,908 and the result was 2,325,956. The difference between the planned target and the result is mainly due to the revision of this standard indicator. Not all countries are reporting on the new indicator. Additionally, data for this indicator are preliminary and will be finalized upon the completion of the annual performance report. However, USAID has set a target of reaching six million persons with sustainable access to improved sanitation over the period of 2013-2018, and has met this goal ahead of schedule. The countries and regions with the greatest number of people gaining access to basic sanitation are DRC, Kenya, Philippines, and the West Africa Regional Platform.

Data for this indicator are directly pulled from the Foreign Assistance Coordination and Tracking System (FACTS Info) and represents U.S. Government programs. Acceptable program level data is input into FACTS Info and summed for totals.

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

|        | FY 2012   | FY 2013 Baseline | FY 2014   | FY 2015   | FY 2016   | FY 2017   |
|--------|-----------|------------------|-----------|-----------|-----------|-----------|
| Target | N/A       | N/A              | 3,266,609 | 4,226,216 | 3,987,554 | 2,977,660 |
| Result | 3,239,752 | 3,131,707        | 4,014,312 | 3,625,637 | 2,935,266 |           |



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In FY 2016, the target was 3,987,554 and the result was 2,935,266. The difference between the planned target and the result is mainly due to the revision of this standard indicator. Not all countries are reporting on the new indicator, yet. Additionally, data for this indicator are preliminary and will be finalized upon the completion of the annual performance report. However, USAID has set a target of reaching ten million people with sustainable access to improved sanitation over the period of 2013-2018, and has met this goal ahead of schedule. The countries with the greatest number of people gaining access to basic water services are DRC, Indonesia, Philippines, and South Sudan.

### Key Indicator: Number of Neglected Tropical Disease (NTD) treatments delivered through USG-funded programs

|        | FY 2011                     | FY 2012                     | FY 2013 Baseline            | FY 2014                     | FY 2015                     | FY 2016                     | FY 2017     |
|--------|-----------------------------|-----------------------------|-----------------------------|-----------------------------|-----------------------------|-----------------------------|-------------|
| Target | N/A                         | N/A                         | N/A                         | 190 million                 | 218 million                 | 200 million                 | 325 million |
| Result | 208.2 million <sup>25</sup> | 244.6 million <sup>26</sup> | 233.9 million <sup>27</sup> | 239.1 million <sup>28</sup> | 174.9 million <sup>29</sup> | 270.7 million <sup>30</sup> |             |

With this best estimate of treatments delivered in FY 2016, the USAID NTD Program can achieve a rating of “above target”. Complete data are expected in mid-FY 2017.

The FY 2017 targets have been set at 325 million treatments. These new targets reflect expansion of activities into Côte d’Ivoire, DRC, Nigeria, Ethiopia, and Tanzania. However, some countries that received support from USAID starting in 2006 are beginning to achieve Stop-MDA criteria; therefore, there will be reduction in treatments for lymphatic filariasis and trachoma.

This indicator captures the number of NTD treatments delivered for 20 countries in FY 2016.

<sup>25</sup> USAID reported 186.7 million treatments delivered in FY 2011 in the FY 2011 APR based on partial data. Upon reporting of complete data, an updated result of 208.2 million total treatments was delivered.

<sup>26</sup> USAID reported 103.8 million treatments delivered in FY 2012 in the FY 2012 APR based on data available as of September 30, 2012. Upon reporting of complete data, an updated result of 244.6 million treatments was delivered.

<sup>27</sup> USAID reported 103.2 million treatments delivered in FY 2013 in the FY 2013 APR based on data available as of November 8, 2013. Upon reporting of complete data, an updated result of 233.9 million treatments was delivered.

<sup>28</sup> USAID reported 133.4 million treatments delivered in FY 2014 in the FY 2014 APR based on data available as of October 31, 2014. Upon reporting of complete data, an updated result of 239.1 million treatments was delivered.

<sup>29</sup> USAID reported 174.9 m treatments in FY 2015 in the FY 2015 APR based on data available as of October 31, 2015. Upon reporting of complete data, an updated result of 299 million treatments was delivered.

<sup>30</sup> USAID reported 270.7 million treatments delivered in FY 2016 based on data available as of November 14, 2016. USAID’s best estimate for when complete FY 2016 data will be available is mid-2017. The number of treatments delivered in FY 2016 is estimated to reach 364.7 million.



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USAID primary award recipients and subcontractors obtain information from Ministries of Health. After data have been submitted by country programs, USAID and its partners undergo an intensive process to review data validity, reliability, timeliness, and integrity. This process involves reviewing previous submissions, comparing results across time, triangulating information across multiple sources, and following up with Ministries of Health and subcontractors as needed. In addition, a Data Quality Assessment (DQA) protocol and a data capture tool endorsed by the World Health Organization (WHO) were launched in 2013. The DQA tool assesses the quality of reported NTD data and the ability of the NTD data management systems to collect and report quality data. Since the launch of these tools, 29 countries have been trained on the DQA through a variety of approaches, including a training of trainers, regional training workshops, and in-country trainings. To date, 15 of the 29 countries that were trained have successfully implemented a DQA.

### Key Indicator: Case Notification Rate in new sputum smear positive pulmonary TB cases per 100,000 population nationally

|        | FY 2011         | FY 2012         | FY 2013         | FY 2014         | FY 2015         | FY 2016         | FY 2017         |
|--------|-----------------|-----------------|-----------------|-----------------|-----------------|-----------------|-----------------|
| Target | N/A             | N/A             | N/A             | 131 per 100,000 | 133 per 100,000 | 140 per 100,000 | 142 per 100,000 |
| Result | 115 per 100,000 | 120 per 100,000 | 129 per 100,000 | 131 per 100,000 | 138 per 100,000 | 139 per 100,000 |                 |

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

Data quality concerns reside in the shift of the indicator’s definition over time since WHO updated the TME framework in 2013 and NTPs began to introduce and scale up the new definitions and reporting forms. To maintain consistency and in recognition of the fact that most NTPs were slow to scale up the new reporting framework, the calculation of this indicator remained the same from FY 2013 to FY 2014. For FY 2015, as more countries expanded use of the framework and new definitions, the calculation changed and resulted in a higher rate due to the inclusion of TB cases that previously would not have been counted in the case notification rate. For FY 2016, results increased slightly, but not as much as the previous year due to stabilization of reporting in India, which was the cause of a high increase in FY 2015. A concern with this indicator is the possibility of a lower rate for FY 2017, if all service delivery sites that diagnose TB do not report notifications on a quarterly



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basis; this may be an issue in countries where many TB cases are diagnosed and treated in private sector settings, but not notified to the NTP.

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

|        | FY 2011 | FY 2012 | FY 2013 | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|---------|---------|---------|---------|---------|---------|---------|
| Target | N/A     | N/A     | N/A     | N/A     | 87%     | 88%     | 89%     |
| Result | 86%     | 86%     | 87%     | 88%     | 87%     | 87%     |         |

The definition of treatment success rate changed for FY 2014 with the new WHO reporting framework and remained in place for FY 2015. This important programmatic outcome, which previously focused only on smear positive (and potentially contagious) TB cases, now includes all forms of TB. This more than doubles the number of TB patients included in the analysis of USAID supported countries.

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

The major concern with this indicator is the shifting definition from FY 2013 to FY 2014 as part of the WHO update to the TME framework. Unlike case notification rate, it was not possible to calculate the indicator as defined in the past because the variables that contribute to the numerator and denominator are not the same. Additionally, since the key variables changed over time, it is possible that NTPs that were slow to adopt the new framework did not consistently adhere to the new definitions, though it is not known how this data quality concern could affect the direction. USAID is providing technical assistance to countries to improve reporting systems, especially with regards to the revised WHO framework, and to address these potential data quality issues.



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### Key Indicator: Percent of Teenagers Who Have Begun Childbearing

|        | FY 2015 | FY 2016 | FY 2017      |
|--------|---------|---------|--------------|
| Target | N/A     | 18.0    | Under Review |
| Result | 18.8    | 19.2    |              |

This indicator measures the proportion of women age 15 to 19 who were mothers or pregnant at the time of the survey. The FY 2015 baseline is based on the number of countries receiving more than \$2 million in Family Planning/Reproductive Health (FP/RH) in FY 2014 and with two or more RHS or MICS, Performance Monitoring and Accountability 2020 (PMA 2020), or DHS data points available at the time of reporting. South Sudan has been included since it meets the funding criterion but only has one survey data point.

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

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

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

|        | FY 2012     | FY 2013     | FY 2014     | FY 2015     | FY 2016       | FY 2017       |
|--------|-------------|-------------|-------------|-------------|---------------|---------------|
| Target | N/A         | N/A         | N/A         | N/a         | 11.4 million* | 12.9 million* |
| Result | 5.1 million | 6.7 million | 7.7 million | 9.5 million | 11.5 million  |               |

\*Targets were set based on an announcement for World AIDS Day in 2015.

On December 1, 2015, The President's Emergency Plan for AIDS Relief (PEPFAR) announced that by the end of fiscal year 2017 they would plan to support 12.9 million individuals on ART. Through a revised operational approach focusing the majority of resources on those people and locations with the highest burden, and promoting WHO's Test and Treat guidelines this goal is likely within reach. The midpoint for this two year target has come and PEPFAR not only reached but exceeded the FY 2016 target providing lifesaving ART to 11.5 million people living with HIV in the countries that PEPFAR supports.





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This indicator collects data from facility ART registers and databases, program monitoring tools, and drug supply management systems. It is derived by counting the number of adults and children who are currently receiving ART in accordance with the nationally approved treatment protocol (or WHO/UN Programme on HIV/AIDS standards) at the end of the reporting period (30 September 2016). The current ART count should equal the number of adults and children with HIV infection who ever started ART excluding those patients who are not currently on treatment at the end of the reporting period. Additionally, patients who receive ARVs for post-exposure prophylaxis (PEP) or short term ART only for prevention (PREP) are not included in this result.

