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U.S. GOVERNMENT ACCOUNTABILITY OFFICE

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441 G St. N.W.  
Washington, DC 20548

PRI-18-162

June 13, 2018

Please refer to your March 13, 2017, request to the U.S. Agency for International Development (USAID) for a copy of all correspondence between USAID and the Government Accountability Office (GAO) during calendar years 2016 and 2017. On April 19, 2018, USAID referred your request and copies of documents to this office for review, release determination and direct response to you.

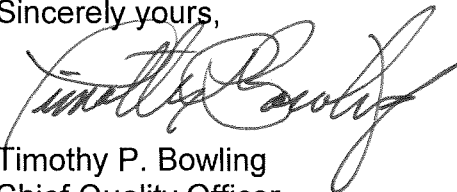
Your letter refers to the Freedom of Information Act (FOIA), 5 U.S.C. § 552. As an agency responsible to the Congress, GAO is not subject to FOIA. However, GAO's disclosure policy follows the spirit of the act consistent with GAO's duties and functions as an agency with primary responsibility to the Congress. We are enclosing for your information a copy of our regulations concerning the availability of GAO records to the public, which are contained in 4 C.F.R. Part 81 (2017). (Enclosure I)

Enclosure II is a listing of documents referred to us by USAID, along with copies of the releasable documents. In reference to items 2-16, 18-28, and 30, we redacted portions of these documents on the basis of 4 C.F.R. § 81.6(f), which exempts from release personnel and similar files the disclosure of which would constitute a clearly unwarranted invasion of personal privacy. With respect to items 17 and 29, we decline to release these documents because they are part of ongoing work. Please be advised that in order to avoid disruption of work in progress, it is GAO's policy not to provide records that are part of ongoing reviews or other current projects (see 4 C.F.R. § 81.5(c)). In addition, we decline to release items 31-34 on the basis of 4 C.F.R. § 81.6(j), which protects records that are part of the deliberative process. Published version of these reports is on our website at [www.gao.gov](http://www.gao.gov).

Additionally, item 36 is a draft of GAO's classified report. GAO does not have the legal authority to declassify material; this document were reviewed and appropriately classified by several federal agencies. We decline to release this classified draft report pursuant to 4 C.F.R. § 81.6(b), records specifically required by an Executive Order to be kept secret in the interest of national defense or foreign policy.

In accordance with 4 C.F.R. § 81.4(d), further consideration of your request—to the extent that it has been denied by GAO—may be obtained by an appeal letter to the Comptroller General of the United States at 441 G Street, NW; Washington, DC 20548, setting forth the basis for your belief that the partial denial of your request is unwarranted.

Sincerely yours,



Timothy P. Bowling  
Chief Quality Officer

Enclosures

## SUBCHAPTER F--RECORDS

PART 81--PUBLIC  
AVAILABILITY OF THE  
GOVERNMENT ACCOUNTABILITY  
OFFICE RECORDS

## Sec.

- 81.1 Purpose and scope of part.
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- 81.4 Requests for identifiable records.
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- 81.8 Public reading facility.

AUTHORITY: 31 U.S.C. 711.

## § 81.1 Purpose and scope of part.

(a) This part implements the policy of the U.S. Government Accountability Office (GAO) with respect to the public availability of GAO records, except as set forth in paragraph (b) of this section. While GAO is not subject to the Freedom of Information Act (5 U.S.C. 552), GAO's disclosure policy follows the spirit of the act consistent with its duties, functions, and responsibilities to the Congress. Application of this act to GAO is not to be inferred from the provisions of these regulations.

(b) GAO published testimonies, reports, decisions, special publications or listings of publications are not included within the scope of this part. These documents may be obtained from the GAO Website, <http://www.gao.gov>, or by telephone at 202-512-6000, TDD 202-512-2537, or 1-866-801-7077 (toll free). These publications may be downloaded free of charge from the GAO Website. Paper copies requested from GAO are subject to a printing, shipping, and handling fee.

(c) Requests for all other GAO records are within the scope of this part and should be submitted to GAO as directed in paragraph (a) of § 81.4. [76 FR 12549, Mar. 8, 2011]

## § 81.2 Administration.

GAO's Chief Quality Officer administers this part and may promulgate such supplemental rules or regulations as may be necessary.

## § 81.3 Definitions.

As used in this part:

(a) "*Identifiable*" means a reasonably specific description of a particular record sought, such as the date of the record, subject matter, agency or person involved, etc., which will permit location or retrieval of the record.

(b) "*Records*" includes all books,

papers, manuals, maps, photographs, reports, and other documentary materials, regardless of physical form or characteristics, including electronically created or maintained materials, under the control of GAO in pursuance of law or in connection with the transaction of public business. As used in this part, the term "records" is limited to an existing record under GAO's control and does not include compiling or procuring records, library or museum material made, acquired, or preserved solely for reference or exhibition purposes, or extra copies of documents preserved only for convenience of reference.

(c) "*Records available to the public*" means records which may be examined or copied or of which copies may be obtained, in accordance with this part, by the public or representatives of the press regardless of interest and without specific justification.

(d) "*Disclose or disclosure*" means making available for examination or copying or furnishing a copy.

(e) "*Person*" includes an individual, partnership, corporation, association, or public or private organization other than a federal agency.

(f) "*Compelling need*" means that a failure to obtain requested records on an expedited basis could reasonably be expected to pose an imminent threat to the life or physical safety of an individual, or the records are needed urgently, with respect to a request made by a person primarily engaged in disseminating information, for the requester to inform the public concerning actual or alleged Federal Government activity.

## § 81.4 Requests for identifiable records.

(a) A request to inspect or obtain a copy of an identifiable record of GAO must be submitted in writing to the Chief Quality Officer, U.S. Government Accountability Office, 441 G Street, NW, Washington, DC 20548. Requests also may be emailed to [recordsrequest@gao.gov](mailto:recordsrequest@gao.gov). The Chief Quality Officer will either acknowledge or honor the request within 20 days of receipt.

(b) The Chief Quality Officer will honor requests for expedited processing before all other requests in cases in which the person requesting the records demonstrates a compelling need. A demonstration of compelling need shall be made by a statement certified by the requester to be true and correct to the best of the requester's knowledge and belief.

(c) In the event of an objection or doubt as to the propriety of providing the requester with a copy of the record sought, every effort will be made to resolve such problems as quickly as possible, including consultation with appropriate GAO elements. If it is determined that the record should be withheld, the Chief Quality

Officer shall inform the requester in writing that the request has been denied, shall identify the material withheld, and shall explain the basis for the denial.

(d) A person whose request is denied in whole or part may administratively appeal the denial within 60 days after the date of the denial by submitting a letter to the Comptroller General of the United States at the address listed in paragraph (a) of this section, explaining why the denial of the request was unwarranted.

## § 81.5 Records originating outside GAO, records of interviews, or records involving work in progress.

(a) It is the policy of GAO not to provide records from its files that originate in another agency or nonfederal organization to persons who may not be entitled to obtain the records from the originator. In such instances, requesters will be referred to the person or organization that originated the records.

(b) It is the policy of GAO that prior to the release of a record of interview created by GAO in connection with an audit, evaluation, or investigation of a program, activity, or funding of a government entity, GAO will notify the agency from which an interview was obtained of the request. GAO will provide that agency with a reasonable opportunity to indicate whether the record of interview or portions thereof should be exempt from disclosure and the reason(s) for the exemption. The public disclosure of a record of interview remains within the discretion of GAO's Chief Quality Officer, but GAO will consider the views of the agency and the exemptions provided for under § 81.6 or any other law or regulation in deciding whether to release all or portions of a record of interview.

(c) In order to avoid disruption of work in progress, and in the interests of fairness to those who might be adversely affected by the release of information which has not been fully reviewed to assure its accuracy and completeness, it is the policy of GAO not to provide records which are part of ongoing reviews or other current projects. In response to such requests, GAO will inform the requester of the estimated completion date of the review or project so that the requester may then ask for the records. At that time, the records may be released unless exempt from disclosure under § 81.6.

## § 81.6 Records which may be exempt from disclosure.

The public disclosure of GAO records contemplated by this part does not apply to records, or parts thereof, within any of the categories listed below. Unless precluded by law, the Chief Quality Officer may nevertheless release records within these categories:

(a) Records relating to work performed in response to a congressional request (unless authorized by the congressional requester), congressional correspondence, and congressional contact memoranda.

(b) Records specifically required by an Executive Order to be kept secret in the interest of national defense or foreign policy. An example of this category is a record classified under Executive Order 12958, Classified National Security Information.

(c) Records related solely to the internal personnel rules and practices of an agency. This category includes, in addition to internal matters of personnel administration, internal rules and practices which cannot be disclosed without prejudice to the effective performance of an agency function. Examples within the purview of this exemption are guidelines and procedures for auditors, investigators, or examiners, and records concerning an agency's security practices or procedures.

(d) Records specifically exempted from disclosure by statute provided that such statute (1) requires that the matters be withheld from the public in such a manner as to leave no discretion on the issue or (2) establishes particular criteria for withholding or refers to particular types of matters to be withheld.

(e) Records containing trade secrets and commercial or financial information obtained from a person and are privileged or confidential. This exemption may include, but is not limited to, business sales statistics, inventories, customer lists, scientific or manufacturing processes, or development information.

(f) Personnel and medical files and similar files the disclosure of which could constitute a clearly unwarranted invasion of personal privacy. This exemption excludes from disclosure all personnel and medical files, and all private or personal information contained in other files, which, if disclosed to the public, would amount to a clearly unwarranted invasion of the privacy of any person. An example of such other files within the exemption would be files compiled to evaluate candidates for security clearance.

(g) Records compiled for law enforcement purposes that originate in another agency, or records provided by GAO to another agency for law enforcement purposes.

(h) Records having information contained in or related to examination, operation, or condition reports prepared by, on behalf of, or for the use of an agency responsible for the regulation or supervision of financial institutions.

(i) Records containing geological and geophysical information and data (including maps) concerning wells.

(j) Inter-agency or intra-agency

memorandums, letters, or other materials that are part of the deliberative process. For example, this exemption includes internal communications such as GAO or other agency draft reports and those portions of internal drafts, memoranda, and workpapers containing opinions, recommendations, advice, or evaluative remarks of GAO employees. This exemption seeks to avoid the inhibiting of internal communications and the premature disclosure of documents which would be detrimental to an agency decision making.

(k) Records in addition to those described in paragraph (j) of this section containing information customarily subject to protection as privileged in a court or other proceedings, such as information protected by the doctor-patient, attorney-work product, or lawyer-client privilege.

(l) Records GAO has obligated itself not to disclose, including but not limited to, records for which GAO officials have made a pledge of confidentiality, and records the release of which would adversely impact significant property interests or negatively affect public safety.

(m) Unsolicited records containing information submitted by any person to GAO in confidence. Records obtained by the GAO Forensic Audits and Special Investigations (GAO FraudNet) are an example of records that could contain information covered by this exemption. [68 FR 33832, June 6, 2003, as amended at 72 FR 50644, Sept. 4, 2007; 76 FR 12549, Mar. 8, 2011]

#### **§ 81.7 Fees and charges.**

(a) No fee or charge will be made for:

(1) Records provided under this part when the direct costs involve less than one hour of search time and 50 pages of photocopying.

(2) Staff-hours spent in resolving any legal or policy questions pertaining to the request.

(3) Copies of records, including those certified as true copies, furnished for official use to a federal government officer or employee.

(4) Copies of pertinent records furnished to a party having a direct and immediate interest in a matter pending before GAO, when necessary or desirable to the performance of a GAO function.

(b) The fees and charges described below will be assessed for the direct costs of search, review, and reproduction of records available to the public under this part.

(1) The cost for reproduction per page shall be 20 cents.

(2) The cost for a certification of authenticity shall be \$10 for each certificate.

(3) Manual search and review for records by office personnel will be

assessed at \$12, \$25, or \$45 per hour, depending on the rate of pay of the individual actually conducting the search or review, and the complexity of the search.

(4) Other direct costs related to the request may be charged for such items as computer searches.

(5) Except as noted immediately below, requesters generally will be charged only for document duplication. However, there may be times when a search charge will be added, for example, if records are not described with enough specificity to enable them to be located within one hour. Requesters seeking records for commercial use will be charged for document duplication, search, and review costs. Additionally, representatives of the news media, in support of a news gathering or dissemination function, and education or noncommercial scientific institutions not seeking records for commercial use will be charged only for document duplication, unless such request requires extraordinary search or review.

(c) GAO shall notify the requester if an advance deposit is required.

(d) Fees and charges shall be paid by check or money order payable to the U.S. Government Accountability Office.

(e) The Chief Quality Officer may waive or reduce the fees under this section upon a determination that disclosure of the records requested is in the public interest, is likely to contribute significantly to public understanding of the operations or activities of the government, and is not primarily in the commercial interest of the requester. Persons seeking such waiver or fee reduction may be required to submit a statement setting forth the intended purpose for which the records are requested, indicate how disclosure will primarily benefit the public and, in appropriate cases, explain why the volume of records requested is necessary. Determinations pursuant to this paragraph are solely within the discretion of GAO. [49 FR 38527, Oct. 1, 1984, as amended at 53 FR 50913, Dec. 19, 1988]

#### **§ 81.8 Public reading facility.**

GAO maintains a public reading facility in the Law Library at the Government Accountability Office Building, 441 G Street NW, Washington, DC. To determine if a record is part of the public reading facility collection and to schedule an appointment to visit the facility, contact the Library reference desk at 202-512-2585. The facility is open to the public from 8:30 a.m. to 4:00 p.m. except Saturdays, Sundays, and Federal holidays. [76 FR 12549, Mar. 8, 2011]

<sup>1</sup>Noted changes will be made at a future date.