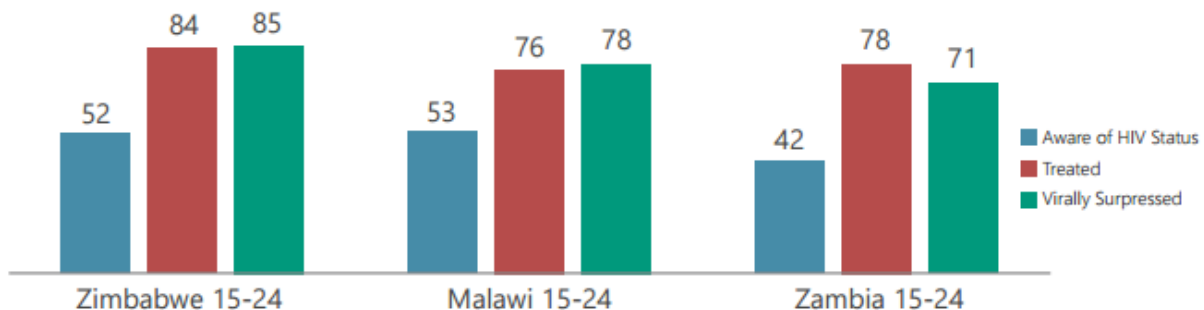
**Key Indicator: Number of HIV-positive pregnant women who received antiretrovirals to reduce risk of mother-to-child transmission**

|        | FY 2012 | FY 2013 | FY 2014 | FY 2015 | FY 2016  | FY 2017 |
|--------|---------|---------|---------|---------|----------|---------|
| Target | N/A     | N/A     | N/A     | N/A     | 766,898* | 784,821 |
| Result | 747,300 | 781,800 | 745,369 | 832,000 | 768,077  |         |

\*Targets were set based on the announcement for World AIDS Day in 2015.

PEPFAR has met and exceeded the target for the number of pregnant women who received ARVs during this fiscal year. This achievement is accentuated by the fact that 97 percent of women were provided with life-long ART to protect mother and baby throughout the pregnancy, breast feeding, and beyond. This indicator collects data from the Antenatal Clinic (ANC) or Prevention from Mother to Child Transmission (PMTCT) register depending on country context (in many high HIV prevalence settings information on the number of women receiving ART regimens is integrated into the ANC register). A concern with data quality is that there is a risk of double counting as a pregnant woman receiving ART at ANC should have multiple visits for each pregnancy, therefore partners ensure a data collection and reporting system is in place to minimize double counting of the same pregnant women across visits. Additionally, indicator data does not count women who initiate ART while breastfeeding.

Progress to 90/90/90 in adolescents and young adults (15-24 years old) (%)



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

|        | FY 2012                 | FY 2013                 | FY 2014                 | FY 2015                 | FY 2016                 | FY 2017    |
|--------|-------------------------|-------------------------|-------------------------|-------------------------|-------------------------|------------|
| Target | N/A                     | N/A                     | N/A                     | N/A                     | 11,000,000              | 13,000,000 |
| Result | 1,131,901 <sup>31</sup> | 2,230,075 <sup>32</sup> | 2,242,267 <sup>33</sup> | 2,573,000 <sup>34</sup> | 2,290,200 <sup>35</sup> |            |

Cumulative targets reflect achievements since PEPFAR's VMMC program started in select countries in 2009. The cumulative target for FY 2016 achievement is 11 million and as of the end of FY 2016, PEPFAR has far exceeded that goal by almost 700,000. As historical trends show that, on average, PEPFAR's partners perform in excess of two million procedures each year, the program looks forward to meeting and exceeding the cumulative 13 million circumcisions target next fiscal year. The numerator can be generated by counting the number of males circumcised as part of the VMMC for HIV prevention program. This information can generally be found in VMMC Register, or client medical records maintained by each program/site/service provider. At the writing of this report, there are no data quality concerns that could affect this indicator.

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

**Performance Goal Statement: By September 30, 2017, U.S. assistance to end preventable child and maternal deaths will reduce under-five mortality in 24 Maternal and Child Health U.S. Government-priority countries by three deaths per 1,000 live births as compared to a baseline of 2015.**

<sup>31</sup> Cumulative 1.9 million

<sup>32</sup> Cumulative 4.2 million

<sup>33</sup> Cumulative 6.9 million

<sup>34</sup> Cumulative 9.5 million

<sup>35</sup> Cumulative 11.7 million



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### Key Indicator: Absolute change in under-five mortality rate (U5MR)

|        | FY 2011 | FY 2012 | FY 2013 | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|---------|---------|---------|---------|---------|---------|---------|
| Target | N/A     | N/A     | N/A     | -2      | -2      | -2      | -2      |
| Result | -3.3    | -2.7    | N/A     | -2.4    | -1.7    | -2.2    |         |

Data for all-cause under-five mortality are produced by the UN Interagency Working Group on Mortality Estimates (UN IGME). USAID accounts variation in data while still monitoring progress against Ending Preventable Child and Maternal Deaths (EPCMD) goals as it helps countries increase rigor and utility of these estimates. The decline of 2.2, greater than the target of 2.0 for the reduction in the mortality rate, may reflect accelerated efforts by countries in recent years to achieve Millennium Development Goals (MDG) targets. One-half of USAID Priority Countries achieved the MDG target of two-thirds reduction in under-five mortality.

The IGME seeks to compile all available national-level data on child mortality, including data from vital registration systems, population censuses, household surveys, and sample registration systems to generate all-cause under-five mortality rate estimates. To estimate the under-five mortality trend series for each country, a statistical model is fitted to data points that meet quality standards established by the UN IGME and then used to predict a trend line that is extrapolated to a common reference year. The FY 2016 result is reflective of data from the UN IGME September 2015 Revision, weighted by the number of live births from the United Nation World Population Prospects 2015 Revision.

### Key Indicator: Absolute change in modern contraceptive prevalence rate (mCPR)

|        | FY 2014 | FY 2015 | FY 2016 | FY 2017      |
|--------|---------|---------|---------|--------------|
| Target | +1      | +1      | +1      | Under Review |
| Result | +1      | +1.2    | +1.4    |              |

USAID-assisted FP/RH countries achieved a 1.4 percent point increase in mCPR between FY 2015 and FY 2016, from 32.2 in FY 2015 to 33.6 in FY 2016, exceeding the planned target for FY 2016. This indicator measures the percentage of in-union women of reproductive age (WRA) (age 15-49) using, or whose partner is using, a modern method of contraception at the time of the survey.



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# Strategic Goal 2: Strengthen America’s Foreign Policy Impact On Our Strategic Challenges

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

|        | FY 2016<br>Quarter<br>1 | FY 2016<br>Quarter<br>2 | FY 2016<br>Quarter<br>3 | FY 2016<br>Quarter<br>4 | FY 2017<br>Quarter<br>1 | FY 2017<br>Quarter<br>2 | FY 2017<br>Quarter<br>3 | FY 2017<br>Quarter<br>4 |
|--------|-------------------------|-------------------------|-------------------------|-------------------------|-------------------------|-------------------------|-------------------------|-------------------------|
| Target | 90%                     | 90%                     | 90%                     | 90%                     | Under Review            |                         |                         |                         |
| Result | 93%                     | 90%                     | 90%                     | 91%                     |                         |                         |                         |                         |

This indicator measures on-time contraceptive commodity shipments made to 23 countries. This indicator is calculated as the cumulative commodities shipped and delivered each quarter as a proportion of the known orders for the year at the time, across all appropriate countries noting that the needs of countries (and therefore the number of countries) may vary quarter-to-quarter and year-to-year. Shipments included are those requested by USAID missions through the Central Contraceptive Procurement (CCP) program.

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

|        | FY 2012<br>Baseline | FY 2013    | FY 2014    | FY 2015    | FY 2016    | FY 2017    |
|--------|---------------------|------------|------------|------------|------------|------------|
| Target | N/A                 | N/A        | 45,000,000 | 50,000,000 | 62,000,000 | 72,000,000 |
| Result | 50,000,000          | 45,000,000 | 89,000,000 | 72,000,000 | 87,000,000 |            |

The data source for this indicator is USAID program information. FY 2017 targets for this indicator are set by estimating the number of Insecticide Treated Nets (ITN) that will be distributed by PMI in the following year based on Malaria Operational Plans for the 19 PMI focus countries in Africa plus Burma, Cambodia and the Mekong Regional program and looking at trends for distribution over the years across PMI countries.

Possible data limitations include a lag in reporting from partners due to delayed ITN distribution in a particular country.



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# Strategic Goal 2: Strengthen America’s Foreign Policy Impact On Our Strategic Challenges

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

|        | FY 2011<br>Baseline | FY 2012 | FY 2013 | FY 2014 | FY 2015 | FY 2016 <sup>36</sup> | FY 2017 |
|--------|---------------------|---------|---------|---------|---------|-----------------------|---------|
| Target | N/A                 | 50.4%   | 51.5%   | 52.4%   | 53.4%   | +1                    | +1      |
| Result | 49.4%               | 51.6%   | 51.3%   | 59.9%   | 55.9%   | +0.4                  |         |

\*Previously reported as: Average use of skilled birth attendants by a skilled doctor, nurse, or midwife.

In FY 2016, USAID changed the methodology from the average use of skilled birth attendants (SBA) to the absolute change in total percentage of births attended by an SBA. Increasing the percent of deliveries attended by an SBA in EPCMD countries is an enormous challenge given key health systems constraints such as staffing shortfalls, as well as the fact that those currently not accessing skilled attendance are disproportionately widely dispersed rural populations.

In FY 2016, USAID focused its maternal and child health efforts on the set of 24 countries that account for 67 percent of child deaths worldwide. Recognizing the difficulties in achieving higher coverage of SBAs, USAID works in close collaboration with host country governments to help train, deploy, and motivate SBA, in addition to strengthening existing systems for quality management and quality improvement and reducing barriers to use of services. Despite these challenges, USAID achieved a total change of 0.4 percent in FY 2016. While a population-level change in SBA of 0.4 percentage points still represents a large change in absolute terms - and GH is currently maintaining the target of an annual change of 1.0. USAID will reassess the practicality of the target within current resource levels for the next reporting period. To help support continued increases in skilled birth attendant coverage, USAID will continue to work in close collaboration with host country governments to help train, deploy, and motivate skilled birth attendants, in addition to strengthening existing systems for quality management and quality improvement and reducing barriers to use of services.

Limitations for the SBA indicator are that each country uses a locally specific definition of which providers are considered "skilled." This definition may vary across countries, as a cadre of providers considered "skilled" in one country may not have similar skills as a similarly named cadre in another country. As a result, who is considered an SBA may differ some between countries. Additionally, the estimates for SBA come from surveys and therefore have margins of error. Surveys are also carried out every three to five years and therefore these estimates may be based on responses that reflect service several years in the past. For example, the surveys request information about births that may have occurred up to five years prior to the most recent survey.

<sup>36</sup> In FY 2016, the Agency changed the methodology from the average use of skilled birth attendants to the absolute change in total percentage of births attended by an SBA. Current reporting is reflective of the aggregate annual percentage for 24 countries.



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The percent of births attended is calculated among women giving birth in the last five years, at the most recent birth, those who had a doctor, nurse or midwife in attendance divided by the most recent birth of all women giving birth in the past five years. Data are collected from DHS, MICS, and other nationally representative surveys. Data for the 24 USAID priority countries are aggregated using a dynamic aggregation methodology and weighted by birth cohort using UN World Population Prospects 2015 Revision. Targets are calculated based on an absolute change in SBA using historical trends in the 24 priority countries. Note that in 2017, this indicator will include a 25th country.