**LIST OF REFERRED DOCUMENTS**

1. July 25, 2016, letter to USAID from GAO, re: Update on the Overall Status of USAID's Implementation of GAO's Recommendations with enclosure.
2. January 13, 2015, notification letter and information on a new engagement to USAID from GAO.
3. March 3, 2016, notification letter and information on a new engagement to USAID from GAO.
4. May 4, 2016, notification letter and information on a new engagement to USAID from GAO.
5. May 5, 2016, notification letter and information on a new engagement to USAID from GAO.
6. June 23, 2016, notification letter and information on a new engagement to USAID from GAO.
7. June 21, 2016, notification letter and information on a new engagement to USAID from GAO.
8. July 15, 2016, notification letter and information on a new engagement to USAID from GAO.
9. August 10, 2016, notification letter and information on a new engagement to USAID from GAO.
10. August 17, 2016, notification letter and information on a new engagement to USAID from GAO.
11. August 19, 2016, notification letter and information on a new engagement to USAID from GAO.
12. August 29, 2016, notification letter and information on a new engagement to USAID from GAO.
13. August 30, 2016, notification letter and information on a new engagement to USAID from GAO.
14. September 13, 2016, notification letter and information on a new engagement to USAID from GAO.

15. September 19, 2016, notification letter and information on a new engagement to USAID from GAO.
16. September 20, 2016, notification letter and information on a new engagement to USAID from GAO.
17. September 23, 2016, notification letter and information on a new engagement to USAID from GAO. (Estimated completion date end of 6/2018)
18. September 29, 2016, notification letter and information on a new engagement to USAID from GAO.
19. September 30, 2016, notification letter and information on a new engagement to USAID from GAO.
20. October 11, 2016, notification letter and information on a new engagement to USAID from GAO.
21. October 24, 2016, notification letter and information on a new engagement to USAID from GAO.
22. November 15, 2016, notification letter and information on a new engagement to USAID from GAO.
23. November 18, 2016, notification letter and information on a new engagement to USAID from GAO.
24. December 8, 2016, notification letter and information on a new engagement to USAID from GAO.
25. January 9, 2017, notification letter and information on a new engagement to USAID from GAO.
26. January 25, 2017, notification letter and information on a new engagement to USAID from GAO.
27. January 31, 2017, notification letter and information on a new engagement to USAID from GAO.
28. January 31, 2017, notification letter and information on a new engagement to USAID from GAO.
29. February 8, 2017, notification letter and information on a new engagement to USAID from GAO. (Estimated completion date end of 9/2018)
30. February 21, 2017, notification letter and information on a new engagement to

USAID from GAO.

31. Draft GAO report entitled FOREIGN ASSISTANCE: Agencies Can Improve the Quality and Dissemination of Program Evaluations (GAO-17-316, published report on website).
32. Draft GAO report entitled INTERNATIONAL FOOD ASSISTANCE: USAID Has Controls for Implementation and Support Costs but Should Strengthen Financial Oversight (GAO-17-224, published report on website).
33. Draft GAO report entitled TRADE ENFORCEMENT: Information on U.S. Agencies' Monitoring and Enforcement Resources for International Trade Agreements (GAO-17-399, published report on website).
34. Draft GAO report entitled DATA CENTER OPTIMIZATION: Agencies Need to Complete Plans to Address Inconsistencies in Reported Savings (GAO-17-388, published report on website).
35. Draft GAO report entitled RUSSIA: U.S. Government Takes a Country-Specific Approach to Addressing Disinformation Overseas (GAO-17-382C, Restricted Product).





July 25, 2016

The Honorable Gayle E. Smith  
Administrator  
U.S. Agency for International Development  
1300 Pennsylvania Ave., N.W.  
Washington, DC 20523

Dear Administrator Smith:

The purpose of this letter is to provide an update on a letter I sent to Acting Administrator Lenhardt last September regarding the overall status of USAID's implementation of GAO's recommendations and to call your personal attention to areas where open recommendations should be given high priority. This is part of a broader GAO effort to reach out to agencies across government. In our 2015 Performance and Accountability Report, we reported that 79 percent of our 2011 recommendations were implemented government wide.<sup>1</sup> USAID has implemented 93 percent of our 2011 recommendations. This is a significant achievement and I appreciate USAID's diligence and cooperation in implementing them. I also look forward to continued cooperation on closing 53 recommendations made from 2011 through 2016 that remain unimplemented.<sup>2</sup> Fully implementing these open recommendations could yield significant improvements in your agency's operations.

USAID has completed the implementation of 1 of the 9 priority recommendations that we first outlined in our September 2015 letter. In response to our recommendations to improve oversight of cash-based food assistance, USAID now requires implementing partners to provide an assessment of risk of fraud or diversion and describe controls in place to prevent any diversion or counterfeiting. As a result, USAID is better positioned to mitigate financial vulnerabilities. Regarding the other 8 priority recommendations, I realize that implementing some recommendations takes time, and I want to acknowledge some of the progress USAID has made. For example, USAID has begun developing a food aid prepositioning tracking system in response to our recommendations to systematically collect, monitor, and assess data on prepositioned food shipments. Furthermore, in response to our recommendation to reprogram \$260 million previously earmarked for a cash transfer the U.S. government decided would not occur, USAID has repurposed most of those funds. However, an additional \$30 million in cost savings could still be realized.

This year, we have identified 4 additional priority recommendations, bringing the total number to 12. These new priority recommendations will help address evaluating foreign aid and the sustainability of large infrastructure projects. Our priority recommendations fall into the following

<sup>1</sup> Experience has shown that it takes time to implement some recommendations. For this reason, in any given fiscal year, we measure the percentage implemented for recommendations made in the fiscal year 4 years before (e.g., the fiscal year 2015 implementation rate is the percentage of recommendations made in fiscal year 2011 products that an agency had implemented by the end of fiscal year 2015).

<sup>2</sup> As of July 2016, USAID had 53 open public recommendations, however we are in the process of closing some of these recommendations.

four areas. (See the enclosure for a list of open recommendations related to these new areas and the status of last year's priority recommendations that remain open.)

**Food Aid.** We have a long history of working with USAID to improve food aid programs, but additional steps remain. In particular, we identified 3 priority recommendations regarding the prepositioning of food aid that, when implemented, could help USAID meet its goal of reducing delivery time frames in a cost-effective manner.<sup>3</sup> For example, USAID needs to complete its development of a prepositioning tracking system, which USAID officials have reported initiating. In addition, there are 4 remaining recommendations to strengthen management and oversight of cash-based food assistance projects.<sup>4</sup> For example, USAID needs to develop formal policy and guidance related to grant modification review, responding to market changes, and financial oversight. Considering USAID's expansion of cash-based food assistance, implementing these recommendations would provide the necessary guidance to ensure decision-makers have appropriate information to determine when to use cash-based food assistance and that there are sufficient financial controls in place.

**Cost Savings.** As mentioned above, USAID is close to fully realizing the cost savings from our recommendation related to foreign assistance to Egypt. We recommended USAID plan for the use of \$260 million that was earmarked for a cash transfer the U.S. government decided would not occur.<sup>5</sup> USAID, working with the Department of State, has taken steps to repurpose most of these funds, but as of June 2016, a portion remains available. Given U.S. government resource constraints, it is important that USAID plan for using these existing resources.

**Foreign Aid Evaluation.** As USAID's Evaluation Policy asserts, evaluation is a crucial tool to inform U.S. development efforts and enable USAID to make hard choices based on the best available evidence. In the last couple of years, we have made several recommendations to help improve USAID's evaluation efforts, but would like to draw your particular attention to two of these. First, recognizing that USAID's evaluation efforts on the Local Solutions Initiative did not fully reflect the progress made, we recommended that USAID identify additional indicators to capture progress toward goals.<sup>6</sup> Second, we recommended that USAID disseminate guidance on assessing the effects of government-to-government assistance.<sup>7</sup> While we appreciate the steps USAID has taken to date, such as initiating the working group to identify relevant indicators and evaluation approaches, fully implementing these recommendations would help identify critical information for decision makers considering the future of these and similar programs.

**Large Infrastructure Project Sustainability.** In the wake of disasters and conflict, the United States has made significant contributions to rebuild communities, including large infrastructure projects. Given the substantial resources—such as the \$1.7 billion for reconstruction efforts in

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<sup>3</sup>GAO, *International Food Aid: Prepositioning Speeds Delivery of Emergency Aid, but Additional Monitoring of Time Frames and Costs Is Needed*, GAO-14-277 (Washington, D.C.: March 4, 2014).

<sup>4</sup>GAO, *International Cash-Based Food Assistance: USAID Has Developed Processes for Initial Project Approval but Should Strengthen Financial Oversight*, GAO-15-328 (Washington, D.C.: March 26, 2015).

<sup>5</sup>GAO, *Egypt: U.S. Government Should Examine Options for Using Unobligated Funds and Evaluating Security Assistance Programs*, GAO-15-259 (Washington, D.C.: February 11, 2015).

<sup>6</sup>GAO, *Foreign Aid: USAID Has Increased Funding to Partner-Country Organizations but Could Better Track Progress*, GAO-14-355 (Washington, D.C.: April 16, 2014).

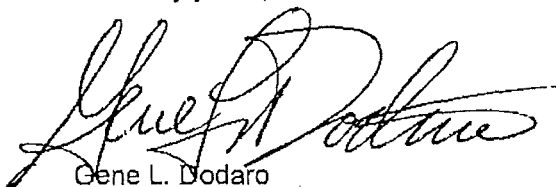
<sup>7</sup>GAO, *Foreign Aid: USAID Has Taken Steps to Safeguard Government-to-Government Funding but Could Further Strengthen Accountability*, GAO-15-377 (Washington, D.C.: June 4, 2015).

Haiti—and related risks, it is critical to fully analyze the sustainability of these investments and USAID could improve its efforts in this area. For example, when reviewing efforts in Haiti in 2015, we found that USAID does not have agency-wide guidance to (1) identify capital assistance projects for which missions must certify sustainability or (2) obtain information to ensure host government capability to maintain and operate the capital project.<sup>8</sup> We made two recommendations to address these deficiencies. Implementing these two recommendations related to sustainability certifications could be used to inform future disaster reconstruction efforts and other large infrastructure projects, thereby protecting these important investments of U.S. resources. We understand that USAID is working on written guidance to address these issues.

Since 1990, we have maintained a High Risk List to call attention to government operations that are high risk due to their vulnerabilities to fraud, waste, abuse, and mismanagement, or that are in need of transformation.<sup>9</sup> Our High Risk program has served to identify and help resolve serious weaknesses in areas that involve substantial resources and provide critical service to the public. Progress has been possible through the concerted actions and efforts of the administration, Congress, and agencies. In particular, we would like to call your attention to two government-wide High Risk areas: (1) ensuring the security of federal information systems and cyber critical infrastructure and protecting the privacy of personally identifiable information and (2) strategic human capital management. Continuing management attention in these two areas is needed at all federal agencies.

I appreciate your agency's continued commitment to these important issues. If you have any questions or would like to discuss any of the issues outlined in this letter, please do not hesitate to contact me or Loren Yager, Managing Director, International Affairs and Trade at [yagerl@gao.gov](mailto:yagerl@gao.gov) or 202-512-4347. We will continue to work with USAID's GAO Liaison, Mary Offerdahl, and her team to determine which open recommendations should be closed.

Sincerely yours,



Gene L. Dodaro  
Comptroller General  
of the United States

Enclosure

cc: Loren Yager

<sup>8</sup>GAO, *Haiti Reconstruction: USAID Has Achieved Mixed Results and Should Enhance Sustainability Planning*, GAO-15-517 (Washington, D.C.: June 3, 2015).

<sup>9</sup>GAO, *High Risk Series: An Update*, GAO-15-290 (Washington, D.C.: Feb. 11, 2015).

## Enclosure

### USAID Open Priority Recommendations

#### Food Aid

*International Food Aid: Prepositioning Speeds Delivery of Emergency Aid, but Additional Monitoring of Time Frames and Costs Is Needed.* GAO-14-277. Washington, D.C.: March 4, 2014.

Contact: Thomas Melito, Director, 202-512-9601 or MelitoT@gao.gov

**Actions Needed:** USAID needs to complete its development of a prepositioning tracking system. Furthermore, USAID has yet to begin systematically monitoring and assessing (1) data on delivery time frames for prepositioned food aid shipments and (2) costs associated with commodity procurement, shipping, and storage for prepositioned food aid shipments.

#### **Open Priority Recommendations:**

- To strengthen USAID's ability to help ensure that its food aid prepositioning program meets the goal of reducing delivery time frames in a cost-effective manner, the USAID Administrator should systematically collect, and ensure the reliability and validity of, data on delivery time frames for all emergency food aid shipments, including prepositioned food aid shipments.
- To strengthen USAID's ability to help ensure that its food aid prepositioning program meets the goal of reducing delivery time frames in a cost-effective manner, the USAID Administrator should systematically monitor and assess data on delivery time frames for prepositioned food aid shipments.
- To strengthen USAID's ability to help ensure that its food aid prepositioning program meets the goal of reducing delivery time frames in a cost-effective manner, the USAID Administrator should systematically monitor and assess costs associated with commodity procurement, shipping, and storage for prepositioned food aid shipments.