**Key Indicator: Absolute change in the percent of children who received a third dose of diphtheria, pertussis, and tetanus (DPT3) containing vaccine by 12 months of age\*.**

|        | FY 2011 | FY 2012 | FY 2013 | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|---------|---------|---------|---------|---------|---------|---------|
| Target | N/A     | N/A     | N/A     | +0.5    | +0.5    | +0.5    | +0.5    |
| Result | 59.9%   | 60.8%   | 60.4%   | +0.9    | +1.6    | +1.6    |         |

\* Previously reported as: Annual total percentage of children who received DPT3 by 12 months of age

Limitations that affect this indicator are that the source of the estimates for DPT3 has changed since the original targets were established. GH currently utilizes annual estimates of vaccination coverage published by the UN (which take into consideration survey findings as well as country counts of vaccines provided); in the past, the targets were established based only on survey findings. This has shifted coverage to a higher level than originally targeted in 2014 and 2015.

The data source for this indicator is the United Nations International Children's Emergency Fund and World Health Organization (UNICEF/WHO) database, which incorporates both DHS and MICS data that are comparable and adhere to a standardized definition, along with other data considered accurate. Data for the 24 USAID priority countries are aggregated using a dynamic aggregation methodology and weighted by birth cohort using UN World Population Prospects 2015 Revision.



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

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

### Performance Goal 3.1.1: Building on Strong Domestic Action, Lead International Actions to Combat Climate Change

#### Performance Goal Statement:

By September 30, 2017, U.S. Government partnerships with developing countries to refine and implement their low emission development strategies (LEDS) will result in achievement of 100 (from a baseline of 46 in 2015) major milestones which contribute to significant, measureable progress toward achieving domestic and international contributions to global greenhouse gas reductions. At least 2,000 developing country government officials and practitioners will strengthen their LEDS capacity through participation in the LEDS Global Partnership, and that capacity will result in strengthened LEDS policies or measures in 24 countries.

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

|        | FY 2016 Quarter 1 | FY 2016 Quarter 2 | FY 2016 Quarter 3 | FY 2016 Quarter 4 |
|--------|-------------------|-------------------|-------------------|-------------------|
| Target | 250               | 500               | 750               | 1,000             |
| Result | 265               | 926               | 1,912             | 2,736             |

“Initiation of U.S. technical assistance for LEDS” is defined as one or both of the following: 1) one or more days of U.S. technical assistance in climate change provided to counterparts or stakeholders to support an activity identified in the Agreed Work Program, or 2) one or more person hours of training completed on areas identified in the Agreed Work Program. Results per quarter are cumulative. This indicator represents countries in which the U.S. Government has provided one or both of these forms of assistance.



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**Key Indicator: Number of major milestones achieved by partner countries, each reflecting significant, measurable improvement in national or regional frameworks that support low emission development, as supported by U.S. assistance**

|        | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|---------|---------|---------|---------|
| Target | 10      | 30      | 42      | 57      |
| Result | 9       | 30      | 47      |         |

The U.S. Government team contributed to the achievement of 17 major milestones in LEDS development in FY 2016 for a cumulative of 47 major milestones, exceeding the target by five. This was due to significant support to partner countries and the realization of more LEDS development milestones than originally envisioned in the target setting process. In the context of this indicator, a “major milestone” is defined as the establishment, adoption, or significant improvement of a country’s overall LEDS or one or more essential components or building blocks. Essential components include but are not limited to plans, prioritized near-term actions, greenhouse gas inventory systems, analytical tools, and policy or regulatory frameworks. To be considered a “major milestone,” the event, output, or outcome must be significant in the context of the individual country.

**Key Indicator: Number of major milestones achieved by partner countries, each reflecting significant, measurable progress in implementing a LEDS and slowing the growth of greenhouse gas emissions, as supported by U.S. assistance**

|        | FY 2014 | FY 2015 | FY 2016 | FY 2017      |
|--------|---------|---------|---------|--------------|
| Target | 4       | 15      | 27      | Under Review |
| Result | 6       | 16      | 35      |              |

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

In the context of this indicator, improvements that may be considered “major” include but are not limited to: 1) significant measured or projected GHG reductions from “business as usual” scenarios; 2) finance leveraged or





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funds established for mitigation actions; 3) significant additional clean energy generation capacity installed; and 4) country-level renewable energy targets or land based sequestration targets met. To be considered a "major milestone," this impact must be significant in the context of the individual country.

## Key Indicator: Number of LEDS policies or measures in developing countries strengthened by increased capacity gained through participation in the LEDS Global Partnership

|        | FY 2016 | FY 2017      |
|--------|---------|--------------|
| Target | 9       | Under Review |
| Result | 10      |              |

To track progress under this indicator, participants in LEDS GP activities are surveyed by the LEDS GP Secretariat following participation in LEDS GP activities and asked to describe their improved capacity and whether and how they have applied their strengthened capacity. They are also asked how the LEDS related policy or measure on which they have worked has been improved. Additional information from participants or other sources may be gathered by the LEDS GP Secretariat to clarify and validate the reports of participants to the initial survey and the linkage between the LEDS GP activity and the reported policy or measure. Only responses with specific LEDS actions are counted. Each LEDS activity and supporting information will be assessed and validated by the Goal Managers. Classification of "developing country" is based on a United Nations established list.



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

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

### Performance Goal 3.2.1: Strengthen Global Energy Governance

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

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

|        | FY 2013 Baseline | FY 2014 | FY 2015 | FY 2016 | FY 2017      |
|--------|------------------|---------|---------|---------|--------------|
| Target | N/A              | 35      | 37      | 40      | Under Review |
| Result | 30               | 34      | 43      | 54      |              |

Results are calculated by counting the number of 1) Delegations at the Office Deputy Director level and above that engage on this indicator with the IEA, including meetings of the Agency’s Governing Board and standing groups on which State holds a seat; 2) Number of State delegations to IRENA Council, IRENA Assembly and working group meetings above the Deputy Director level, focused on increasing growth and capacity in that organization; and 3) Number of United States engagements at the Deputy Director level or above on EITI, focused on the expansion of EITI membership or strengthening of the initiative.



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## Performance Goal 3.2.2: Open International Electric Power Markets

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

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

|        | FY 2013 Baseline | FY 2014 | FY 2015 | FY 2016 | FY 2017      |
|--------|------------------|---------|---------|---------|--------------|
| Target | N/A              | 961     | 1,600   | 1,500   | Under Review |
| Actual | 506              | 1,445   | 1,368   | 1,666   |              |

The data used to calculate this indicator is provided by the regional Central American electricity system and market operator and is publicly available. Additional details can be found at system and market operator's (Spanish acronym for EOR) (in Spanish) <http://www.enteoperador.org/> under menu: Información del MER/Gestion Comercial/Informe de transacciones.

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

|        | FY 2014 Baseline | FY 2015 | FY 2016    | FY 2017      |
|--------|------------------|---------|------------|--------------|
| Target | N/A              | 10,350  | 15,500,000 | Under Review |
| Actual | 8,300            | N/A     | 9,232,005  |              |

The baseline and FY 2015 targets were noted incorrectly as thousands rather than as millions; the Agency has adjusted this for FY 2016. USAID Regional Missions working on Power Africa related activities and receiving funds from the Power Africa Coordinator's Office (West Africa Regional, East Africa Regional, and Southern Africa Regional) request this information from the regional power pools. If this information is not available from the regional power pools, USAID Missions may request this information from national electricity regulators in



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each country. Note that data quality is dependent on utilities' abilities to maintain accurate record management systems.

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

|        | FY 2013 Baseline | FY 2014     | FY 2015     | FY 2016     | FY 2017      |
|--------|------------------|-------------|-------------|-------------|--------------|
| Target | N/A              | 1.5 billion | 1.5 billion | 4.8 billion | Under Review |
| Actual | 1.4 billion      | 6.9 billion | 2.2 billion | 3.7 billion |              |

U.S. Government staff and partners actively supporting clean energy projects confirm when they have securing financing. Supporting documentation may include deal agreements or other negotiation documents.

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

|        | FY 2013 Baseline | FY 2014 | FY 2015 | FY 2016 | FY 2017      |
|--------|------------------|---------|---------|---------|--------------|
| Target | N/A              | 250     | 60      | 310     | Under Review |
| Actual | 29               | 185     | 8.5     | 130     |              |

As of FY 2016, USAID is no longer tracking this metric and has replaced it with similar indicators, which is why the target has not been met. This indicator is measured in megawatts (MW), and represents the total capacity of the system in the year in which the installation or rehabilitation was completed. The indicator does not measure actual generated capacity, or MWh, that result from these activities.



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## Performance Goal 3.2.3: Power Africa

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

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

|        | FY 2014 Baseline | FY 2015 | FY 2016   | FY 2017      |
|--------|------------------|---------|-----------|--------------|
| Target | N/A              | N/A     | 1,158,275 | Under Review |
| Result | 20,600           | 604,227 | 609,412   |              |

Data for Power Africa’s on-grid connections will be sourced from: 1) national and private utilities customer profiles and connection documents; 2) procurement documents for meters associated with grid expansion; and 3) project documents including government negotiated agreements, financial documents, and investment agreements. Off-grid connections will be sourced primarily from project sponsor documents and financial agreements. Data quality for this indicator relies on documentation from third parties. Power Africa attempts to cross-check this data by scanning news and other publicly available information as well as other related activity reports to ensure accuracy and veracity.

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

|        | FY 2014 Baseline | FY 2015 | FY 2016 | FY 2017      |
|--------|------------------|---------|---------|--------------|
| Target | 4,999            | 5,493   | 3,078   | Under Review |
| Actual | 4,147            | 770     | 632.5   |              |

The following projects reached financial closure in FY 2016: Garden City Mall Loisaba (1 MW) in Kenya; Mount Coffee Hydro (88 MW) and Mein River Hydro (1 MW) in Liberia; Nkula A Hydro Rehabilitation (6 MW) in Malawi; Azura-Edo Natural Gas (450 MW) in Nigeria; Amahoro Hydro (4.5 MW) in Rwanda; and Contour Global Cap des Biches (53 MW) and Meridian Solar (29 MW) in Senegal.

Power Africa faced a number of challenges with transactions en route to reaching financial close, which pushed anticipated financial closure dates back significantly. Transaction Advisors and U.S. Government partners verify that transactions have reached financial closure. Source documents may be deal agreements or other



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negotiation documents. The number of MWs will be based on the installed capacity noted in the project documents. This metric measures projects that have reached financial closure, having received an executed agreement for financing from banks or other entities. Actual installed generation capacity may change during construction or operation, through both reductions and expansions.