**Status:** USAID concurred with these recommendations. USAID said that Food for Peace (FFP) was reviewing what actions were needed to ensure that reliable data on delivery time frames for all emergency aid is collected from cooperating sponsors. In June 2015, USAID officials said that they were in the early stages of exploring options for developing a prepositioning tracking system. In addition, USAID reported completing an independent evaluation on the efficiency and effectiveness of the Title II Food for Peace Prepositioned program that will inform the ongoing revision to FFP's strategy. However, as of June 2016, USAID has yet to provide the documentation that it has fully addressed these recommendations.

*International Cash-Based Food Assistance: USAID Has Developed Processes for Initial Project Approval but Should Strengthen Financial Oversight.* GAO-15-328. Washington, D.C.: March 26, 2015.

Contact: Thomas Melito, Director, 202-512-9601 or MelitoT@gao.gov

**Actions Needed:** We encourage USAID to continue to pursue its plan to develop policy, guidance, and training related to cash-based food assistance programs. USAID has reported actions taken, but still needs to provide documentation to support those efforts.

**Open Priority Recommendations:**

- To strengthen its management of cash-based food assistance projects and help ensure improved oversight of these projects, the USAID Administrator should expedite USAID's efforts to establish formal guidance for staff reviewing modifications of cash-based food assistance grant awards.
- To strengthen its management of cash-based food assistance projects and help ensure improved oversight of these projects, the USAID Administrator should develop formal guidance to implementing partners for modifying cash-based food assistance projects in response to changes in market conditions.
- To strengthen its management of cash-based food assistance projects and help ensure improved oversight of these projects, the USAID Administrator should develop policy and comprehensive guidance for USAID staff and implementing partners for financial oversight of cash-based food assistance projects.
- To strengthen its management of cash-based food assistance projects and help ensure improved oversight of these projects, the USAID Administrator should require USAID staff to conduct systematic financial oversight of USAID's cash-based food assistance projects in the field.

**Status:** USAID concurred with these recommendations and has reported progress towards implementing them. For example, in June 2015, USAID reported that it will engage the Cash Learning Partnership to work on the development and dissemination of policy and guidance related to cash-based food assistance, which may address our second and fourth recommendations above. In June 2016, USAID provided an update, but we have not yet received sufficient documentation that USAID's efforts to date fully address these four recommendations.

## **Cost Savings**

*Egypt: U.S. Government Should Examine Options for Using Unobligated Funds and Evaluating Security Assistance Programs.* GAO-15-259. Washington, D.C.: February 11, 2015.

Contact: Charles Johnson, Director, 202-512-7331 or JohnsonCM@gao.gov

**Action Needed:** USAID, working with the Department of State (State), needs to develop plans for an alternative use for unobligated Economic Support Funds (ESF).

### **Open Priority Recommendation:**

- Given the significant unobligated balances of about \$260 million in the ESF account for Egypt previously allocated for a cash transfer that the administration has stated it no longer intends to carry out, the Secretary of State and the USAID Administrator should work to develop plans for an alternate use of these funds, in consultation with the appropriate committees of Congress. As part of planning for these funds, the State should also consider ways that this funding could potentially be used to offset future budget requests.

**Status:** In written comments on our draft report, State and USAID generally concurred with our recommendation. State and USAID reported in May 2016 that the agencies had reprogrammed \$230 million of the \$260 million previously allocated for the cash transfer to the Egyptian government for programs in Syria, Iraq, Tunisia, and Egypt, among other countries. State and USAID were still in the process of consulting with congress regarding the reprogramming of the remaining \$30 million. We will continue to monitor agency efforts to fully implement this recommendation.

## **Foreign Aid Evaluation**

*Foreign Aid: USAID Has Increased Funding to Partner-Country Organizations but Could Better Track Progress.* GAO-14-355. Washington, D.C.: April 16, 2014.

Contact: David Gootnick, Director, 202-512-3149 or GootnickD@gao.gov

**Actions Needed:** USAID needs to identify additional indicators to better track progress toward the goals of the USAID Forward Local Solutions initiative, which are to strengthen local capacity, enhance and promote country ownership, and increase sustainability. Rather than identifying additional indicators, USAID has been collecting and reporting information related to a single existing indicator for this initiative—the percentage of mission funds provided through local organizations.

### **Open Priority Recommendation:**

- To improve the agency's tracking and reporting on progress on its Local Solutions initiative, the USAID Administrator should identify additional indicators to better capture Local Solutions progress toward the initiative's goals.

**Status:** USAID neither explicitly agreed nor disagreed with this recommendation, but has described actions the agency has taken to address it. USAID has asked missions to submit additional information to supplement the Local Solutions indicator in its annual Program Performance Report, which is the agency's data call for tracking progress of the USAID Forward

reform initiative. Among other things, the missions were asked to share their story of sustainability through engaging local systems and fostering country ownership. As of June 2016, we determined that while the collection of additional information can be helpful for providing context to program outcomes, USAID does not systematically track progress toward the goals of the Local Solutions initiative. The Modernizing Foreign Assistance Network, a consortium of non-governmental organizations, has also urged the Administrator to prioritize the development of agency-wide indicators of sustainability and country ownership so that progress in these areas can be evaluated.

*Foreign Aid: USAID Has Taken Steps to Safeguard Government-to-Government Funding but Could Further Strengthen Accountability.* GAO-15-377. Washington, D.C.: June 4, 2015.

Contact: David Gootnick, Director, 202-512-3149 or GootnickD@gao.gov

**Actions Needed:** USAID needs to develop guidance to assess the effects of U.S. assistance provided directly through partner-country governments—also referred to as government-to-government (G2G) assistance—on the goals of the agency's Local Solutions initiative, which are to strengthen local capacity, enhance and promote country ownership, and increase sustainability.

**Open Priority Recommendation:**

- To improve accountability of G2G funds, the USAID Administrator should develop and disseminate guidance on assessing the effects of G2G assistance on partner-country capacity, ownership, and sustainability, including through the identification of indicators and evaluation approaches.

**Status:** USAID concurred with this recommendation. During the course of our audit, USAID initiated a working group to identify relevant indicators and evaluation approaches based on a survey of existing tools, indicators, and methodologies. USAID is reviewing available tools that measure performance of governments at the national and local levels and is surveying methods used by missions. The working group plans to collect preferred tools and methods, identify what data from those tools are useful toward assessing improvement in government systems or broader local systems, and establish what those tools explain about capacity developed, more effective systems, ownership, and sustainability. Using this information, USAID plans to produce comprehensive guidance recommending monitoring and evaluation approaches to assess the effects of G2G assistance on partner-country capacity, ownership, and sustainability that would allow mission to select recommended tools and approaches that are best suited to their programmatic focus and development objectives. USAID has also hired a Local Solutions monitoring and evaluation coordinator. As of July 2016, USAID plans to address this recommendation later this year. We will continue to monitor the implementation of USAID's plans.

## **Sustainability of Large Infrastructure Projects**

*Haiti Reconstruction: USAID Has Achieved Mixed Results and Should Enhance Sustainability Planning.* GAO-15-517. Washington, D.C.: June 3, 2015.

Contact: David Gootnick, Director, 202-512-3149 or GootnickD@gao.gov

**Actions Needed:** USAID needs to develop guidance for identifying projects that require sustainability certifications and specifying what types of information missions should include in those certifications.

### **Open Priority Recommendations:**

- To strengthen USAID's ability to promote the sustainability of its activities in Haiti, and to help ensure full compliance with Section 611(e) of the Foreign Assistance Act of 1961, the USAID Administrator should provide guidance for identifying capital assistance projects, including infrastructure activities, for which missions must certify sustainability.
- To strengthen USAID's ability to promote the sustainability of its activities in Haiti, and to ensure that USAID management has access to all information necessary to certify a host government's capability to maintain and operate a capital assistance project, such as an infrastructure activity, the USAID Administrator should provide guidance specifying the types of information that missions should include in 611(e) certifications.

**Status:** USAID concurred with both of these recommendations. USAID reports that it has taken several steps to address 611(e) compliance. For example, some missions have issued guidance for construction activity management, including 611(e) compliance. Also, the agency provided a training session on 611(e) compliance in December 2014 and is taking steps to track construction activities once they are identified. As of June 2016, USAID has not yet fully implemented our recommendation because it has not provided written guidance that defines capital assistance projects to help mission officials determine the types of projects for which a 611(e) certification is required. USAID reported that it would issue guidance specifying the types of information that missions should include in 611(e) certifications, but, as of June 2016, has yet to provide us with a copy of that guidance.





U.S. GOVERNMENT ACCOUNTABILITY OFFICE

441 G St. N.W.  
Washington, DC 20548

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January 13, 2015

Gayle E. Smith  
Administrator  
U.S. Agency for International Development

Attention: Reginald W. Mitchell, Chief Financial Officer

Dear Administrator Smith:

This letter is to inform you of a new U.S. Government Accountability Office engagement on international food aid market assessments—code 100511. The enclosure provides information on the engagement. If we determine it is necessary to visit locations other than those specified in the enclosure, we will advise you.

We would appreciate your notifying the appropriate officials of this work. The next step will be to set up an entrance conference. At that meeting, we will request that your agency identify a point of contact for this engagement.

Sincerely yours,

  
Loren Yager  
Managing Director  
International Affairs and Trade

Enclosure  
cc: Leslie Holen, HolenL@gao.gov

Enclosure

Information on New Engagement

Engagement subject: International food aid market assessments

Engagement code: 100511

Source for the work: GAO is beginning this work in response to a request made by the Chair of the House Committee on Agriculture.

Issue(s) under review/Objective(s)/Key question(s):

1. How do USDA and USAID determine the countries to which food aid will be delivered, as well as the types and quantities of commodities to be delivered as in-kind aid to these countries?
2. What role do market assessments play in decisions about funding and management of in-kind food aid, and how do USDA and USAID leverage such assessments?
3. What actions have USDA and USAID taken to assess and minimize the risk of any potential negative market assessments of in-kind food aid?
4. What challenges have USDA and USAID encountered in conducting market assessments, and have these assessments been sufficiently robust to minimize potential negative market impacts?
5. What actions do USDA and USAID take to update or revise their initial market assessments, both over the course of each project and prior to issuing additional project funding?

Agencies and anticipated locations (HQ and field) to be notified: USAID headquarters, field work TBD.

Other departments/agencies to be contacted: U.S. Department of Agriculture

Estimated start date for the work: Immediately

Time frame for holding the entrance conference: January 19-22, January 25-29

GAO Team(s) performing the engagement: International Affairs and Trade

GAO contacts:

Tom Melito, Director, 202-512-9601, MelitoT@gao.gov

Judith Williams, Assistant Director, 202-512-3769, WilliamsJA1@gao.gov

Jon Fremont, Analyst-in-Charge, 4 C.F.R. § 81.6(f)



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Washington, DC 20548

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March 03, 2016

Gayle E. Smith  
Administrator  
U.S. Agency for International Development

Attention: Reginald W. Mitchell, Chief Financial Officer

Dear Administrator Smith:

This letter is to inform you of a new U.S. Government Accountability Office engagement, the Federal Managers Survey—code 100573. The enclosure provides information on the engagement. If we determine it is necessary to visit locations other than those specified in the enclosure, we will advise you.

We would appreciate your notifying the appropriate officials of this work. We also request that your agency identify a point of contact for this engagement.

Sincerely yours,

A handwritten signature in black ink that reads "Loren Yager".

Loren Yager  
Managing Director  
International Affairs & Trade

Enclosure

cc: Leslie Holen, International Affairs & Trade

Enclosure

Information on New Engagement

Engagement subject: Federal Managers Survey

Engagement code: 100573

Source for the work: GAO is beginning this work in response to a congressional mandate.

Key question: What are federal managers' reported experiences regarding selected performance and management issues, and how have they changed, if at all, over time?

To address this question, we are conducting a government-wide, web-based survey to obtain information on the experiences of federal managers on a range of performance and managerial issues. The survey will ask federal managers about such matters as their use of agency goals and performance measures in running their programs including activities related to the Government Performance and Results Act Modernization Act of 2010. This survey is a follow-up to similar government-wide surveys that we conducted in 1996, 1999, 2003, 2007, and 2013.<sup>1</sup> The responses of individual managers to the survey will be kept confidential.

Agencies and anticipated locations (HQ and field) to be notified: We will randomly select the managers (GS-13 to GS-15 (and equivalent) and SES) from all components of your agency. To help us in the administration of this web-based survey, we request that you provide us with a point of contact for your agency.

Other departments/agencies to be contacted: We are including all CFO Act agencies in our government-wide survey.

Estimated start date for the work: Immediately. We anticipate the survey will be administered in summer 2016.

Time frame for holding the entrance conference: Because our work does not focus upon individual agencies, we are not planning to hold individual entrance conferences unless you request a meeting. We will offer joint entrance teleconferences at the dates and times below, or you may elect to waive an entrance conference.