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

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

#### Performance Goal 4.1.1: Strengthen Democratic Institutions

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

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

|        | FY 2011 | FY 2012 | FY 2013 Baseline | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|---------|---------|------------------|---------|---------|---------|---------|
| Target | N/A     | N/A     | N/A              | 75      | 181     | 84      | 143     |
| Result | 317     | 279     | 359              | 254     | 81      | 190     |         |

A number of factors caused the over and under performance of this indicator in a number of Missions, including delayed parliamentary elections, political crises, closure of programming, and strengthened civil society actors that demand greater public participation.

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

|        | FY 2011 | FY 2012 | FY 2013 Baseline | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|---------|---------|------------------|---------|---------|---------|---------|
| Target | N/A     | N/A     | N/A              | 231     | 181     | 73      | 59      |
| Result | 325     | 279     | 359              | 106     | 221     | 997     |         |

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

|        | FY 2011 | FY 2012 | FY 2013 Baseline | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|---------|---------|------------------|---------|---------|---------|---------|
| Target | N/A     | N/A     | N/A              | 27,984  | 14,600  | 20,397  | 23,924  |
| Result | 9,006   | 29,323  | 41,302           | 28,892  | 40,398  | 43,901  |         |



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While Missions experienced mixed results in FY 2016, the U.S. Government exceeded its overall target for the number of domestic election observers or party agents trained. A number of factors contributed to the under and over performance of government programs, including the scheduling of elections, confidence levels among citizens in the political processes, an increase in the number of polling stations that were requested by political parties, and changes in the use of technology to reach more trainees.

**Key Indicator: Number of individuals/groups from low income or marginalized communities who received legal aid or victim’s assistance with U.S. support**

|        | FY 2011 | FY 2012 | FY 2013 Baseline | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|---------|---------|------------------|---------|---------|---------|---------|
| Target | N/A     | N/A     | N/A              | 87,460  | 168,306 | 171,181 | 171,880 |
| Result | 1,322   | 37,254  | 36,759           | 185,631 | 257,232 | 229,655 |         |

### Performance Goal 4.1.2: Improve Fiscal Transparency and Accountability

**Performance Goal Statement: Performance Goal Statement: By September 30, 2017, the Fiscal Transparency Innovation Fund will support projects that assist central governments or non-governmental organizations working to improve fiscal transparency in at least five countries assessed as not meeting the minimum requirements under the Fiscal Transparency Review process.**

**Key Indicator: Number of target countries with new Fiscal Transparency Innovation Fund (FTIF) projects**

|        | FY 2013 Baseline | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|------------------|---------|---------|---------|---------|
| Target | N/A              | 1       | 9       | 9       | 7       |
| Result | 16               | 13      | 10      | 12      |         |

The data for the indicator are derived from program records maintained by the Department of State and USAID. Because the indicator is a simple count of countries assisted, there are no data quality issues.

The FY 2017 indicator target was adjusted from nine to seven. As the FTIF program has matured, FTIF project selection evaluation panels have focused more on strategic and sustainable projects rather than the overall number of projects. FTIF project managers maintain a database of projects supported through the Fund. Projects are selected and approved by an interagency panel consisting of subject matter experts from the





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Department and USAID. The FY 2016 indicator lists those projects obligated by September 30, 2016 (which correlates to projects funded with FY 2015 funds).



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## Strategic Objective 4.2: Promote and Protect Human Rights through Constructive Bilateral and Multilateral Engagement and Targeted Assistance

### Performance Goal 4.2.1: Support Human Rights Defenders and Civil Society Organizations (CSO) Under Threat

**Performance Goal Statement:** By September 30, 2017, 80 percent of defenders and CSOs receiving Rapid Response Fund assistance are able to carry out their work after receiving assistance, and/or report back within six months positive impacts on their safety and security due to the assistance.

**Key Indicator:** Number of domestic NGOs engaged in monitoring or advocacy work on human rights receiving U.S. Government support

|        | FY 2011 | FY 2012 | FY 2013 Baseline | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|---------|---------|------------------|---------|---------|---------|---------|
| Target | N/A     | N/A     | N/A              | 777     | 920     | 604     | N/A     |
| Result | 4,662   | 818     | 914              | 1,001   | 1,253   | 1,556   |         |

The FY 2016 result exceeded the target due to an increase in Department funds targeted toward democracy and human rights programs to address human rights abuses globally, where fundamental rights are threatened; open political space is struggling or nascent democracies and countries ruled by authoritarian regimes; support civil society activists worldwide; and to protect at-risk populations. Because this indicator includes training and supports individual human rights defenders, it will be discontinued because this information is better captured in the subsequent indicator.

**Key Indicator:** Number of human rights defenders trained and supported

|        | FY 2011 | FY 2012 | FY 2013 Baseline | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|---------|---------|------------------|---------|---------|---------|---------|
| Target | N/A     | N/A     | N/A              | 12,260  | 28,907  | 23,303  | 16,701  |
| Result | 3,345   | 15,426  | 21,078           | 48,224  | 47,922  | 31,418  |         |

The FY 2016 result exceeded the target due to an increase in the demand for training and support by human rights defenders. U.S. programs provided individual human rights defenders with emergency financial assistance for legal, medical, psychosocial, and socio-economic services, as well as training to carry out activities that promote democracy, respect for human rights, and mass support for peace and reconciliation efforts.



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**Key Indicator: Percent of defenders and CSOs receiving Rapid Response Fund assistance (Percent Receiving Assistance) able to carry out work and/or report positive safety or security impacts**

|        | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|---------|---------|---------|---------|
| Target | 70%     | 75%     | 85%     | 85%     |
| Result | 86%     | 86%     | 86%     |         |

This indicator data is provided by the implementing partner of the rapid response funds. The program has an established internal evaluation system, allowing program staff to follow up with recipients several months after funds have been disbursed. Surveys are distributed three to six months after assistance has been provided, to determine whether emergency financial assistance helped defenders and CSOs improve their security and their ability to continue their human rights work. For a variety of reasons – such as security concerns in contacting at-risk defenders and CSOs – it may become difficult to follow up with recipients. Due to these reasons, the data are subject to variable response rates each quarter.

### Performance Goal 4.2.2: Prevent, Mitigate, and Redress Atrocities, Address Gross Human Rights Violations, and Combat Human Trafficking

**Performance Goal Statement: By September 30, 2017, the United States develops and implements strategies to prevent, mitigate, and redress atrocities; address gross human rights violations; and/or combat human trafficking in 100 percent of the countries identified as priority countries.**

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

|        | FY 2011 | FY 2012 | FY 2013<br>Baseline | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|---------|---------|---------------------|---------|---------|---------|---------|
| Target | N/A     | N/A     | N/A                 | 35%     | 37%     | 37%     | 37%     |
| Result | 38%     | 45%     | 56%                 | 30%     | 35%     | 37%     |         |

The data source is the Department of State, Bureau of Population, Refugees and Migration (PRM). Data are gathered from the Department’s internal award document tracking system and from implementing partner reports. A weakness of this indicator is its inability to assess the quality and impact of gender-based violence (GBV) program activities. Data for the indicator are reviewed by PRM’s gender, monitoring and budget officers.



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**Key Indicator: Number of anti-Trafficking in Persons policies, laws or international agreements strengthened with U.S. Government assistance**

|        | FY 2013<br>Baseline | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|---------------------|---------|---------|---------|---------|
| Target | N/A                 | 24      | 24      | 24      | 24      |
| Result | 24                  | 24      | 20      | 21      |         |

Data for this indicator is collected by the Department via routine grant oversight and monitoring activities, the 2016 TIP Report, and diplomatic engagement. Close oversight of awarded projects enables the Department to ensure effective use of foreign assistance in targeted countries. Performance monitoring and evaluation is accomplished through: 1) routine desk audits and/or site visits that include management and technical assistance; 2) reviewing regular programmatic and financial progress reports; and 3) frequent and routine correspondence with grantees. Oversight also includes the use of common performance indicators for all anti-trafficking programs.

**Key Indicator: Number of training and capacity-building activities conducted with U.S. Government assistance that are designed to promote the participation of women or the integration of gender perspectives in security sector institutions or activities**

|        | FY 2012 | FY 2013<br>Baseline | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|---------|---------------------|---------|---------|---------|---------|
| Target | N/A     | N/A                 | 254     | 229     | 288     | 531     |
| Result | 145     | 149                 | 219     | 640     | 344     |         |

Data come from FY 2016 Performance Reports as collected in FACTS Info.

**Key Indicator: Percentage of priority atrocity prevention countries in which the Department of State and USAID are working to promote credible transitional justice and accountability mechanisms**

|        | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|---------|---------|---------|---------|
| Target | 100%    | 100%    | 100%    | 100%    |
| Result | 100%    | 100%    | 71%     |         |



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

Information about priority atrocity prevention countries come from the Department’s and USAID’s analysis. Initiatives to promote credible transitional justice and accountability mechanisms in these countries are taken from information provided by USAID, the Bureau of Democracy, Human Rights and Labor, the Bureau of Conflict and Stabilization Operations, the Bureau of International Narcotics and Law Enforcement Affairs, and the Office of Global Criminal Justice.

**Key Indicator: Number of people reached by a U.S.-funded intervention providing GBV services (e.g. health, legal, psycho-social counseling, shelters, hotlines, other) (Waiting on cleared version from E3)**

|        | FY 2011   | FY 2012   | FY 2013 Baseline | FY 2014   | FY 2015    | FY 2016   | FY 2017 |
|--------|-----------|-----------|------------------|-----------|------------|-----------|---------|
| Target | N/A       | N/A       | N/A              | 782,967   | 830,033    | 756,522   | 675,616 |
| Actual | 1,757,601 | 1,886,460 | 800,634          | 2,515,862 | 11,836,729 | 3,084,414 |         |

In FY 2016, 27 Operating Units reported that 3,084,414 individuals benefited from a U.S.-funded intervention providing GBV services. While the target set for FY 2016 was exceeded, the FY 2016 results indicate a decrease from the number of beneficiaries reported in FY 2015. Several factors account for this decrease. Reporting 2,890,013 beneficiaries in FY 2016, USAID’s OFDA has historically made the largest contribution to the overall results of this indicator. OFDA did not decrease its GBV programming in FY 2016; however, in FY 2016 OFDA revised its beneficiary calculation process for this indicator to ensure consistency with OFDA beneficiary-related calculations and reporting. The decrease in OFDA’s contribution in FY 2016 is because modifications to existing awards led to double counting of GBV beneficiaries. Also, some operating units, such as Benin and the DRC, scaled back GBV programming when some activities ended in 2016. Fifteen of the 27 operating units reporting on this indicator in FY 2016 exceeded FY 2016 targets.

Data for this indicator were collected and reported by USAID implementing partners. The data were gathered from USAID mission-selected projects in multiple sectors (health, education, humanitarian assistance, governance, etc.) with activities designed to raise awareness of GBV or to prevent GBV. There are limitations to this indicator as it does not provide information about the quality of GBV services or the geo-social distribution of GBV services. Furthermore, data gathering may run the risk of multiple-counting.