Friday, March 11, 2016 at 11:00 AM  
Wednesday, March 16, 2016 at 10:00 AM

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<sup>1</sup> See, for example: GAO, *Managing for Results: Agencies' Trends in the Use of Performance Information to Make Decisions*, GAO-14-747, (Washington, D.C.: September 26, 2014); GAO, *Managing for Results: 2013 Federal Managers Survey on Organizational Performance and Management Issues: An E-supplement to GAO-13-518*, GAO-13-519SP (Washington, D.C.: June 26, 2013).

GAO Team(s) performing the engagement: Strategic Issues

GAO contacts:

To confirm or waive an entrance conference, please contact:

Shannon Roe, Analyst, 202-512-8651, roes@gao.gov; or

Elizabeth Fan, Analyst-in-Charge, 4 C.F.R. § 81.6(f)

Other engagement contacts:

J. Christopher Mihm, Managing Director, 202-512-6806, mihmj@gao.gov

Leah Nash, Assistant Director, 202-512-4798, nashl@gao.gov



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May 4, 2016

Gayle E. Smith  
Administrator,  
U.S. Agency for International Development

Attention: Reginald W. Mitchell  
Chief Financial Officer

Dear Administrator Smith:

This letter is to inform you of a new U.S. Government Accountability Office engagement on federal government efforts to reduce the use of Social Security Numbers —code 100830. The enclosure provides information on the engagement. If we determine it is necessary to visit locations other than those specified in the enclosure, we will advise you.

We would appreciate your notifying the appropriate officials of this work. The next step will be to set up an entrance conference. At that meeting, we will request that your agency identify a point of contact for this engagement.

Sincerely yours,

A handwritten signature in black ink, appearing to read "Loren Yager".

Loren Yager  
Managing Director  
International Affairs and Trade

Enclosure  
cc: Mary Offerdahl

Enclosure

**Information on New Engagement**

Engagement subject: Federal Government Efforts to Reduce the Use of Social Security Numbers (SSNs)

Engagement code: 100830

Source for the work: GAO is beginning this work in response to a request made by the Chair of the House Committee on Oversight and Government Reform and the Chair of the Subcommittee on Social Security from the House Committee on Ways and Means.

Key questions:

- (1) To what extent have agencies developed and executed plans to eliminate the use and display of SSNs?
- (2) What government-wide initiatives have been undertaken to assist agencies in eliminating their unnecessary use of SSNs and what have been their results?
- (3) What remaining challenges have agencies identified to reducing the continued use of SSNs as personal identifiers?

Agencies and anticipated locations (HQ and field) to be notified:

At the Agency for International Development, we anticipate conducting work at the offices and with the persons responsible for reducing the collection, use, and display of SSNs as personal identifiers.

Other departments/agencies to be contacted: This is a multi-agency effort and during the course of our work we plan to contact a number of other departments and agencies, including the Departments of Agriculture, Commerce, Defense, Education, Energy, Health and Human Services, Homeland Security, Housing and Urban Development, Interior, Justice, Labor, State, Transportation, Treasury, and Veterans Affairs. In addition, the Environmental Protection Agency; General Services Administration; National Aeronautics and Space Administration; National Science Foundation; Nuclear Regulatory Commission; Office of Management and Budget; Office of Personnel Management; Small Business Administration; and Social Security Administration.

Estimated start date for the work: Immediately

Time frame for holding the entrance conference: Between May 30 and June 17

GAO Team(s) performing the engagement: Information Technology

GAO contacts:

- Gregory C. Wilshusen, Director, (202) 512-6244, wilshuseng@gao.gov
- John de Ferrari, Assistant Director, (202) 512-6335, deferrarij@gao.gov
- Marisol Cruz, Analyst-in-Charge, 4 C.F.R. § 81.6(f)



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May 5, 2016

Gayle E Smith  
Administrator  
United States Agency for International Development

Attention: Reginald W. Mitchell,  
Chief Financial Officer

Dear Administrator Smith:

This letter is to inform you of a new U.S. Government Accountability Office engagement on the federal government's use of personal services contracts—code 100687. The enclosure provides information on the engagement. If we determine it is necessary to visit locations other than those specified in the enclosure, we will advise you.

We would appreciate your notifying the appropriate officials of this work. The next step will be to set up an entrance conference. At that meeting, we will request that your agency identify a point of contact for this engagement.

Sincerely yours,

A handwritten signature in black ink that reads "Loren Yager".

Loren Yager  
Managing Director  
International Affairs and Trade

Enclosure

cc: Leslie Holen, International Affairs and Trade



Enclosure

Information on New Engagement

Engagement subject: Federal Government's Use of Personal Services Contracts

Engagement code: 100687

Source for the work: GAO is beginning this work pursuant to its authority under 31 U.S.C. 717 after receiving a request from Ranking Member Claire McCaskill of the Permanent Subcommittee on Investigations of the United States Senate.

Key questions:

1. To what extent are agencies making use of PSCs, including the level of funding for PSC awards?
2. What policies do selected agencies have in place to manage the use and oversight of personal services contracts and how are these policies reflected in the contract file documentation?
3. How do attributes of PSCs and nonpersonal services contracts for similar services compare at selected agencies?

Agencies and anticipated locations (HQ and field) to be notified:

We plan to conduct work at the Headquarters and at locations where we can review contract files.

Other departments/agencies to be contacted: This is a multiagency effort. We plan to conduct work at the Department of Defense and with the Office of Management and Budget, Office of Federal Procurement Policy.

Estimated start date for the work: Mid-May

Time frame for holding the entrance conference: Mid-May

GAO Team(s) performing the engagement: Acquisition and Sourcing Management

GAO contacts:

William T. Woods, Director, (202) 512-8214 woodsw@gao.gov  
Penny Berrier, Assistant Director, (617) 788-0579 berrierp@gao.gov  
Carol Mebane, Analyst-in-Charge, 4 C.F.R. § 81.6(f)



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June 23, 2016

Gayle E. Smith  
Administrator  
U.S. Agency for International Development

Attention: Reginald W. Mitchell, Chief Financial Officer

Dear Administrator Smith:

This letter is to inform you of a new U.S. Government Accountability Office engagement on Democracy Programs in Burma —code 100871. The enclosure provides information on the engagement. If we determine it is necessary to visit locations other than those specified in the enclosure, we will advise you.

We would appreciate your notifying the appropriate officials of this work. The next step will be to set up an entrance conference. At that meeting, we will request that your agency identify a point of contact for this engagement.

Sincerely yours,

A handwritten signature in cursive script, appearing to read "Loren Yager".

Loren Yager, Managing Director  
International Affairs and Trade Team

Enclosure

Enclosure

Information on New Engagement

Engagement subject: U.S. Democracy Programs in Burma

Engagement code: 100871

Source for the work: GAO is beginning this work in response to a congressional mandate. The mandate is contained in Sec. 7043 of the FY '16 appropriations—P.L. 114–113.

Issue(s) under review/Objective(s)/Key question(s):

1. Examine the U.S. strategy for conducting democracy programs in Burma.
2. Describe democracy programs conducted by the United States in Burma since 2012.
3. Examine how U.S. agencies assess results of democracy programs in Burma.

Agencies and anticipated locations (HQ and field) to be notified:

In addition to relevant offices within USAID, we will also contact relevant offices in the Department of State and at the National Endowment for Democracy. We anticipate traveling to various parts of Burma including Rangoon, Nay Pyi Taw and other regions where there are democracy programs being implemented, as well as possibly Thailand as part of our engagement work.

Estimated start date for the work: Immediately

Time frame for holding the entrance conference: Between July 6<sup>th</sup> -July 14<sup>th</sup>, 2016

GAO Team(s) performing the engagement: International Affairs and Trade Team

GAO contacts:

David Gootnick, Director, 202-512-3149, GootnickD@gao.gov  
Leslie Holen, Assistant Director, 202-512-6115, HolenL@gao.gov  
Michael Maslowski, Analyst-in-Charge, 4 C.F.R. § 81.6(f)



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June 21, 2016

Gayle E. Smith  
Administrator,  
U.S. Agency for International Development

Attention: Reginald W. Mitchell, Chief Financial Officer

Dear Administrator Smith:

This letter is to inform you of a new U.S. Government Accountability Office engagement on trade enforcement expenditures—code 100842. The enclosure provides information on the engagement. If we determine it is necessary to visit locations other than those specified in the enclosure, we will advise you.

We would appreciate your notifying the appropriate officials of this work. The next step will be to set up an entrance conference. At that meeting, we will request that your agency identify a point of contact for this engagement.

Sincerely yours,

  
Loren Yager  
Managing Director  
International Affairs and Trade

Enclosure

Enclosure

Information on New Engagement

Engagement subject: Federal agencies' trade enforcement expenditures

Engagement code: 100842

Source for the work: GAO is beginning this work in response to a congressional mandate.

Issue(s) under review/Objective(s)/Key question(s): The Trade Facilitation and Trade Enforcement Act of 2015 (Pub. L. No. 114-25) includes a provision for GAO to analyze and report on federal agencies' expenditures and the number of employees devoted to trade enforcement, and identify additional employees and resources that agencies may need to enforce free trade agreements. Key questions:

- (1) What are each relevant federal agency's appropriations and staff resources for carrying out trade enforcement and monitoring activities?
- (2) What additional funding and staff resource requirements, if any, has each agency identified to enforce free trade agreements?

Agencies and anticipated locations (HQ and field) to be notified: USAID Bureaus with responsibility for capacity development related to helping countries meet their obligations related to trade agreements entered into with the United States.

Other departments/agencies to be contacted: Office of the U.S. Trade Representative, and the Departments of Commerce, State, Labor, and Agriculture. Possibly additional departments/agencies depending on their role in enforcing trade agreements.

Estimated start date for the work: Immediately

Time frame for holding the entrance conference: If possible, week of June 26, 2016

GAO Team(s) performing the engagement: International Affairs and Trade

GAO contacts:

Kim Gianopoulos, Director, (202) 512-8612 or gianopoulosk@gao.gov  
Joyee Dasgupta, Assistant Director, (202) 512-3605 or dasguptaa@gao.gov  
Howard Cott, Analyst-in-Charge, 4 C.F.R. § 81.6(f)



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July 15, 2016

Gayle E. Smith  
Administrator,  
U.S. Agency for International Development

Attention: Reginald W. Mitchell, Chief Financial Officer

Dear Administrator Smith:

This letter is to inform you of a new U.S. Government Accountability Office engagement on U.S. Democracy Assistance Implementing Mechanisms—code 100983. The enclosure provides information on the engagement. If we determine it is necessary to visit locations other than those specified in the enclosure, we will advise you.

We would appreciate your notifying the appropriate officials of this work. The next step will be to set up an entrance conference. At that meeting, we will request that your agency identify a point of contact for this engagement.

Sincerely yours,

A handwritten signature in cursive script that reads "Loren Yager".

Loren Yager  
Managing Director  
International Affairs and Trade

Enclosure

Enclosure

Information on New Engagement

Engagement subject: U.S. Democracy Assistance Implementing Mechanisms

Engagement code: 100983

Source for the work: GAO is beginning this work in response to a request made by the Chair of the Senate Foreign Relations Committee.

Objective(s): GAO will examine U.S. democracy assistance provided through funding from the Department of State, U.S. Agency for International Development, and National Endowment for Democracy. To do so, GAO will review the following:

- 1) Funding for U.S. democracy assistance provided through contracts, grants, and cooperative agreements.
- 2) Key differences among these implementation mechanisms in providing U.S. democracy assistance (e.g., scope of work, administrative costs, accountability of funds, provisions for performance monitoring and evaluation).
- 3) Any assessments agencies have initiated on the use of these implementing mechanisms for U.S. democracy assistance.

Agencies and anticipated locations (HQ and field) to be notified: GAO anticipates performing audit work in Washington, D.C., at the following entities and their subcomponents:

- U.S. Agency for International Development: Bureau for Democracy, Conflict, and Humanitarian Assistance; relevant regional bureaus; Bureau for Policy, Planning, and Learning; Center of Excellence on Democracy, Human Rights, and Governance
- Department of State: Bureau for Democracy, Human Rights, and Labor; Bureau for International Narcotics and Law Enforcement; any relevant regional bureaus; Office of U.S. Foreign Assistance; Bureau of Administration's Office of Acquisition Management
- National Endowment for Democracy

GAO may determine to also perform audit work at additional agencies/bureaus/offices if warranted.

Estimated start date for the work: Immediately

Time frame for holding the entrance conference: Early August 2016

GAO Team(s) performing the engagement: International Affairs and Trade

GAO contacts:

David Gootnick, Director, (202) 512-3149, [gootnickd@gao.gov](mailto:gootnickd@gao.gov)  
Mona Sehgal, Assistant Director, (202) 512-4793, [sehgalmon@gao.gov](mailto:sehgalmon@gao.gov)  
Heather Latta, Analyst-in-Charge, 4 C.F.R. § 81.6(f)



U.S. GOVERNMENT ACCOUNTABILITY OFFICE

441 G St. N.W.  
Washington, DC 20548

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August 10, 2016

Ms. Gayle E. Smith  
Administrator, U.S. Agency for International Development

Attention: Reginald W. Mitchell, Chief Financial Officer

Dear Administrator Smith:

This letter is to inform you of a new U.S. Government Accountability Office engagement on Agency Reporting of Improper Payments Risk Assessments—code 100978. The enclosure provides information on the engagement. If we determine it is necessary to visit locations other than those specified in the enclosure, we will advise you.

We would appreciate your notifying the appropriate officials of this work. The next step will be to set up an entrance conference. At that meeting, we will request that your agency identify a point of contact for this engagement.

Sincerely yours,

  
Loren Yager  
Managing Director  
International Affairs and Trade

Enclosure  
cc: Leslie Holen, [HolenL@gao.gov](mailto:HolenL@gao.gov)



Enclosure

Information on New Engagement

Engagement subject: Agency Reporting of Improper Payments Risk Assessments

Engagement code: 100978

Source for the work: GAO is beginning this work pursuant to its authority under 31 U.S.C. 717 after receiving a request from Ranking Member Carper of the Senate Committee on Homeland Security and Governmental Affairs

Key questions:

1. How many 24 CFO Act Agencies' programs and activities underwent an improper payments risk assessment for fiscal years 2014 through 2016?
2. To what extent are the 24 CFO Act agencies reporting on improper payments risk assessments in compliance with OMB guidance?
3. To what extent are selected 24 CFO Act agencies ensuring that all of their programs and/or activities are undergoing a risk assessment at least once every 3 years?
4. To what extent is OMB conducting oversight of federal agencies' improper payment risk assessments?

Agencies to be notified: Offices of the Chief Financial Officer and Inspector General

Other departments/agencies to be contacted: All 24 CFO Act agencies and the Office of Management and Budget

Estimated start date for the work: Immediately

Time frame for holding the entrance conference: Week of August 29, 2016

GAO Team(s) performing the engagement: Financial Management & Assurance

GAO contacts:

Beryl Davis, Director, 202-512-2623, davisbh@gao.gov  
Matt Valenta, Assistant Director, 214-777-5697, valentam@gao.gov  
Laura Bednar, Auditor-in-Charge, 4 C.F.R. § 81.6(f)



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Washington, DC 20548

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August 17, 2016

Gayle E. Smith  
Administrator,  
U.S. Agency for International Development

Attention: Reginald W. Mitchell, Chief Financial Officer

Dear Administrator Smith:

This letter is to inform you of a new U.S. Government Accountability Office engagement on Western Hemisphere Counternarcotics Overview—code 100995. The enclosure provides information on the engagement. If we determine it is necessary to visit locations other than those specified in the enclosure, we will advise you.

We would appreciate your notifying the appropriate officials of this work. The next step will be to set up an entrance conference. At that meeting, we will request that your agency identify a point of contact for this engagement.

Sincerely yours,

  
Loren Yager,  
Managing Director  
International Affairs and Trade

Enclosure

Enclosure

Information on New Engagement

Engagement subject: Western Hemisphere Counternarcotics Overview

Engagement code: 100995

Source for the work: GAO is beginning this work pursuant to its authority under 31 U.S.C. 717 after receiving a request from Ranking Member Elliott L. Engel of the Committee on Foreign Affairs and Representative Matt Salmon.

Issue(s) under review/Objective(s)/Key question(s):

- (1) Since 2009, how much funding has the United States invested in counternarcotics efforts in the Western Hemisphere, including interdiction, eradication, demand reduction, etc.?
- (2) How do ONDCP and other federal agencies responsible for implementing U.S. foreign drug control activities in the Western Hemisphere account for U.S. domestic developments in their efforts?

Agencies and anticipated locations (HQ and field) to be notified: Departments of Defense, Homeland Security, Justice, State and U.S. Agency for International Development.

Other departments/agencies to be contacted: The Office of National Drug Control Policy.

Estimated start date for the work: We are kicking off this engagement the week of September 1, 2016.

Time frame for holding the entrance conference: We would like to hold an entrance conference on September 13-15, 2016; while key staff, are in Washington, D.C.

GAO Team(s) performing the engagement: International Relations and Trade and Homeland Security and Justice.

GAO contacts:

Jessica Farb, Acting Director, 202-512-6691; Farb.j@gao.gov  
Diana Mauer, Director, 2012-512-9627; Maurerd@gao.gov  
Juan Gobel, Assistant Director, 213-830-1031; Gobel.j@gao.gov  
Julie Hirshen, Analyst-in-Charge, 4 C.F.R. § 81.6(f)



U.S. GOVERNMENT ACCOUNTABILITY OFFICE

441 G St. N.W.  
Washington, DC 20548

11

August 19, 2016

Gayle E. Smith  
Administrator  
U.S. Agency for International Development

Attention: Reginald W. Mitchell, Chief Financial Officer

Dear Administrator Smith:

This letter is to inform you of a new U.S. Government Accountability Office engagement on Inter-American Multilateral Organizations — code **101039**. The enclosure provides information on the engagement. If we determine it is necessary to visit locations other than those specified in the enclosure, we will advise you.

We would appreciate your notifying the appropriate officials of this work. The next step will be to set up an entrance conference. At that meeting, we will request that your agency identify a point of contact for this engagement.

Sincerely yours,

  
Loren Yager  
Managing Director  
International Affairs and Trade

Enclosure

Enclosure

Information on New Engagement

Engagement subject: U.S. Foreign Assistance to Inter-American Multilateral Organizations

Engagement code: 101039

Source for the work: GAO is beginning this work in response to a request made by the Chair of the U.S. House Committee on Foreign Affairs, Subcommittee on the Western Hemisphere.

Key objective and questions: Our overall objective is to examine U.S. foreign assistance to the Organization of American States (OAS), Pan American Health Organization, Inter-American Institute for Cooperation on Agriculture and Pan American Institute of Geography and History. Our research questions:

- 1) How do U.S. agencies document and account for the use of U.S. funds?
- 2) What is the proportion of U.S. contributions to these organizations in comparison with contributions of other member countries?
- 3) How do U.S. agencies measure the impact that U.S. foreign assistance has had on these organizations' ability to meet their mission?
- 4) What actions, if any, could U.S. agencies take to strengthen oversight mechanisms for accountability to prevent waste, fraud, and abuse in U.S. foreign assistance given to these organizations?

Agencies and anticipated locations (HQ and field) to be notified: U.S. Agency for International Development (Washington, D.C.)

Other departments/agencies to be contacted: We plan to contact the U.S. State Department, OAS, Pan American Health Organization, Inter-American Institute for Cooperation on Agriculture and Pan American Institute of Geography and History.

Estimated start date for the work: Immediately

Time frame for holding the entrance conference: September 19-21, 23, 26 or 30

GAO Team performing the engagement: International Affairs and Trade

GAO contacts:

Thomas Melito, Director, 202-512-9601, MelitoT@gao.gov

Pierre Toureille, Assistant Director, 202-512-9623, ToureilleP@gao.gov

Rhonda M. Horried, Analyst-in-Charge, 4 C.F.R. § 81.6(f)



U.S. GOVERNMENT ACCOUNTABILITY OFFICE

441 G St. N.W.  
Washington, DC 20548

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August 29, 2016

Ms. Gayle E. Smith  
Administrator  
U.S. Agency for International Development

Attn: Regional W. Mitchell  
Chief Financial Officer

Dear Administrator Smith:

This letter is to inform you of a new U.S. Government Accountability Office engagement on Offices of Small and Disadvantaged Business Utilization (OSDBU) Reforms—code 100820. GAO is beginning this work in response to a request made by the Chair of the House Committee on Small Business to review the extent to which selected OSDBUs are implementing requirements of section 15(k) of the Small Business Act. At selected federal agencies, we plan to (1) examine the OSDBU director's supervisory authority duties and assess whether the OSDBU director reports to the head or deputy of the head of the agency as defined in the National Defense Authorization Act revisions; and (2) determine the functions conducted by the OSDBUs at selected federal agencies. At your agency, our work will be limited to asking the OSDBU director to complete a Web-based survey related to these questions and following up with the director to clarify survey responses, if needed.

We would appreciate your notifying the appropriate officials of this work and identifying a point of contact for the survey if it is someone other than the OSDBU director. We expect to launch the Web-based survey in the coming weeks. Due to the limited nature of our work at your agency, we are not requesting an entrance conference.

This engagement will be conducted under the direction of William Shear, Director, Financial Markets and Community Investment, (202) 512-4325, [shearw@gao.gov](mailto:shearw@gao.gov). If you have questions or need additional information, please contact Andrew Pauline, Assistant Director, (312) 220-7651, [paulinea@gao.gov](mailto:paulinea@gao.gov) or Meredith Graves, Analyst-in-Charge, (202) 512-4565, [gravesm@gao.gov](mailto:gravesm@gao.gov).

Sincerely yours,

A handwritten signature in cursive script that reads "Loren Yager".

Loren Yager  
Managing Director  
International Affairs and Trade



U.S. GOVERNMENT ACCOUNTABILITY OFFICE

441 G St. N.W.  
Washington, DC 20548

13

August 30, 2016

Gayle E. Smith  
Administrator  
U.S. Agency for International Development

Attention: Reginald W. Mitchell  
Chief Financial Officer

Dear Administrator Smith:

This letter is to inform you of a new U.S. Government Accountability Office engagement on U.S. Humanitarian Assistance to Syrian Refugees—code 101082. The enclosure provides information on the engagement. If we determine it is necessary to visit locations other than those specified in the enclosure, we will advise you.

We would appreciate your notifying the appropriate officials of this work. The next step will be to set up an entrance conference. At that meeting, we will request that your agency identify a point of contact for this engagement.

Sincerely yours,

A handwritten signature in black ink that reads "Loren Yager".

Loren Yager  
Managing Director  
International Affairs and Trade

Enclosure  
cc: Ann Calvaresi Barr, Inspector General

Enclosure

Information on New Engagement

Engagement subject: U.S. Humanitarian Assistance to Syrian Refugees

Engagement code: 101082

Source for the work: GAO is beginning this work in response to a request made by the Chair and Ranking Member of the Subcommittee on the Middle East and North Africa, House Committee on Foreign Affairs.

Issue(s) under review/Objective(s)/Key question(s): GAO plans to review the following:

- (1) How much funding have State and USAID provided in support of humanitarian assistance to Syrian refugees in the Middle East and Europe?
- (2) What factors influence the ability of State and USAID to effectively deliver humanitarian assistance to Syrian refugees?
- (3) To what extent have State, USAID, and their implementing partners assessed risks to delivery of assistance to Syrian refugees?
- (4) To what extent have State, USAID, and their implementing partners implemented controls to mitigate identified risks and ensure appropriate financial oversight of humanitarian assistance delivered to Syrian refugees?

Agencies and anticipated locations (HQ and field) to be notified:  
USAID (including Washington DC, Geneva, and at embassies in the region)

Other departments/agencies to be contacted:  
State Department, United Nations

Estimated start date for the work: Immediately

Time frame for holding the entrance conference: First two weeks of September

GAO Team(s) performing the engagement: International Affairs and Trade

GAO contacts:

Thomas Melito, Director, (202) 512-9601 or MelitoT@gao.gov  
Elizabeth Repko, Assistant Director, (202) 512-3371 or RepkoE@gao.gov  
Jennifer Young, Analyst-in-Charge, 4 C.F.R. § 81.6(f)  
Kye Printup, Senior Analyst, 4 C.F.R. § 81.6(f)





U.S. GOVERNMENT ACCOUNTABILITY OFFICE

441 G St. N.W.  
Washington, DC 20548

14

September 13, 2016

Gayle E. Smith  
Administrator  
U.S. Agency for International Development

Attention: Reginald W. Mitchell, Chief Financial Officer

Dear Administrator Smith:

This letter is to inform you of a new U.S. Government Accountability Office engagement on Impact of De-risking on U.S. Remittances to Fragile Countries—code 101111. The enclosure provides information on the engagement. If we determine it is necessary to visit locations other than those specified in the enclosure, we will advise you.

We would appreciate your notifying the appropriate officials of this work. The next step will be to set up an entrance conference. At that meeting, we will request that your agency identify a point of contact for this engagement.

Sincerely yours,

A handwritten signature in black ink that reads "Loren Yager".

Loren Yager  
Managing Director  
International Affairs and Trade

Enclosure

cc: Mary Offerdahl

Enclosure

Information on New Engagement

Engagement subject: Impact of De-risking on U.S. Remittances to Fragile Countries

Engagement code: 101111

Source for the work: GAO is beginning this work pursuant to its authority under 31 U.S.C. 717 after receiving a request from Ranking Member Adam Smith of the House Armed Services Committee, Ranking Member Wm Lacy Clay of the House Subcommittee on Financial Institutions and Consumer Credit, and Ranking Member Gwen Moore of the House Subcommittee on Monetary Policy and Trade, and Representatives Juan Vargas, Keith Ellison, and Tom Emmer.

Issue(s) under review/Objective(s)/Key question(s):

1. To what extent do U.S.-based immigrants use Money Service Businesses (MSBs), among other methods, to remit funds to fragile countries such as Somalia?
2. In what ways, if any, has de-risking affected U.S.-based immigrants' ability to remit funds through MSBs to fragile countries?
3. To what extent have U.S. agencies taken steps to increase financial institutions' willingness to serve MSBs and to improve U.S.-based immigrants' ability to remit funds to fragile countries?
4. What are the effects of de-risking on the Department of State, U.S. Agency for International Development, and their implementing partners serving fragile countries?