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

### Strategic Objective 4.3: Strengthen and Protect Civil Society, Recognizing the Essential Role of Local Capacity in Advancing Democratic Governance and Human Rights

#### Performance Goal 4.3.1: Strengthen Civil Society, including Youth-Led Civil Society Organizations

**Performance Goal Statement:** By September 30, 2017, mainstream and expand engagement with civil society and youth-led CSOs, including by increasing by 25 percent the number of meetings U.S. embassies in countries participating in the Open Government Partnership (OGP) process convene between Civil Society Organization (CSO) OGP participants and CSO non-participants to broaden CSO participation in OGP, and by increasing to 85 percent the number of foreign participants under the age of 30 taking part in international exchange programs with the United States

**Key Indicator:** Number of participants in the Young African Leaders Initiative (YALI)

|        | FY 2014 | FY 2015 | FY 2016 | FY 2017      |
|--------|---------|---------|---------|--------------|
| Target | 500     | 500     | 56,730  | Under Review |
| Result | 500     | 28,380  | 66,835  |              |

For YALI Mandela Washington Fellows, data are collected from ECA program records (including participant signatures, and scans of J-1 visa applications sent from U.S. institute hosts; weekly check in call reports; and signature records from the YALI Summit in Washington in August 2016). For the RLCs, data are collected on both enrollment of and graduation of participants. The YALI Network tracks subscriptions electronically, and captures number of certificates obtained, pledges made, and events hosted. The Department of State conducts in-person verification of the number of participants in the Connect Camps. Information on reciprocal exchange participants is collected from ECA program records. Known data limitations include: 1) data do not confirm depth of participation in program activities nor post-activity utilization of knowledge by program alumni (USAID and the Department of State have undertaken additional monitoring and evaluation activities to assess these factors); 2) data do not fully confirm overlap of participants in YALI programs. No additional known data limitations exist.



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**Key Indicator: Number of meetings U.S. embassies in Open Government Partnership (OGP) countries convene between CSO OGP participants and CSO non-participants to broaden CSO participation in the OGP process**

|        | FY 2013 | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|---------|---------|---------|---------|---------|
| Target | N/A     | 8       | 10      | 13      | 16      |
| Result | 0       | 8       | N/A     | N/A     | N/A     |

This indicator has been deleted. The Department has become aware of several limitations of utilizing this indicator. First is the distinction of OGP participant vs. non-participant CSOs where U.S. Embassies do not consistently have this information. Second is the assumption that broadening the network of CSOs is going to be each country's approach where in some cases it is strengthening existing CSO relationships or broadening public participation. Third, hosting meetings between currently participating and hitherto non-participating CSOs is only one means at U.S. Embassies' disposal to encourage broadening CSO participation in OGP; diplomatic efforts to encourage host governments to expand outreach to CSOs, and technical assistance efforts to build CSO capacity for participation or government capacity for managing inclusive processes may be just, as if not more, impactful. Finally, while CSO engagement is a very important component of OGP, it is not the only one that may more broadly seek to promote transparency and accountability in government as well as government responsiveness to citizens.

**Key Indicator: Percentage of under-30 foreign participants in U.S. Government and private sector-sponsored international exchange programs**



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

|        | FY 2014 | FY 2015 | FY 2016 | FY 2017      |
|--------|---------|---------|---------|--------------|
| Target | 79%     | 81%     | 83%     | Under Review |
| Result | 79%     | 82%     | 83%     |              |

The data source for under-30 foreign participants in exchange programs sponsored or overseen by the Department is the Student and Exchange Visitor Information System (SEVIS) database, used by the Department of Homeland Security (DHS) to track all non-immigrant visitors under the J and G visa classification. The figures drawn from SEVIS show all participants in private-sector and U.S.-funded exchange programs who started their programs in the United States in 2016, comparing the under-30 participants to the overall total. The target for the out year shows only a modest rise, as variables for funding of official exchanges and for private sector participation can fluctuate. DHS furnishes SEVIS data to the Department on the basis of calendar year, not fiscal year. All targets and actual percentages are based on calendar year information.

**Key Indicator: Number of individuals receiving voter and civic education through U.S. government-assisted programs**

|        | FY 2011    | FY 2012    | FY 2013     | FY 2014    | FY 2015    | FY 2016    | FY 2017   |
|--------|------------|------------|-------------|------------|------------|------------|-----------|
| Target | N/A        | N/A        | N/A         | 55,087,384 | 73,269,893 | 36,784,029 | 3,337,450 |
| Result | 19,108,679 | 58,020,113 | 140,950,044 | 65,046,830 | 92,404,708 | 1,659,191  |           |

The provision of voter and civic education in developing democracies will help ensure that voters have the information they need to be effective participants in the democratic process, contributing to the sustainability of electoral democracy. Shortfalls were attributed to delays in elections and a re-organization in planned activities, security issues, and resource constraints. Notable increases are evident in Mali, where 1,405,833 individuals received voter education. The Department also achieved a substantial increase to 110,761 individuals, demonstrating its focus on improving the skills of citizens to actively participate in democratic processes and advocate for greater government responsiveness and accountability.





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**Key Indicator: Number of Civil Society Organizations receiving U.S. assistance engaged in advocacy interventions**

|        | FY 2011 | FY 2012 | FY 2013 Baseline | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|---------|---------|------------------|---------|---------|---------|---------|
| Target | N/A     | N/A     | N/A              | 16,875  | 10,950  | 4,259   | 4,044   |
| Actual | 4,362   | 11,247  | 13,570           | 18,238  | 18,204  | 4,979   |         |

The data source for this indicator is the FY 2016 Performance Reports as collected in the FACTS Info.



Strategic Goal 5: Modernize the Way We Do Diplomacy and Development

**Strategic Objective 5.1: Enable Diplomats and Development Professionals to Influence and Operate more Efficiently, Effectively, and Collaboratively**

**Performance Goal 5.1.1 (Agency Priority Goal): Excellence in Consular Service Delivery**

**Performance Goal Statement:** Through September 30, 2017, process 99 percent of all passport applications within published timeframes and ensure 80 percent of nonimmigrant visa applicants are interviewed within three weeks of the date of application.

**Key Indicator:** 99 percent of all passport applications processed within the targeted timeframe, as shown on the Department’s website

|        | FY 2014 | FY 2015 | FY 2016 | FY2017 |
|--------|---------|---------|---------|--------|
| Target | 99%     | 99%     | 99%     | 99%    |
| Result | 99%     | 99.7%   | 99%     |        |

The Bureau of Consular Affairs (CA) generates reports out of its management information system of record in order to determine if it is meeting the customer service expectations posted on travel.state.gov. The reports track the total number of days required to complete an application, including processing times. There are no known data limitations and the reports are automatically generated based on workload data from passport processing systems. The reports are checked for completeness and compared to prior reports for trend analysis.

**Key Indicator:** 80% of all nonimmigrant visa applicants interviewed worldwide within three weeks of the date of application (Target = 80 percent per Executive Order 13597)

|        | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|---------|---------|---------|---------|
| Target | 80.0%   | 80.0%   | 80.0%   | 80.0%   |
| Result | 94.0%   | 92.5%   | 88.3%   |         |

State collects information from the Consular Consolidated Database (CCD) and reports on the percentage of applicants able to obtain an interview appointment within the next 21 days.

The data obtained through CCD is potentially subject to human error as well as occasional inconsistency in the timeliness of updating this data. CA conducts ad hoc audits of CCD wait-time data to ensure accuracy.



## Strategic Goal 5: Modernize the Way We Do Diplomacy and Development

**Performance Goal 5.1.2: USAID Procurement Reform**

**Performance Goal Statement:** By September 30, 2015, USAID will reduce procurement administrative lead time (PALT) by 40 percent from the 2009 baseline of 513 calendar days, increase the percentage of program funding going directly to local partners to 30 percent, and meet or exceed the prime contract acquisition dollars obligated to U.S. small businesses worldwide by 10 percent from the FY 2013 baseline of 8.2 percent.

*Note: This was an Agency Priority Goal for FY 2014 and FY 2015. USAID agreed with the Office of Management and Budget (OMB) that USAID will continue to report progress as a Performance Goal in the FY 2016 Annual Performance Report.*

**Key Indicator: Procurement Administrative Lead Time (PALT) for Washington Acquisitions in calendar days**

|        | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|---------|---------|---------|---------|
| Target | 268     | 268     | 268     | 268     |
| Result | 517     | 456     | 377     |         |

PALT measures the amount of time it takes to make an award. USAID continued its best practices from FY 2015 to reduce PALT, such as improving templates, sequestering technical evaluation panels, and streamlining processes. Due to these concerted efforts, the Agency's FY 2016 three-year average PALT for Washington Acquisitions decreased to 377 calendar days. This is a 27 percent decline from the FY 2009 baseline of 513 calendar days. The Agency continues striving to achieve its target to reduce the Washington Acquisition PALT by 40 percent by the end of FY 2017. USAID calculates PALT using data from GLAAS, USAID's procurement system, and the memoranda of negotiation (hard copy) for each award. The Agency averages the number of calendar days for each award, then submits the full milestone plan and dates to the Bureau for Management for review, which provides a final quality check and approves the calculations.

USAID includes only full and open acquisition awards based in Washington worth \$10 million or above in the PALT indicator. The Agency lowered this from \$25 million in FY 2016. These awards are the most complex and tend to take a longer period of time to complete. The sample pool is small; consequently, PALT can vary widely from year to year. To adjust for these variations, USAID reports a three-year average for each year.



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# Strategic Goal 5: Modernize the Way We Do Diplomacy and Development

### Key Indicator: Percentage of mission program funds implemented through local systems

|        | FY 2014   | FY 2015 | FY 2016  | FY 2018  |
|--------|---|---------|--|--|
| Target | USAID does not establish public interim targets | 30.0%   | USAID is not setting Agency-wide targets going forward <sup>37</sup> | USAID is not setting Agency-wide targets going forward |
| Result | 16.9%   | 18.6%   | Figures will be available in May 2017                                |  |

In order to achieve long-term, sustainable development, USAID collaborates with and supports government institutions, private sector partners, and civil society organizations. These organizations serve as engines of growth and progress for their own nations. The Agency is developing the capabilities of its partners to direct their own development. USAID invests directly in partner governments and civil society organizations where the capacity exists, and strengthens it where there are gaps.

USAID collects data for this indicator using Phoenix, the Agency’s corporate financial management system. USAID collects data from full presence missions overseas. Missions, regional bureaus, and Local Solutions subject matter experts subsequently review and verify the data.

### Key Indicator: Percent of contractor performance assessment reports (CPARS) completed in Past Performance Information Retrieval System (PPIRS)

|        | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|---------|---------|---------|---------|
| Target | 80%     | 100%    | 90%     | 90%     |
| Actual | 59%     | 82%     | 88%     |         |

Contractor performance assessment reports are important both for USAID as well as for partnering organizations. For the Agency, these reports serve as a means of identifying high-quality contractors prior to making awards and also holding contractors accountable to contract requirements once work has begun. For partners, past reports serve as an incentive to meet and even exceed expectations as excellent performance usually attracts future business opportunities. These reports can also lead to improved communication and business relations throughout the duration of an award.

<sup>37</sup> Please note that, due to the country-, context-, and sector-specific nature of fostering locally-owned development, rather than setting Agency-wide targets, USAID asks Missions to set and report on their progress towards their own, Mission-specific aspirational targets for channeling funds directly through to local actors.



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# Strategic Goal 5: Modernize the Way We Do Diplomacy and Development

Contracting personnel are required to enter contractor performance assessment reports into CPARS when applicable for the contract. USAID generates the CPARS compliance rate from the Past Performance Information Retrieval System, and reports the figures to Agency leadership at least quarterly, and makes figures available to all staff weekly.

**Key Indicator: Percent of prime contract acquisition dollars obligated to U.S. small businesses worldwide**

|        | FY 2014 | FY 2015 | FY 2016 | FT 2017 |
|--------|---------|---------|---------|---------|
| Target | 6.5%    | 10.0%   | 11.0%   | 11.5%   |
| Actual | 12.1%   | 9.3%    | 13.0%   |         |

Small businesses play a critical role as USAID works to achieve its mission of ending extreme poverty and promoting resilient democratic societies. The Agency actively supports and engages missions and regional bureaus in increasing partnerships with U.S.-based small businesses.

USAID generates the data for this indicator from the Federal Procurement Data System. The Agency then aggregates the prime contract dollars of the U.S. small business acquisition dollars obligated in a fiscal year. (These small businesses must be identified as a small business in GLAAS, USAID’s procurement system.) USAID then divides this number by its total worldwide prime contract acquisition dollar obligations.

**Key Indicator: Percent of Office of Acquisition and Assistance (M/OAA) contracting officer series 1102 (Civil Service) and BS 93 (Foreign Service) positions filled**

|        | FY 2014 | FY 2015 | FY 2016 | FY 2017      |
|--------|---------|---------|---------|--------------|
| Target | 91.0%   | 94.0%   | 94.0%   | Under Review |
| Actual | 87.7%   | 84.6%   | 90.0%   |              |

To ensure USAID can process efficiently its procurement workload, the Agency tracks the Contracting Officer fill rate. USAID calculates the Contracting Officer fill rate by dividing the number of filled positions by the total number of available positions. USAID tracks the Contracting Officer fill rate by referencing monthly Agency staffing patterns. USAID’s Office of Human Capital and Talent Management maintains the staffing pattern for Civil Service (1102). USAID’s procurement office updates its staffing pattern for Foreign Service contracting officers (BS-93), which is more complicated due to consistent movement of Foreign Service Officers.



# Strategic Goal 5: Modernize the Way We Do Diplomacy and Development

## Performance Goal 5.1.3: Stakeholder Collaboration and Audience Engagement

**Performance Goal Statement:** By September 30, 2017, increase the number and effectiveness of communication and collaboration tools that leverage interactive digital platforms to improve direct engagement with both domestic and foreign publics. This will include increasing the number of publicly available data sets and ensuring that USAID-funded evaluations are published online, expanding publicly available foreign assistance data, increasing the number of repeat users of International Information Programs’ digital services, and better directly countering extremist messaging via the Department’s Center for Strategic Counterterrorism Communications (renamed Global Engagement Center).

**Key Indicator:** Change in the number of repeat users of the Bureau of International Information Programs’ (IIP) digital services, platforms and products

|        | FY 2013 Baseline | FY 2014 | FY 2015   | FY 2016   | FY 2017   |
|--------|------------------|---------|-----------|-----------|-----------|
| Target | N/A              | 417,804 | 459,584   | 1,257,747 | 1,320,635 |
| Result | 379,822          | 826,314 | 1,197,855 | 1,277,073 |           |

Data are collected via Google Analytics reporting. All properties in IIP-01 are accounted for except embassy websites. While this data shows the number of repeat visitors to IIP’s digital public diplomacy content, challenges still exist with respect to analyzing usage and reach.

**Key Indicator:** Percent of USAID-funded evaluations that are published online

|        | FY 2013 Baseline | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|------------------|---------|---------|---------|---------|
| Target | N/A              | 80%     | 75%     | 80%     | 99%     |
| Result | 67%              | 79%     | 95%     | 79%*    |         |

\* As of January 30, 2017

USAID operating units report in the Evaluation Registry and upload reports to the Development Experience Clearinghouse (DEC). The data are then compiled and reviewed by USAID headquarters staff.

Numerator (number of completed evaluations): Self-reported by USAID Operating Units (OUs) each year in the Evaluation Registry. That number is then reviewed with some entries being excluded based on errors.



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# Strategic Goal 5: Modernize the Way We Do Diplomacy and Development

Denominator (number of completed evaluations submitted to the DEC): Self-reported by USAID OUs each year in the Evaluation Registry. Each evaluation entry has a field where the link to the report on the DEC should be provided. Those entries with a link are counted; those entries without a link are not counted.

Limitations include (1) a time lag in the data since the data come from the previous year's PPR, and (2) reporting errors or under-reporting by missions. In addition, FY 2016 results are preliminary based on data collected as of January 2017 which will be reviewed and validated by April 2017.

### Key Indicator: Number of data sets added to USAID.gov/data

|        | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|---------|---------|---------|---------|
| Target | 200     | 20      | 20      | 20      |
| Actual | 77      | 99      | 10      |         |

USAID set its target of adding 200 datasets in FY 2014 anticipating it would list the data from each country receiving USAID assistance as noted on ForeignAssistance.gov (FA.gov) as a distinct dataset. At the request of the Office of Management and Budget, USAID consolidated the FA.gov listings into a single data set, which reduced the total dataset count in FY 2014.

In the final quarter of FY 2016, USAID modified the way it tallies the datasets that it receives and publishes. Namely, based on guidance from the Office of Management in Budget, USAID now groups multiple related datasets into a single entry called a "data asset." For example, in FY 2016, USAID received a total of 140 data assets via the DDL, comprised of 285 individual datasets. USAID staff also maintains a roster of all datasets as they pass through a rigorous clearance process. This roster includes a record of the publication date for each dataset that serves as the basis for the indicator table.



Strategic Goal 5: Modernize the Way We Do Diplomacy and Development

**Performance Goal 5.1.4: Human Capital Management and Business Process Improvement**

**Performance Goal Statement:** Through September 30, 2017, the Department will continue efforts to implement its respective human capital management strategies and regularly review existing business practices and processes to identify areas for improvement and innovation. The Department will create a more diverse and representative employee population and achieve an 80 percent fill rate of Language Designated Positions by employees who meet or exceed the language requirements.

**Key Indicator:** Percent of Language Designated Positions (LDPs) filled by employees who meet or exceed the language requirements

|        | FY 2011 | FY 2012 | FY 2013<br>Baseline | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|---------|---------|---------------------|---------|---------|---------|---------|
| Target | N/A     | N/A     | N/A                 | 77%     | 78%     | 79%     | 80%     |
| Result | 72%     | 74%     | 76%                 | 77%     | 76%     | 75%     |         |

Due to the timing of the Foreign Service assignments cycle, the most representative picture of actual LDP fill rates falls in the second quarter of the fiscal year (due to Foreign Service personnel transitioning between posts and positions at certain times of the year, especially during the summer months).

**Performance Goal 5.1.5: A Secure Diplomatic and Development Platform**

**Performance Goal Statement:** By September 30, 2017, the Department and USAID will: relocate 6,000 U.S. Government employees into more secure and functional facilities; ensure that 100 percent of all State and 100 percent of USAID personnel use Personal Identity Verification (PIV) Card authentication as required by Homeland Security Presidential Directive 12 (HSPD-12); achieve 80 percent completion on a Foreign Affairs Security Training Center (FASTC) toward a full training capability in FY 2018; and neutralize cyber threats detected against the Department’s network and assets.





## Annex I

# Strategic Goal 5: Modernize the Way We Do Diplomacy and Development

**Key Indicator: Number of U.S. Government employees overseas moved into secure, safe, and functional facilities**

|        | FY 2013<br>Baseline | FY 2014 | FY 2015 | FY 2016 | FY 2017 |
|--------|---------------------|---------|---------|---------|---------|
| Target | N/A                 | 1,500   | 1,500   | 1,500   | 1,500   |
| Result | 2,290               | 1,439   | 2,485   | 944     |         |

The Bureau of Overseas Buildings Operations (OBO) is on target to move over 6,000 people into more secure and functional facilities by September 30, 2017. OBO's Office of Construction Management collects and monitors data, and reports monthly to leadership. The numbers are based on the staffing estimates during the design phase, though staffing numbers may change during the project cycle. Bureau offices continue to review the data and track project milestones and completions to ensure the best data is being reported during the fiscal year.

With cyber incidents on the rise, the Federal Government has elevated cybersecurity as a significant priority for all agencies. In FY 2016, the Department of State and USAID achieved 100 percent PIV compliance. For USAID, this means that the Agency requires all staff worldwide to utilize a USAID PIV or PIV Alternative smart card for network logon access. Achieving this major cybersecurity milestone of the Cybersecurity National Action Plan will help to improve privacy and keep Agency information safe and secure.



## Annex II: Data Quality and Validation

The Department of State and USAID obtain and use performance data from three sources: (1) primary collection in which data are collected directly by the Department or USAID or a collection funded by the Department or USAID, (2) partner data compiled by Department and USAID implementing partners in the field, and (3) third-party data from sources such as other government agencies, non-governmental organizations, or other development organizations. To ensure that the quality of evidence from a performance monitoring system is sufficient for decision making, a data quality assurance checklist is used by bureaus and field offices to assess these five standards of data quality: validity, integrity, precision, reliability, and timeliness.

Foreign Assistance performance indicators used in the field are required to have associated Indicator Reference Sheets that fully define and describe the appropriate use of the indicator.

<https://www.usaid.gov/sites/default/files/documents/1870/USAIDEvaluationPolicy.pdf> provides additional details on data verification and validation policies for USAID. For each key performance indicator in the APR, there is an associated Indicator Methodology section that notes the data source and any data limitations.



## Annex III: Major Management Challenges

### U.S. Department of State (State)

State is committed to the conduct of diplomacy and implementing the President's foreign policy worldwide. The Department maintains its focus on continuous process improvement to build on past successes, continue to learn, and become ever more agile. As part of this, the Department identifies management and programmatic challenges and risks, and ways to address them. Currently, these areas include:

- Protection of People and Facilities;
- Information Security and Management; and
- Oversight of Contracts and Grants.

For more information on State's management priorities, please see Strategic Objective 5.1.