Agencies and anticipated locations (HQ and field) to be notified: At USAID, relevant offices may include Bureau for Africa and Bureau for Management. Please invite other offices that may be relevant to this topic. In addition to USAID, we will be contacting the Departments of State and Treasury, the Federal Deposit Insurance Corporation, the Consumer Financial Protection Bureau, and the Federal Reserve. We will inform you if we contact additional agencies. We will conduct meetings with U.S. officials in Washington D.C. and in the field. We will inform you once we identify relevant countries to visit or conduct telephone interviews with U.S. officials.

Estimated start date for the work: 09/01/16

Time frame for holding the entrance conference: Immediately

GAO Team(s) performing the engagement: International Affairs and Trade

GAO contacts:

Tom Melito, Director, 202-512-9601, MelitoT@gao.gov  
Mona Sehgal, Assistant Director, 202-512-4793, SehgalM@gao.gov  
Sushmita Srikanth, Analyst-in-Charge, 4 C.F.R. § 81.6(f)



U.S. GOVERNMENT ACCOUNTABILITY OFFICE

441 G St. N.W.  
Washington, DC 20548

15

September 19, 2016

Gayle E. Smith  
Administrator  
U.S. Agency for International Development

Attention: Reginald W. Mitchell, Chief Financial Officer

Dear Administrator Smith:

This letter is to inform you of a new U.S. Government Accountability Office engagement regarding compliance with Improper Payments and Elimination and Recovery Act of 2010 (IPERA)—code 100948.

We would appreciate your notifying the appropriate officials of this work. The next steps will be to identify a point of contact for this engagement and schedule an entrance conference. The enclosure provides information on the engagement, as well as details regarding how to respond to this notification.

Sincerely yours,

A handwritten signature in cursive script, appearing to read "Loren Yager".

Loren Yager  
Managing Director  
International Affairs and Trade

Enclosure

Enclosure

Information on New Engagement

Engagement subject: Fiscal Year 2015 Compliance with the Improper Payments Elimination and Recovery Act of 2010 (IPERA)

Engagement code: 100948

Source for the work: GAO is beginning this work on its own initiative pursuant to its authority under 31 U.S.C. 717.

Issues under review/planned objectives:

We will be updating our June 2016 report entitled *Improper Payments: CFO Act Agencies Need to Improve Efforts to Address Compliance Issues* (GAO-16-554) to include fiscal year 2015 data. Specifically, our planned objectives include, but may not be limited to, determining (1) the number of agencies, among those listed in the Chief Financial Officers Act of 1990, as amended (CFO Act), that complied with the criteria listed in IPERA, as reported by their Inspectors General (IG), and what criteria and programs the IGs concluded were primarily responsible for instances of agency noncompliance; (2) the number of programs at the 24 CFO Act agencies that were determined noncompliant with IPERA criteria by their IGs for 3 or more consecutive years, as of fiscal year 2015, and the extent to which the responsible agencies submitted the required information to Congress and their IGs; (3) whether the IGs adhered to applicable reporting requirements for their fiscal year 2015 IPERA compliance reviews, including reporting on special disaster relief appropriations and OMB-designated high-priority programs, (4) what additional procedures, if any, have been performed by the IGs during their IPERA compliance reviews to assess the accuracy and completeness of the agencies' improper payment reporting and performance in reducing and recapturing improper payments, and (5) the status of recommendations included in the IGs annual IPERA compliance reviews.

Agencies and anticipated locations (HQ and field) to be notified: Within the U.S. Agency for International Development, we plan to contact the Office of Chief Financial Officer.

Other departments/agencies to be contacted: Office of Management and Budget, Offices of the Inspectors General of all the CFO Act agencies, and the CFOs of all other CFO Act agencies.

Estimated start date for the work: Immediately

GAO team performing the engagement: Financial Management and Assurance

GAO contacts:

Berri Davis, Director, 202-512-2623, davisbh@gao.gov  
Phil McIntyre, Assistant Director, 202-512-4373, mcintyre@gao.gov  
Michelle Philpott, Auditor-in-Charge, 4 C.F.R. § 81.6(f)

Time frame for holding the entrance conference:

Given that this is a government-wide review, we plan to conduct joint entrance conferences during the following times:

- Wednesday, September 28<sup>th</sup>, 2 – 3 PM Eastern
- Monday, October 3<sup>rd</sup>, 2 – 3 PM Eastern

Information request:

To help expedite the scheduling of the entrance conferences, please provide the following information to philpottl@gao.gov by September 23, 2016:

- Point of contact for this engagement
- Date selection for the entrance conference (please see the two options noted above)
- Entrance conference attendees and e-mail addresses



U.S. GOVERNMENT ACCOUNTABILITY OFFICE

441 G St. N.W.  
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September 20, 2016

Gayle E. Smith  
Administrator  
U.S. Agency for International Development

Attention: Reginald W. Mitchell, Chief Financial Officer

Dear Administrator Smith:

This letter is to inform you of a new U.S. Government Accountability Office engagement on Agency Strategic Reviews—code 100850. The enclosure provides additional information on the engagement. If we determine it is necessary to visit locations other than those specified in the enclosure, we will advise you.

We would appreciate your notifying the appropriate officials of this work. The next step will be to set up an entrance conference. At that meeting, we will request that your agency identify a point of contact for this engagement.

Sincerely yours,

A handwritten signature in black ink that reads "Loren Yager".

Loren Yager  
Managing Director  
International Affairs & Trade

Enclosure

Enclosure

Information on New Engagement

Engagement subject: Agency Strategic Reviews

Engagement code: 100850

Source for the work: GAO is beginning this work in response to a congressional mandate in the GPRA Modernization Act of 2010.

Issue(s) under review/Objective(s)/Key question(s):

The GPRA Modernization Act of 2010 requires the Office of Management and Budget (OMB) to annually determine whether agencies have met the performance goals and objectives established in their performance plans, and to submit a report on unmet goals. In implementing this requirement, OMB's guidance directs the 24 Chief Financial Officers Act agencies to conduct leadership-driven, annual reviews of progress toward each strategic objective established in the agency's strategic plan, and to publish a progress update for each strategic objective in its annual performance reports as well as on the Performance.gov website. Agencies began conducting strategic reviews in fiscal year 2014 and were required to submit results from the third round of reviews to OMB on May 16, 2016.

Our objectives are to assess (1) how strategic reviews have affected selected agencies' efforts towards achieving strategic objectives, and (2) to what extent are those agencies' strategic reviews are consistent with GAO's practices for effective agency strategic reviews.

We have selected the following strategic objectives in USAID:

- Enable diplomats and development professionals to influence and operate more efficiently, effectively, and collaboratively.
- Build a new stability in the Middle East and North Africa.

For each strategic objective, we would like to meet with the Performance Improvement Officer or the Deputy Performance Improvement Officer, the strategic objective leader, and any other staff involved in the strategic review process.

Agencies and anticipated locations to be notified: We would like to meet with officials from USAID's Bureau for Management and Bureau of the Middle East.

Other departments/agencies to be contacted: Small Business Administration, General Services Administration, Departments of State and the Treasury.

Estimated start date for the work: Immediately

Time frame for holding the entrance conference: September/October 2016

GAO Team performing the engagement: Strategic Issues

GAO contacts:

Chris Mihm, Managing Director, 202-512-3236, MihmJ@gao.gov

Sarah Veale, Assistant Director, 202-512-6890, VealeS@gao.gov

Don Kiggins, Analyst-in-Charge, 4 C.F.R. § 81.6(f)



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U.S. GOVERNMENT ACCOUNTABILITY OFFICE

441 G St. N.W.  
Washington, DC 20548

September 29, 2016

Gayle E. Smith  
Administrator  
U.S. Agency for International Development

Attention: Reginald W. Mitchell  
Chief Financial Officer

Dear Administrator Smith:

This letter is to inform you of a new U.S. Government Accountability Office engagement on Congo Conflict Minerals—code 101115. The enclosure provides information on the engagement. If we determine it is necessary to visit locations other than those specified in the enclosure, we will advise you.

We would appreciate your notifying the appropriate officials of this work. The next step will be to set up an entrance conference. At that meeting, we will request that your agency identify a point of contact for this engagement.

Sincerely yours,

A handwritten signature in black ink that reads "Loren Yager".

Loren Yager  
Managing Director  
International Affairs and Trade team

Enclosure

Cc: Mary Offerdahl

Enclosure

Information on New Engagement

Engagement subject: Congo Conflict Minerals 2017

Engagement code: 101115

Source for the work: GAO is beginning this work in response to a congressional mandate in the Dodd-Frank Wall Street Reform and Consumer Protection Act (Pub. L. No. 111-203, sec).

Issue(s) under review/Objective(s)/Key question(s): Sec 1502 of the Dodd-Frank Act requires the SEC, to among other things, promulgate disclosure and reporting requirements for companies that use conflict minerals from the Democratic Republic of the Congo (DRC) and adjoining countries. It also requires GAO to report, annually, on the effectiveness of these efforts and on the rate of sexual violence in eastern DRC and neighboring countries. GAO will examine the following questions:

- To what extent have company disclosures filed with the SEC for calendar year 2015 responded to the SEC conflict minerals disclosure rule?
- What is the supply chain (mined, transported, and processed) of gold from the DRC and what, if any, due diligence processes exist to ensure responsible sourcing?
- What is known about current research on sexual violence in eastern DRC and adjoining countries?

Agencies and anticipated locations (HQ and field) to be notified: U.S. Agency for International Development

Other departments/agencies to be contacted: Department of State, U.S. Securities and Exchange Commission, USUN and other UN entities relevant to our review.

Estimated start date for the work: Immediately

Time frame for holding the entrance conference: We would like to hold the entrance conference as soon as possible.

GAO Team(s) performing the engagement: International Affairs and Trade

GAO contacts:

Kimberly Gianopoulos, Director, 202-512-8612, gianopoulosk@gao.gov  
Godwin Agbara, Assistant Director, 202-512-6879, agbarag@gao.gov  
Farahnaaz Khakoo-Mausel, Analyst-in-Charge, 4 C.F.R. § 81.6(f)



U.S. GOVERNMENT ACCOUNTABILITY OFFICE

441 G St. N.W.  
Washington, DC 20548

19

September 30, 2016

Gayle E. Smith  
Administrator  
U.S. Agency for International Development

Attention: Reginald W. Mitchell, Chief Financial Office

Dear Administrator Smith:

This letter is to inform you of a new U.S. Government Accountability Office engagement on Countering ISIS Key Oversight Issues—code 101135. The enclosure provides information on the engagement. If we determine it is necessary to visit locations other than those specified in the enclosure, we will advise you.

We would appreciate your notifying the appropriate officials of this work. The next step will be to set up an entrance conference. At that meeting, we will request that your agency identify a point of contact for this engagement.

Sincerely yours,

A handwritten signature in black ink that reads "Loren Yager".

Loren Yager  
Managing Director  
International Affairs and Trade

Enclosure

cc: Mary Offerdahl, GAO Liaison, USAID  
file  
Charles Michael Johnson, Jr.  
Jason Bair  
Joe Carney

Leslie Holen

Enclosure

Information on New Engagement

Engagement subject: Countering ISIS Key Oversight Issues

Engagement code: 101135

Source for the work: GAO is beginning this work on the Comptroller General's initiative pursuant to its authority under 31 U.S.C. § 717.

Issues under review/Objectives/Key questions: This report will identify key issues the 115<sup>th</sup> Congress and new Administration may wish to consider regarding U.S. lines of effort to counter the Islamic State of Iraq and Syria (ISIS). For each issue, GAO will (1) provide an overview of the U.S. strategic goals, plans, and lines of effort; (2) highlight past GAO work and recommendation status; and (3) identify key questions for oversight. As part of these efforts, GAO expects to largely follow up on past work and related recommendations. GAO's work will be modeled on prior key issue reports, such as on Afghanistan (GAO-13-218SP).

Agencies and anticipated locations (HQ and field) to be notified: Department of Defense, Department of State, U.S. Agency for International Development, Department of Homeland Security, Department of Justice, Office of the Director of National Intelligence, Central Intelligence Agency, National Security Council, and others as applicable.

Estimated start date for the work: Immediately

Time frame for holding the entrance conference: Immediately

GAO Team(s) performing the engagement: International Affairs and Trade (IAT) and Defense Capabilities and Management (DCM).

GAO contacts:

Charles Michael Johnson, Jr. Director, 202-512-7331, johnsoncm@gao.gov  
Jason Bair, Assistant Director, 202-512-6881, bairj@gao.gov  
Joe Carney, Analyst-in-Charge, 4 C.F.R. § 81.6(f)



U.S. GOVERNMENT ACCOUNTABILITY OFFICE

441 G St. N.W.  
Washington, DC 20548

20

October 11, 2016

Ms. Gayle Smith  
Administrator  
U.S. Agency for International Development

Attention: Mr. Reginald W. Mitchell, Chief Financial Officer

Dear Administrator Smith:

This letter is to inform you of a new U.S. Government Accountability Office engagement on the effectiveness of the Offices of Inspectors General for the Department of State, the Department of Defense, the U.S. Agency for International Development, and the Special Inspector General for Afghanistan Reconstruction regarding oversight of the expenditure of U.S. funds in Afghanistan since January 1, 2015—code 100993. The enclosure provides information on the engagement. If we determine it is necessary to visit locations other than those specified in the enclosure, we will advise you.