#### **State Challenge 1: Protection of People and Facilities**

The protection of people and facilities remains a top priority for the Department. The Department recognizes the need to balance our values and interests with the inherent risks of 21st Century diplomacy and development. Threats to our people and facilities will continue to evolve and require constant focus and risk mitigation. To manage risk, the Department has published a new risk-management policy, annually revises the Security Environment Threat List, conducts High Threat Post Review Boards, utilizes the Vital Presence Validation Process, and has enhanced the Foreign Affairs Counter Threat training for all Foreign Service personnel. Despite these and other efforts, the challenge of mitigating risk and preventing attacks will continue given the nature of diplomacy and the environment.

The Department has taken a number of steps to improve the safety of personnel overseas. For example:

- The Department moved 944 personnel into more secure, safe, and functional facilities in FY 2016 under the Capital Security Construction program.
- The Department expanded its Foreign Affairs Counter-Threat training, a program of anti-terrorism and defensive driving, how to recognize an improvised explosive device, firearms familiarization, tactical medical skills, fire as a weapon and surveillance detection. This training is now mandatory for all High Threat High Risk Posts, border posts in Mexico, all posts in Africa, and all posts in the Near Eastern Affairs (NEA) and the South and Central Asian Affairs (SCA) regions (as of January 1, 2017). By FY 2019, this training will be mandatory for all posts regardless of geographic region.
- The Department's Foreign Affairs Security Training Center (FASTC) was partially completed in April 2017 and classes will be phased in over time until fully operational by October 2019. This is a purpose built facility that will consolidate hard skills training and will enhance the ability of the Department to provide security training.



## Annex III: Major Management Challenges

- Since October 1, 2014, the Department has moved over 3,400 personnel into more secure, safe, and functional facilities. The Department is on target to move over 6,000 people into more secure and functional facilities by September 30, 2017.
- The Department conducts Technical Security Upgrades (TSU) to replace and modernize technical security systems (TSS) and equipment to meet Foreign Affairs Manual (FAM) and Foreign Affairs Handbook (FAH) requirements for security system standards. These projects replace aging and obsolete TSS and equipment with new designs that bring the technical security of a facility or compound up to standards, based on the most current security controls and regulations.
- TSU project priorities are driven by a number of factors and assessments, and are ultimately prioritized and approved by the Office of Security Technology (DS/C/ST). The Department evaluates those activities and emerging threats to re-align resources and personnel toward the overarching goal: to defend U.S. government facilities, deter and detect enemies, save lives, and protect national security information.

**Performance Goal:** By September 30, 2017, the Department and USAID will: relocate 6,000 U.S. Government employees into more secure and functional facilities; ensure that 100 percent of all State personnel use Personal Identity Verification (PIV) Card authentication as required by Homeland Security Presidential Directive 12 (HSPD-12); and achieve 80 percent completion on a Foreign Affairs Security Training Center (FASTC) towards a full training capability in FY 2018.

**Performance Measures:**

| Metric  | FY 2014 Target | FY 2014 Actual | FY 2015 Target | FY 2015 Actual | FY 2016 Target | FY 2016 Actual | FY 2017 Target |
|---|----------------|----------------|----------------|----------------|----------------|----------------|----------------|
| Number of U.S. Government employees overseas moved into secure, safe, and functional facilities | 1,500          | 1,439          | 1,500          | 2,485          | 1,500          | 944            | 1,500          |

**Planned Actions:**

- Adequate infrastructure to support operations is absolutely essential for the Department’s overseas staff on the front lines of American diplomacy. Bureau offices will continue to support efforts to exceed our goal of relocating 6,000 U.S. Government employees into more secure and functional facilities by September 30, 2017. Continuing Congressional support for the Capital Security Construction Program is critical to achieve and surpass these targets.
- In April, 2017, Foreign Affairs Counter Threat (FACT) sessions increased from four to six per week, effectively increasing student capacity from 4,482 in FY 2016 to 6,804 in FY 2018.
- In FY 2017, basic ATLaS (Advanced Tactical Leadership and Skills) sessions will increase from



# Annex III: Major Management Challenges

approximately 60 students per year to approximately 240 students per year (the final number is dependent on the number of Basic Special Agent Course students, Under Review).

- Implementation of PIV card (One Badge) enrollment, issuance, and card usage has been completed at four (4) pilot sites. Additional global deployment implementation plans have been drafted and are awaiting finalization, funding, and authorization to deploy.

**Planned Milestones:**

| Milestone  | Date Due  | Date Completed | Notes |
|--|-----------|----------------|-------|
| Between FY 2016 and FY 2017, complete 10 New Embassy Compounds (NECs) and New Consulate Compounds (NCCs) and move over 4,000 employees to safe, secure, functional, and sustainable facilities | 9/30/2017 |                |       |
| Award 6 additional NECs and NCCs for FY 2016-2017  | 9/30/2017 |                |       |

**Responsible Agency Officials:** Assistant Secretary, Overseas Building Operations  
Assistant Secretary, Diplomatic Security

**State Challenge 2: Information Security and Management**

The Department recognizes that significant threats to agency information systems are constantly evolving and consequently so must our preventative cybersecurity actions and the ongoing cybersecurity work accomplished around the world to reinforce Department of State cyber defenses. Cybersecurity performance for the State Department has the attention of senior leadership and the Chief Information Officer (CIO) hosts a bi-weekly action meeting with senior representatives of key bureaus involved in enterprise and high-value activities to coordinate the Department’s work on cybersecurity across the agency. Of greatest significance, the Department is working assiduously to ensure that State not only appropriately documents Cyber Security work but that, more importantly, the level of actual information security performance is increased across the agency.

In the established statutory role under the Federal Information Security Modernization Act, the CIO reviews and authorizes systems for the Department that are inclusive of appropriate cybersecurity risk management. Risk approaches are collaboratively developed and formally documented using a standardized, repeatable and transparent process that fully engages system owners, with an emphasis on specific risk items, which are captured in system authorization reports.

As a result of lessons learned through internal and external penetration testing, the Department continues to implement enhanced protections to the Department’s networks from threats and vulnerabilities and have undertaken several steps to assure the improvement of the agency’s overall cybersecurity posture. Specifically,



## Annex III: Major Management Challenges

the Department developed a new Cybersecurity Strategy Framework built on the National Institute of Standards and Technology Cybersecurity Framework (CSF). Efforts to improve the Department’s cybersecurity posture will be guided by this document through 2019.

The CIO also takes full advantage of a robust cybersecurity partnership with the Bureau of Diplomatic Security (DS) Assistant Secretary (A/S). The CIO and DS A/S coordinate closely on cybersecurity efforts and pursuant to the Department of State regulations guiding this key relationship, the DS Office of Cybersecurity works in coordination with the CIO’s Bureau of Information Resource Management (IRM) to maintain and operate key components of the Department’s information security programs including the Situational Awareness Program. The shared objective is to ensure compliance with the Department’s overall information security program objectives. For example, IRM and DS recently achieved initial operation capability of a new Cybersecurity Integrity Center under the Joint Security Operations Center concept to further enhance our shared capacity to detect and respond to anomalous behavior and identify/remediate weaknesses on our networks.

**Performance Measures:**

| Metric  | FY 2017 Target |
|---|----------------|
| To mature the Identity Management System  | 50%            |
| To complete an inventory of all Department non-OpenNet systems (to include Dedicated Internet Networks or DINs).                | 80%            |
| 24X7X365 operations of the Cyber Integrity Center (CIC)   | 80%            |
| To participate fully in the Department of Homeland Security Continuous Diagnostics and Mitigation (CDM) Phase One and Two Plan. | 50%            |

**Performance Goal:** By September 30, 2017, the Department will neutralize cyber threats detected against the Department’s network and assets.

**Performance Measures:**

| Metric  | FY 2016 Target | FY 2016 Actual | FY 2017 Target |
|---|----------------|----------------|----------------|
| Number of countries in which International Strategy for Cyberspace is implemented   | 38             | 38             | 50             |
| Percentage of countries with professionals that have successfully completed specialized cybersecurity training                  | 74%            | 88%            | 100%           |
| To mature the Identity Management System  | N/A            | N/A            | 50%            |
| To complete an inventory of all Department non-OpenNet systems (to include Dedicated Internet Networks or DINs).                | N/A            | N/A            | 80%            |
| 24X7X365 operations of the Cyber Integrity Center (CIC)   | N/A            | N/A            | 80%            |
| To participate fully in the Department of Homeland Security Continuous Diagnostics and Mitigation (CDM) Phase One and Two Plan. | N/A            | N/A            | 50%            |



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## Planned Actions:

- Continuing to manage the global network security monitoring program, providing 24/7 capability to identify active and potential threats to the Department’s network security.
- Providing the Insider Threat Program with 24/7 User Activity Monitoring capability.
- Staying up-to-date with the global cyber security demands of the 21<sup>st</sup> Century, particularly digital diplomacy and cloud computing.
- Continuing to mature the Identity Management System to ensure access control and systems’ authentication are properly managed.
- Continuing to take inventory of all non-OpenNet systems and DINs to ensure that all systems are properly categorized (H, M, or L levels) and meet the requirements of the National Institute of Standards and Technology (NIST) Risk Management Framework for Information Assurance.
- Continuing to mature to full operations of the Cyber Integrity Center (CIC) to provide real time real-time system monitoring, rapid and well-coordinated incident response, threat intelligence collaboration, and ongoing analysis of operational requirements to ensure that the right cyber tools are in-place to meet today’s security needs and that they continue to appropriately evolve in response to a complex and rapidly changing global threat landscape.
- Continuing to participate fully in the Department Homeland Security’s Continuous Diagnostics and Mitigation.

## Planned Milestones:

| Milestone  | Date Due | Date Completed | Notes |
|--|----------|----------------|-------|
| IRM completes the Identity Management System to ensure access control and systems’ authentication is properly managed.   | 09/2018  |                |       |
| IRM completes inventory of all non-OpenNet systems and DINs to ensure that all systems are properly categorized (H, M, or L levels) and meet the requirements of the NIST Risk Management Framework for Information Assurance.   | 09/2018  |                |       |
| IRM continues to support full operations of the Cyber Integrity Center (CIC) to provide real time real-time system monitoring, rapid and well-coordinated incident response, threat intelligence collaboration, and ongoing analysis of operational requirements to ensure that the right cyber tools are in place to meet today’s security needs and that they continue to appropriately evolve in response | 09/2018  |                |       |



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| Milestone   | Date Due | Date Completed | Notes |
|---|----------|----------------|-------|
| to a complex and rapidly changing global threat landscape.  |          |                |       |
| IRM continues to participate fully in the Department Homeland Security's Continuous Diagnostics and Mitigation program. | 09/2018  |                |       |

**Agency Official Responsible:** Chief Information Officer, Information Resource Management  
Security Infrastructure Coordinator, Diplomatic Security

### **State Challenge 3: Oversight of Contracts and Grants**

The Department has taken a number of actions to strengthen oversight and administration of contracts and grants, including:

- The Department prepared a Federal Assistance Human Capital Plan to ensure that it had acquired the appropriate number of trained personnel to properly conduct grants management and monitoring procedures.
- The Office of the Procurement Executive continues to conduct Grants Management Reviews and Contract Assistance during visits to posts.
- The Bureau of Diplomatic Security signed and executed a service-level agreement (SLA) with the Bureau of Administration, Office of Acquisitions Management (A/LM/AQM), to provide timely, accurate, efficient, and effective contract award and administration.