We would appreciate your notifying the appropriate officials of this work. The next step will be to set up an entrance conference. At that meeting, we will request that your agency identify a point of contact for this engagement.

Sincerely yours,

A handwritten signature in ink, appearing to read "Loren Yager", written over a horizontal line.

Loren Yager  
Managing Director  
International Affairs and Trade

Enclosure

cc: Mary Offerdahl, GAO Liaison Officer  
Leslie Holen, GAO Liaison Officer

Enclosure

Information on New Engagement

Engagement subject: Effectiveness of the Offices of Inspectors General (OIG) for the Department of State, the Department of Defense, the U.S. Agency for International Development, and the Special Inspector General for Afghanistan Reconstruction regarding their oversight of the expenditure of U.S. funds in Afghanistan since January 1, 2015.

Engagement code: 100993

Source for the work: GAO is beginning this work in response to a potential mandate in Senate report 114-255 which accompanies Senate bill S. 2943, the National Defense Authorization Act for Fiscal Year 2017.

Review objectives: We will review the (1) potential overlap and gaps in the statutes, directives, and other guidance applicable to each OIG regarding the oversight of Afghanistan, (2) activities and primary areas of focus of each OIG regarding the oversight of Afghanistan, and (3) coordination of the OIGs' oversight efforts in Afghanistan to ensure minimal burden to U.S. force operations.

Agencies and anticipated locations to be notified: U. S. Agency for International Development, OIG, Washington, D.C.

Other departments/agencies to be contacted: This is a multi-agency effort including the OIGs in the Department of State, Department of Defense, and the Special Inspector General for Afghanistan Reconstruction.

Estimated start date for the work: Immediately

Time frame for holding the entrance conference: At a future date to be determined

GAO Team performing the engagement: Financial Management and Assurance

GAO contacts:

Beryl H. Davis, Director, 202-512-2623, [DavisBH@gao.gov](mailto:DavisBH@gao.gov)  
Jackson W. Hufnagle, Assistant Director, 214-777-5650, [HufnagleJ@gao.gov](mailto:HufnagleJ@gao.gov)  
Phyllis L. Anderson, Assistant Director, 202-512-7364, [AndersonP@gao.gov](mailto:AndersonP@gao.gov)  
Taya R. Tasse, Auditor-in-Charge, 4 C.F.R. § 81.6(f)



U.S. GOVERNMENT ACCOUNTABILITY OFFICE

441 G St. N.W.  
Washington, DC 20548

October 24, 2016

Gayle E. Smith  
Administrator  
U.S. Agency for International Development

Attention: Reginald W. Mitchell, Chief Financial Officer

Dear Administrator Smith:

This letter is to inform you of a new U.S. Government Accountability Office engagement on combating wildlife trafficking code 101167. The enclosure provides information on the engagement. If we determine it is necessary to visit locations other than those specified in the enclosure, we will advise you.

We would appreciate your notifying the appropriate officials of this work. The next step will be to set up an entrance conference. At that meeting, we will request that your agency identify a point of contact for this engagement.

Sincerely yours,

A handwritten signature in black ink that reads "Loren Yager".

Loren Yager  
Managing Director  
International Affairs and Trade

Enclosure

Enclosure

Information on New Engagement

Engagement subject: Combating wildlife trafficking.

Engagement code: 101167.

Source for the work: GAO is beginning this work pursuant to 31 U.S.C. § 717 in response to a request made by the Chair and Ranking Member of the Subcommittee on Terrorism, Nonproliferation, and Trade of the House Committee on Foreign Affairs; and Senator Coons, Ranking Member, Subcommittee on Financial Services and General Government Committee on Appropriations.

Issue(s) under review/Objective(s)/Key question(s):

- What is known about the demand for illegal wildlife products in the United States and in Asia?
- What actions are agencies taking to reduce demand for illegal wildlife products in the United States and Asia?
- To what extent are agencies assessing effectiveness of their illegal wildlife demand reduction efforts?

Agencies and anticipated locations (HQ and field) to be notified: TBD.

Other departments/agencies to be contacted: Department of Commerce (National Oceanic and Atmospheric Administration), Department of Interior (Fish and Wildlife Service), Department of Justice, Department of Homeland Security, Department of State, and Department of Treasury.

Estimated start date for the work: Immediately.

Time frame for holding the entrance conference: Week of November 14, 2016.

GAO Team(s) performing the engagement: International Affairs and Trade Team.

GAO contacts:

Kimberly Gianopoulos, Director, 202-512-8612, gianopoulosk@gao.gov  
Judith Williams, Assistant Director, 202-512-3769, williamsja1@gao.gov  
Marc Castellano, Analyst-in-Charge, 4 C.F.R. § 81.6(f)





U.S. GOVERNMENT ACCOUNTABILITY OFFICE

441 G St. N.W.  
Washington, DC 20548

22

November 15, 2016

Gayle E. Smith Administrator  
U.S. Agency for International Development

Attention: Reginald W. Mitchell  
Chief Financial Officer

Dear Administrator Smith:

This letter is to inform you of a new U.S. Government Accountability Office engagement on USAID Program Evaluation Coverage and Utilization—code 101209. The enclosure provides information on the engagement. We would appreciate your notifying the appropriate officials of this work.

We are undertaking this engagement as the second phase of our work in response to a request from Senate Foreign Relations Committee Chairman Bob Corker and Senator Ted Cruz. The first phase, under engagement code 100571, covers USAID program evaluation quality, cost, and dissemination. That work is being combined with a concurrent engagement under code 100386 that covers these topics with respect to foreign aid program evaluations at 6 agencies, including USAID. We have an exit conference for this combined work scheduled for Monday November 21 and can include a discussion of the new engagement at that time if you wish. Please let us know if that would work best or if you would prefer to schedule a separate meeting.

Sincerely yours,

A handwritten signature in black ink that reads "Loren Yager".

Loren Yager  
Managing Director  
International Affairs and Trade

Enclosure

cc: Jessica Farb, Acting Director, International Affairs & Trade (IAT)  
Jim Michels, Assistant Director, IAT  
Kay Halpern, Analyst in Charge, IAT  
Leslie Holen, Assistant Director, IAT

Enclosure

Information on New Engagement

Engagement subject: USAID Program Evaluation

Engagement code: 101209

Source for the work: GAO is beginning this work in response to a request made by the Chair, Senate Foreign Relations Committee, and Senator Ted Cruz.

Preliminary Objectives/Key questions:

(1) To what extent do USAID evaluations cover agency programs eligible for evaluation?

(2) How are USAID evaluations used to improve agency programs and decision making?

Agencies and anticipated locations (HQ and field) to be notified: Bureau for Policy, Planning, and Learning; Office of Inspector General; and individual program officials as needed. We plan to meet with staff at headquarters. We do not anticipate overseas travel.

Other departments/agencies to be contacted: None.

Estimated start date for the work: Immediately

Time frame for holding the entrance conference: Immediately; November 21, 2016, if possible.

GAO Team(s) performing the engagement: International Affairs & Trade (IAT)

GAO contacts:

Jessica Farb, Acting Director, IAT, 202-512-6991; farb@ga.gov

Jim Michels, Assistant Director, IAT, 202-512-7452; michelsj@ga.gov

Kay Halpern, Analyst-in-Charge, IAT 4 C.F.R. § 81.6(f)



U.S. GOVERNMENT ACCOUNTABILITY OFFICE

441 G St. N.W.  
Washington, DC 20548

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November 18, 2016

Gayle E. Smith  
Administrator  
U.S. Agency for International Development

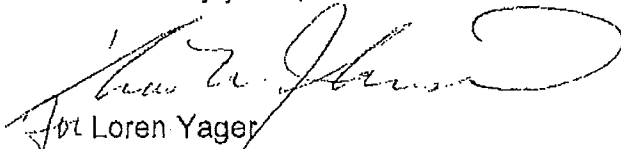
Attention: Reginald W. Mitchell  
Chief Financial Officer

Dear Administrator Smith:

This letter is to inform you of a new U.S. Government Accountability Office engagement on Ebola Recovery in West Africa—code 101248. The enclosure provides information on the engagement. If we determine it is necessary to visit locations other than those specified in the enclosure, we will advise you.

We would appreciate your notifying the appropriate officials of this work. The next step will be to set up an entrance conference. At that meeting, we will request that your agency identify a point of contact for this engagement.

Sincerely yours,

  
For Loren Yager  
Managing Director  
International Affairs and Trade

Enclosure

Enclosure

Information on New Engagement

Engagement subject: Ebola Recovery in West Africa

Engagement code: 101248

Source for the work: GAO is beginning this work in response to a congressional mandate contained in the section 9005 of the Consolidated and Further Continuing Appropriations Act, 2015 (Pub. L. No. 113-235).

Issues under review/Objectives/Key questions: The review will address U.S. Agency for International Development (USAID) activities to assist Guinea, Liberia, and Sierra Leone recover from the 2014 Ebola virus disease outbreak. We will address the following questions: (1) To what extent has USAID planned Ebola recovery activities in Guinea, Liberia, and Sierra Leone? (2) To what extent has USAID implemented its planned Ebola recovery activities in Guinea, Liberia, and Sierra Leone? (3) To what extent are USAID Ebola recovery activities in Guinea, Liberia, and Sierra Leone achieving intended results?

Agencies and anticipated locations (HQ and field) to be notified: U.S. Agency for International Development, Bureau for Democracy, Conflict, and Humanitarian Assistance; Office of Food for Peace; Bureau for Global Health; Bureau for Africa; Global Development Lab; and selected overseas missions to be determined.

Other departments/agencies to be contacted: Department of State in Washington, D.C. and selected overseas posts to be determined, and other agencies, as applicable.

Estimated start date for the work: Immediately

Time frame for holding the entrance conference: Immediately

GAO Team(s) performing the engagement: International Affairs and Trade

GAO contacts:

David Gootnick, Director, (202) 512-3149, GootnickD@gao.gov

Valérie Nowak, Assistant Director, (202) 512-9622, NowakV@gao.gov

Bradley Hunt, Analyst-in-Charge, 4 C.F.R. § 81.6(f)



U.S. GOVERNMENT ACCOUNTABILITY OFFICE

441 G St. N.W.  
Washington, DC 20548

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December 8, 2016

Gayle E. Smith  
Administrator,  
U.S. Agency for International Development

Attention: Reginald W. Mitchell, Chief Financial Officer

Dear Administrator Smith:

This letter is to inform you of a new U.S. Government Accountability Office (GAO) engagement on U.S. Agency Collaboration and Import Restrictions on Iraqi and Syrian Cultural Property—code 101085. The enclosure provides information on the engagement. During the course of our audit work to date, we learned of USAID's participation in the Cultural Heritage Coordinating Committee (CHCC), led by the Department of State in response to the Protect and Preserve International Cultural Property Act (Public Law 114-151). We anticipate working with USAID participants to CHCC. If we determine it is necessary to visit locations other than those specified in the enclosure, we will advise you.

We would appreciate your notifying the appropriate officials of this work. The next step will be to set up an entrance conference. At that meeting, we will request that your agency identify a point of contact for this engagement.

Sincerely yours,

A handwritten signature in cursive script, appearing to read "Charles M. Johnson, Jr.", written in dark ink.

Charles Michael Johnson, Jr.  
Acting Managing Director  
International Affairs and Trade

Enclosure

cc:  
Mary Offerdahl, mofferdahl@usaid.gov

Enclosure

Information on New Engagement

Engagement subject: U.S. Agency Collaboration and Import Restrictions on Iraqi and Syrian Cultural Property

Engagement code: 101085

Source for the work: GAO is beginning this work in response to a request made by the Chairman Edward Royce and Ranking Member Eliot L. Engel of the House Committee on Foreign Affairs; Chairman Chris Smith of the Subcommittee on Africa, Global Health, Global Human Rights, and International Organizations of the Committee on Foreign Affairs; and Ranking Member William Keating of the Subcommittee on Terrorism, Nonproliferation, and Trade of the Committee on Foreign Affairs.

Issues under review/Objectives/Key questions:  
Key questions:

1. What collaborative activities have U.S. agencies undertaken to protect Iraqi and Syrian cultural property since 2011?
2. To what extent do these collaborative activities demonstrate key practices of interagency collaboration?
3. What plans, if any, do the Departments of State and Homeland Security have to implement the import restriction for Syrian cultural property directed by section 3 of Public Law 114-151?

Agencies and anticipated locations (HQ and field) to be notified: the Departments of State, Homeland Security, Justice, Defense, Treasury, and Interior; National Endowment for the Humanities; the Smithsonian Institution; and others as applicable.

Estimated start date for the work: Immediately.

Time frame for holding the entrance conference: Beginning the week of January 2, 2017.

GAO Team performing the engagement: International Affairs and Trade

GAO contacts:

- Thomas Melito, Director, (202) 512-9601 or MelitoT@gao.gov
- Elizabeth Repko, Assistant Director, (202) 512-3371 or RepkoE@gao.gov
- Victoria Lin, Analyst-in-Charge, 4 C.F.R. § 81.6(f)



U.S. GOVERNMENT ACCOUNTABILITY OFFICE

441 G St. N.W.  
Washington, DC 20548

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January 9, 2017

Gayle E. Smith Administrator  
U.S. Agency for International Development

Attention: Reginald W. Mitchell  
Chief Financial Officer

Dear Administrator Smith:

This letter is to inform you of a new U.S. Government Accountability Office engagement on Foreign Assistance Strategies—code 101302. The enclosure provides information on the engagement. We would appreciate your notifying the appropriate officials of this work.

We are undertaking this engagement in response to a request from Senator David A. Perdue, Chair of the Senate Foreign Relations Subcommittee on State Department and USAID Management, and Representative Ted Poe, Chair of the House Foreign Affairs Subcommittee on Terrorism, Non-proliferation, and Trade.

Sincerely yours,

A handwritten signature in cursive script, appearing to read "Charles M. Johnson, Jr.".

Charles Michael Johnson, Jr.  
Managing Director  
International Affairs and Trade

Enclosure

cc: Jessica Farb, Acting Director, International Affairs & Trade (IAT)  
Jim Michels, Assistant Director, IAT  
Kay Halpern, Analyst in Charge, IAT  
Leslie Holen, Assistant Director, IAT

Enclosure

Information on New Engagement

Engagement subject: Foreign Assistance Strategies

Engagement code: 101302

Source for the work: GAO is beginning this work in response to a request made by the Chairmen of the Senate Foreign Relations Subcommittee on State Department and USAID Management, and by the House Foreign Affairs Subcommittee on Terrorism, Non-proliferation, and Trade.

Preliminary Objectives/Key questions:

- (1) What are the existing strategies that guide U.S. Foreign Assistance?
- (2) How do these strategies align with or contradict one another?
- (3) What is known about foreign assistance programs accomplishing the objectives of these strategies?

This is a phased engagement. During the first phase, we will be focusing on the first question.

Agencies and anticipated locations (HQ and field) to be notified: In order to develop as comprehensive a list of strategies as possible, we would like to meet with the Office of the Administrator, as well as with representatives from all central, functional, and geographic bureaus. We plan to meet with staff at headquarters. We do not anticipate gathering information on strategies at the individual country level or overseas travel.

Other departments/agencies to be contacted: Departments of Agriculture, Defense, Health and Human Services, and State, and the Millennium Challenge Corporation.

Estimated start date for the work: Immediately

Time frame for holding the entrance conference: Immediately; mid to late January 2017, if possible.

GAO Team(s) performing the engagement: International Affairs & Trade (IAT)

GAO contacts:

Jessica Farb, Acting Director, IAT, 202-512-6991; farb@ga.gov

Jim Michels, Assistant Director, IAT, 202-512-7452; michelsj@ga.gov

Kay Halpern, Analyst-in-Charge, IAT 4 C.F.R. § 81.6(f)





U.S. GOVERNMENT ACCOUNTABILITY OFFICE

441 G St. N.W.  
Washington, DC 20548

January 25, 2017

Wade Warren  
Acting Administrator  
U.S. Agency for International Development

Attention: Reginald W. Mitchell  
Chief Financial Officer

Dear Acting Administrator Warren:

This letter is to inform you of a new U.S. Government Accountability Office engagement on the President's fiscal year 2018 budget request for international affairs —code 101352. The enclosure provides information on the engagement. If we determine it is necessary to visit locations other than those specified in the enclosure, we will advise you.

We would appreciate your notifying the appropriate officials of this work. The next step will be to set up an entrance conference. At that meeting, we will request that your agency identify a point of contact for this engagement.

Sincerely yours,



Charles Michael Johnson, Jr.  
Managing Director  
International Affairs and Trade

Enclosure

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Enclosure

Information on New Engagement

Engagement subject: Fiscal Year 2018 International Affairs (Function 150) Budget Justification Review

Engagement code: 101352

Source for the work: GAO is beginning this work on its own initiative pursuant to its authority under 31 U.S.C. 717.

Objectives/key questions: Our work will assess the budget requests for selected international affairs programs, with a focus on (1) programs with specific congressional interest; (2) new programs; or (3) existing programs with significant increases, substantial unobligated balances, or known weaknesses. We will also review agency practices for preparing budget requests as well as for obligating and disbursing funds requested through the international affairs budget.

USAID bureaus/offices to be notified: We anticipate contacting the Office of Budget and Resource Management and other bureaus and offices, as needed, to obtain additional information on the international affairs budget request and selected international affairs programs.

Other departments/agencies to be contacted: In addition to the U.S. Agency for International Development, we intend to contact the Department of Agriculture, the Department of State, and the Millennium Challenge Corporation. We may contact additional agencies during the engagement if we determine it is necessary to complete our work.

Estimated start date for the work: Immediately

Time frame for holding the entrance conference: Immediately

GAO team performing the engagement: International Affairs and Trade

GAO contacts:

Kimberly Gianopoulos, Director, (202) 512-8612 or gianopoulosk@gao.gov  
Judy McCloskey, Assistant Director, (202) 512-8921 or mccloskeyj@gao.gov  
Ryan Vaughan, Analyst-in-Charge, 4 C.F.R. § 81.6(f)



U.S. GOVERNMENT ACCOUNTABILITY OFFICE

441 G St. N.W.  
Washington, DC 20548

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January 31, 2017

Wade Warren  
Acting Administrator,  
U.S. Agency for International Development

Attention: Reginald W. Mitchell, Chief Financial Officer

Dear Acting Administrator Warren:

This letter is to inform you of an ongoing U.S. Government Accountability Office engagement to identify viable approaches for developing an inventory of federal programs—code 101008. The U.S. Agency for International Development is one of several executive branch agencies with which we plan to meet for this governmentwide review. The enclosure provides information on the engagement. If we determine it is necessary to visit locations other than those specified in the enclosure, we will advise you.

We would appreciate your notifying the appropriate officials of this work. The next step will be to set up an entrance conference. At that meeting, we will request that your agency identify a point of contact for this engagement.

Sincerely yours,



Charles Michael Johnson, Jr.  
Managing Director  
International Affairs and Trade

Enclosure

cc: Mary Offerdahl, GAO Liaison (MOfferdahl@usaid.gov)

Enclosure

Information on New Engagement

Engagement subject: Federal Program Inventory

Engagement code: 101008

Source for the work: GAO is undertaking this work as part of our review of the implementation of the GPRA Modernization Act of 2010 (GPRAMA).<sup>1</sup>

Issue(s) under review/Objective(s)/Key question(s):

1. What information does a federal program inventory need to include to improve federal accountability and transparency?
2. What methodologies could be used to identify, define, and organize the inventory to address these information needs?
3. What potential challenges exist to developing such an inventory, and to what extent could they be addressed?

Agencies and anticipated locations (HQ and field) to be notified: HQ

Other departments/agencies to be contacted: Government wide (OMB, GSA and others to be determined)

Date we began the work: June 2016

Time frame for holding the entrance conference: February 2017

GAO Team(s) performing the engagement: Strategic Issues (SI)

GAO contacts:

Elizabeth Curda, Acting Director, 202-512-4040 and CurdaE@gao.gov  
Brian James, Assistant Director, 404-679-2008 and JamesBK@gao.gov  
Molly Laster, Analyst-in-Charge, 4 C.F.R. § 81.6(f)

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<sup>1</sup>Pub. L. No. 111-352, 124 Stat. 3866 (Jan. 4, 2011). The acronym "GPRA" in the act's title refers to the Government Performance and Results Act of 1993, Pub. L. No. 103-62, 107 Stat. 285 (Aug. 3, 1993).

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U.S. GOVERNMENT ACCOUNTABILITY OFFICE

441 G St. N.W.  
Washington, DC 20548

January 31, 2017

Wade Warren  
Acting Administrator  
U.S. Agency for International Development

Attention: Reginald W. Mitchell  
Chief Financial Officer

Dear Acting Administrator Warren:

This letter is to inform you of a new U.S. Government Accountability Office engagement on federal funding of select organizations—code 101320. The enclosure provides information on the engagement. If we determine it is necessary to visit locations other than those specified in the enclosure, we will advise you.

We would appreciate your notifying the appropriate officials of this work. The next step will be to set up an entrance conference. At that meeting, we will request that your agency identify a point of contact for this engagement.

Sincerely yours,

A handwritten signature in cursive script, appearing to read "Charles Michael Johnson, Jr.", written over a horizontal line.

Charles Michael Johnson, Jr.  
Managing Director  
International Trade & Affairs

Enclosure

Enclosure

Information on New Engagement

Engagement subject: Federal Funding of Select Organizations

Engagement code: 101320

Source for the work: GAO is beginning this work pursuant to its authority under 31 U.S.C. 717 after receiving a request from Senator Mitch McConnell (Senate Majority Leader); Representative Kevin McCarthy (House Majority Leader); Representative Peter Roskam (Chairman, Ways and Means Tax Policy Subcommittee); and 118 Members of Congress.

Issue(s) under review/Objective(s)/Key question(s): Identify (1) federal agencies' obligations to three organizations and affiliates (Planned Parenthood Federation of America, International Planned Parenthood Federation, and Marie Stopes International) in fiscal years 2013 through 2015, (2) the three organizations' expenditures of federal funding over the same time period, (3) federal agencies' obligations to Federally Qualified Health Centers (FQHCs) in fiscal years 2013 through 2015, (4) FQHC's expenditures of federal funding in calendar years 2013 through 2015, and (5) the populations served and services provided by FQHCs .

Agencies and anticipated locations (HQ and field) to be notified: U.S. Agency for International Development (HQ). This engagement updates work that GAO conducted previously under job code 291155 (with resulting report: GAO-15-270R); therefore we expect that USAID officials involved in that prior engagement would also be involved in this engagement.

Other departments/agencies to be contacted: U.S. Department of Health and Human Services

Estimated start date for the work: Immediately

Time frame for holding the entrance conference: Immediately

GAO Team(s) performing the engagement: Health Care

GAO contacts:

Marcia Crosse, Director, 202-512-7114, [crossem@gao.gov](mailto:crossem@gao.gov)  
Geri Redican-Bigott, Assistant Director, 312-220-7678, [redicanbigottg@gao.gov](mailto:redicanbigottg@gao.gov)  
Deirdre Brown, Analyst-in-Charge, 4 C.F.R. § 81.6(f)



U.S. GOVERNMENT ACCOUNTABILITY OFFICE

441 G St. N.W.  
Washington, DC 20548

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February 21, 2017

Mr. Wade Warren  
Acting Administrator  
United States Agency for International Development

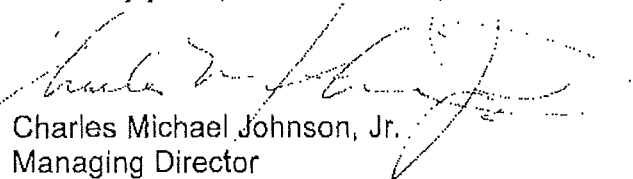
Attention: Reginald W. Mitchell, Chief Financial Officer

Dear Acting Administrator Warren:

This letter is to inform you of a new U.S. Government Accountability Office engagement on U.S. Education Assistance to Gaza and the West Bank—code 101327. The enclosure provides information on the engagement. If we determine it is necessary to visit locations other than those specified in the enclosure, we will advise you.

We would appreciate your notifying the appropriate officials of this work. The next step will be to set up an entrance conference. At that meeting, we will request that your agency identify a point of contact for this engagement.

Sincerely yours,



Charles Michael Johnson, Jr.  
Managing Director  
International Affairs and Trade

Enclosure

Enclosure

Information on New Engagement

Engagement subject: U.S. Education Assistance to Gaza and the West Bank

Engagement code: 101327

Source for the work: GAO is beginning this work in response to a request made by the Chair of the Subcommittee on Near East, South Asia, Central Asia, and Counterterrorism, U.S. Senate Foreign Relations Committee.

Issue(s) under review/Objective(s)/Key question(s):

1. What is known about the content of educational materials used by schools in Gaza and the West Bank that are funded through U.S. assistance, and how much did the U.S. government spend on this educational assistance in fiscal years 2015 and 2016?
2. What are the roles and responsibilities of U.S. government agencies and their implementers in developing and overseeing educational materials used by schools in Gaza and the West Bank that are funded through U.S. assistance?
3. What are the U.S. government's strategic goals, if any, for U.S. educational assistance in Gaza and the West Bank?
4. What are the U.S. government's policies and procedures, if any, to ensure that U.S.-funded educational materials used by schools in Gaza and the West Bank do not promote violence or include discriminatory language?
5. What actions, if any, does the U.S. government undertake should it determine that U.S.-funded educational materials fail to comply with these policies?

Agencies and anticipated locations (HQ and field) to be notified: U.S. Agency for International Development Washington, D.C. headquarters.

We plan to conduct audit work with U.S. and United Nations Relief and Works Agency for Palestine Refugees in the Near East officials in Israel and the Palestinian Territories in addition to interviewing officials in Washington, DC. As such, we anticipate travel associated with this engagement. We will notify your office of the exact locations once these are determined.

Other departments/agencies to be contacted: Department of State, the United Nations Relief and Works Agency for Palestine Refugees in the Near East, and the Overseas Private Investment Corporation.

Estimated start date for the work: Immediately

Time frame for holding the entrance conference: We request an entrance conference between February 24 and March 10, 2017.

GAO Team(s) performing the engagement: International Affairs and Trade

GAO contacts:

Tom Melito, Director, IAT, 202-512-9601, melitot@gao.gov

Mona Sehgal, Assistant Director, IAT, 202-512-4793, sehgal@gao.gov

Jaime Allentuck, Analyst-in-Charge, IAT, 4 C.F.R. § 81.6(f)