### **Performance Measures:**

| Metric   | FY 2016 Target | FY 2016 Actual | FY 2017 Target |
|--|----------------|----------------|----------------|
| Number of classroom training events conducted (contracts and grants) | 20             | 54             | 20             |
| Number of post site visits and reviews                               | 12             | 25             | 12             |

### **Planned Actions:**

- Establish management and monitoring procedures of grantees for embassies Tashkent, Ashgabat, and Cairo, in response to Office of Inspector General (OIG) inspections in 2015 and 2016.
- Establish mechanism to track and ensure all procurement actions are completed within procurement action lead time (PALT), unless inapplicable for a particular circumstance.
- Continuing to provide guidance to Contracting Officer's Representatives (CORS), Government Technical





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Monitors (GTM), and Grant Officer's Representatives (GORs) on performing assigned duties.

- Launch new Grants policies and procedures, combined into one searchable document.
- Launch cadre of Senior Locally Engaged Staff GORs to exchange best practices and mentor less experienced GORs.
- Create a new award for GOR of the Year.

### Planned Milestones:

| Milestone                                      | Date Due      | Date Completed | Notes                           |
|--|---------------|----------------|---------------------------------|
| Upgrade of online grants training (pre-award)  | March, 2018   |                | Pending availability of funding |
| Create 2 Webinar/Information training programs | Sept 30, 2017 |                |                                 |

**Agency Official Responsible:** Assistant Secretary, Bureau of Administration  
Assistant Secretary, Bureau of Diplomatic Security



# Annex III: Major Management Challenges

## U.S. Agency for International Development (USAID)

USAID's commitment to deliver development and humanitarian assistance to support the U.S. national security strategy requires a relentless focus on improving how it delivers on its mission. USAID maintains its focus on continuous process improvement to allow the Agency to build on past successes, continue to learn, and become ever more agile. As part of this, the Agency works to identify management and programmatic challenges and risks, and ways to address them. Currently, these areas include:

- Developing Strategies to Work Effectively in Nonpermissive and Contingency Environments;
- Strategic Human Capital Management; and
- Strategic IT Management.

Working in environments characterized by conflict and hostility, government instability, or cataclysmic natural events including disease is intrinsic to providing foreign assistance. The Agency recognizes the limitations imposed by these non-permissive and overseas contingency environments as one of its longest-standing operational challenges.

The success of USAID's talented and committed workforce and the Agency's success in carrying-out its mission are directly impacted by the support and services staff receive from the Agency's HR network. USAID personnel must be prepared with the knowledge, skills, abilities, and attributes to meet the future needs of the Agency's mission. USAID is striving to retain top talent, increase effectiveness of mission delivery and have a stronger "culture of accountability," where people demonstrate high levels of ownership to think and act in the manner necessary to achieve organizational results.

Lastly, the Federal Government has established strict information management requirements to ensure agencies are effective stewards of Government resources, respecting privacy and security while enhancing transparency. USAID continues to identify its challenges in meeting these requirements. Some of these include security education and training, as well as streamlining information technology acquisitions while strengthening chief information officers' accountability for IT costs, schedules, performance, and security.

For more information on USAID's management priorities, please see Strategic Objective 5.1.

### **USAID Challenge 1: Developing Strategies to Work Effectively in Nonpermissive and Contingency Environments**

USAID must strengthen its capabilities to operate more effectively and increase the impact of USAID programming in non-permissive country and operational contexts. These locations are characterized by unstable, uncertain, or dangerous environments. These include fragile and failed states, and other contexts that are difficult to work in or are constrained. Missions operating in non-permissive environments (NPEs) may face a range of challenges related to: 1) designing and managing programs (e.g. difficulty monitoring activities, implementing partners pressured or targeted by the government); 2) security (e.g. threats to personal security);



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or 3) human resources (e.g. staff exposed to considerable stress or heavy work loads). To help address these issues, USAID formed an NPE working group, led by a steering committee comprised of leadership from relevant bureaus. This group aims to develop a strategic framework that characterizes USAID's approach to working in NPEs and an associated implementation plan that sets out planned actions for the near, medium, and long-terms to address the challenges of effectively operating in NPEs.

**Performance Goal:** USAID missions and staff have the capabilities, tools and resources to work more safely and effectively in non-permissive environments.

### Performance Measures:

| Metric   | FY 2017 Target |
|--|----------------|
| Number of countries piloting an integrated NPE assessment approach (to assess programmatic, security, and human resource challenges) | 5              |
| Number of Mission Security Assessments (MSAs) completed  | 4              |
| Number of training courses developed and/or revised that include content related to working in NPEs                                  | 3              |

### Planned Actions:

- Develop strategic framework and action plan to guide USAID efforts to build capabilities to work more effectively in non-permissive environments.
- Develop and pilot integrated NPE assessment approach to enable Missions to assess non-permissive conditions in their countries/regions, identify gaps, and prioritize responses.
- Develop leadership training for senior officials to better supervise employee in NPEs, including to learn how to recognize employee stress and mental health issues;
- Publish practical guidance for Mission Performance Management Plans according to ADS 201 Program Cycle operational policy;
- Provide new and updated Agency Program Cycle courses to include considerations for designing, implementing, and monitoring programs in unstable and uncertain environments;
- Develop and roll out MSA methodology; and Issue ADS chapter on Partner Liaison Security Officers.



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### Planned Milestones:

| Milestone  | Date Due   | Date Completed | Notes  |
|--|------------|----------------|--|
| Publish Monitoring Toolkit on <a href="http://usaidlearninglab.gov">usaidlearninglab.gov</a> | 3/31/2017  |                |  |
| Strategic framework and action plan approved by Administrator's Leadership Council           | 4/30/2017  |                |  |
| Identify countries in which integrated NPE assessment approach will be piloted               | 5/15/2017  |                |  |
| Establish Partner Liaison Security Office in six NPE Countries                               | 9/30/2017  |                |  |
| Developing training module on Leading in NPEs  | 12/31/2017 |                | Targeting Mission Directors and Deputy Mission Directors |

**Responsible Agency Officials:** NPE Steering Group (AA/PPL)  
Director, SEC

### USAID Challenge 2: Strategic Human Capital Management

In order for USAID to fulfill its mission to eliminate extreme poverty, it must meet its human capital needs including strategic workforce planning, human resource policy, and the full life-cycle of human resource services for the Agency's Foreign and Civil Service employees. This last point includes recruitment, onboarding, performance management, discipline, professional development, assignments, reassignments and promotions.

To address these, USAID launched a five-year Human Resources Transformation (HRT), designed to achieve a fundamental change in the way USAID supports the human resources and talent management needs of the current and future workforce. This is central to advancing the Agency's mission, particularly given the increasingly complex nonpermissive and contingency operating environments in which many Agency employees work. The three major pillars of the transformation are HR operations, workforce preparedness, and organization culture and wellness. Its success will strengthen USAID's ability to retain talent, develop the next generation of leaders, and engage employees.

**Performance Goal:** Human Resource services support a 21<sup>st</sup> Century workforce in carrying out USAID's mission by preparing the Agency's workforce for today and the future.



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## Performance Measures:

| Metric   | FY 2017 Target |
|--|----------------|
| Percent of customer service survey scores from Service Central for HR tickets that receive a score of at least "4" on a 5-point scale. | 85%            |
| Percent of supervisors completed mandatory Supervisory Course  | 88%            |

## Planned Actions:

- Conduct analysis of Service Central through customer service surveys and case analysis;
- Provide customer service training for all HCTM employees;
- Develop and update scripts and job aids for Service Central to increase effectiveness and efficiency; and
- Conclude Community of Stakeholders group on supervisory training.

## Milestones:

| Milestone  | Date Due   | Date Completed | Notes |
|--|------------|----------------|-------|
| Launch customer service training for HCTM employees                  | 1/10/2017  |                |       |
| Launch an internal dashboard on survey results to monitor progress   | 3/31/2017  |                |       |
| Review Supervisor Certification Course and develop plan for revision | 12/31/2017 |                |       |

**Agency Official Responsible:** USAID Chief Human Capital Officer

### USAID Challenge 3: Strategic IT Management

Information Technology (IT) is a core function that enables USAID to achieve its mission and goals. IT must continually leverage emerging technologies to address operational effectiveness and efficiency, and safeguard systems and information from security and privacy threats while complying with federal laws and regulations governing the management of information technology. Stakeholders need accurate information and the ability to dynamically create custom reports for planning purposes, responses to Congress, and decision making.

Federal agencies are required to continually assess data and information systems for security and privacy risks. Privacy is a key concern, given several noteworthy government and private sector data breaches in 2015 and 2016. The U.S. Government's open data policy, requiring the release of its data to the public by default, has



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ushered in a new era of challenges in the realm of data science, particularly related to personal privacy and operational security.

**Performance Goal:** Improve information management and services to support data-driven decisions; streamline Agency operations to align information technology resources and enhance efficiency; and strengthen USAID's cybersecurity posture by protecting against increasing information technology security and privacy threats.

**Performance Measures:**

| Metric   | FY 2017 Target |
|--|----------------|
| FISMA compliance rating                                      | Level 4        |
| Percentage uptime that enterprise systems are online/offline | 99.9%          |

**Planned Actions:**

- Bolster USAID's security posture to ensure risks are mitigated and information is protected across the network;
- Effectively balance openness with security;
- Improve infrastructure and hardware and software components used in enterprise information systems; and
- Continue to improve the usability of collaborative platforms that provide partners with easier access to tools for sharing information and managing knowledge.

**Milestones:**

| Milestone  | Date Due   | Date Completed | Notes |
|--|------------|----------------|-------|
| Continuous Diagnostics and Mitigation (CDM) executive dashboard available      | Q1 FY 2018 |                |       |
| Begin CDM Phase 3  | Q1 FY 2018 |                |       |
| Start migration to new Enterprise Data Center                                  | Q1 FY 2018 |                |       |
| Develop DIS Workstream 1 for Performance Management                            | Q2 FY 2018 |                |       |
| New enterprise data center in full operation and the old center decommissioned | Q2 FY 2018 |                |       |
| Develop DIS Workstream 2 for Budget Planning and Monitoring                    | Q4 FY 2018 |                |       |

**Agency Official Responsible:** USAID Chief Information Officer

