



February 2019

SECURITY ASSISTANCE

U.S. Agencies Should Establish a Mechanism to Assess Caribbean Basin Security Initiative Progress

GAO Highlights

Highlights of [GAO-19-201](#), a report to congressional requesters

Why GAO Did This Study

The Caribbean region, which shares geographic proximity and common interests with the United States, faces high rates of crime and violence. In 2010, the United States and Caribbean countries formally launched CBSI, which aims to increase citizen safety. GAO was asked to examine U.S. assistance through CBSI. This report (1) discusses U.S. funding for CBSI activities, (2) examines the extent to which there is a planning and reporting process for CBSI, and (3) examines the extent to which State and USAID have established objectives and performance indicators to measure progress of their CBSI activities. GAO analyzed State and USAID data; assessed government strategies and performance reports; selected a non-generalizable sample of 25 CBSI activities and analyzed State and USAID documentation related to those activities; interviewed relevant officials; and conducted fieldwork in Barbados, Dominican Republic, and Jamaica, which are the countries generally receiving the most CBSI funding.

What GAO Recommends

GAO recommends that State (1) create an initiative-wide planning and reporting mechanism for CBSI that includes the ability to monitor, evaluate, and report the results of collaborative efforts, and (2) ensure that INL develops and implements a data management system for centrally collecting reliable CBSI data. State agreed with the recommendations, noting that it plans to develop an updated Results Framework for initiative-wide planning and reporting and to improve centralized data collection through an enhanced data management system.

View [GAO-19-201](#). For more information, contact Jennifer Grover at (202) 512-7141 or groverj@gao.gov

February 2019

SECURITY ASSISTANCE

U.S. Agencies Should Establish a Mechanism to Assess Caribbean Basin Security Initiative Progress

What GAO Found

U.S. agencies have allocated more than \$560 million for the Caribbean Basin Security Initiative (CBSI) from fiscal years 2010 through 2018 for activities related to the three pillars of CBSI—reduce illicit trafficking (such as in narcotics and firearms), improve public safety and security, and promote social justice. For example, State Department's (State) Bureau of International Narcotics and Law Enforcement Affairs (INL) has ongoing activities such as advisory programs and equipment procurements, while the U.S. Agency for International Development (USAID) has activities aimed at increasing economic opportunities for at-risk youth and improving the skills of prosecutors.

Caribbean Basin Security Initiative Funding Supported the Refurbishment of Aircraft (left) and the Purchase of Boats (right) to Reduce Illicit Trafficking



Source: GAO. | GAO-19-201

The U.S. government has undertaken some planning and reporting of CBSI activities, but State has not created an initiative-wide planning and reporting mechanism. Agencies individually set strategic goals and priorities with CBSI countries and plan and report on their CBSI activities on a country-specific basis. However, State has not created an initiative-wide planning and reporting mechanism that facilitates interagency coordination or establishes consistent performance indicators across agencies, countries, and activities—key elements for effectively aligning foreign assistance strategies. Without such a planning and reporting mechanism, overall progress of the initiative cannot be assessed.

State and USAID have established objectives and performance indicators for selected CBSI activities, and INL is taking steps to improve identified weaknesses in its program monitoring. State and USAID had established objectives and performance indicators for the 25 activities in our sample. However, INL cannot ensure the reliability of its program monitoring data because collection and maintenance of this data is conducted differently in each country and there is no centralized data storage system. INL recently contracted to improve and standardize its program monitoring data for Western Hemisphere activities, but according to INL officials, data challenges remain—in particular, how to collect standardized data from each of the embassies and how to build a data management system that is compatible with State requirements. Without reliable data, INL may continue to struggle with program monitoring of CBSI activities.

Contents

Letter		1
	Background	4
	U.S. Government Agencies Have Allocated More Than \$560 Million in CBSI Funds from Fiscal Years 2010 through 2018 to Support Various Security Activities	7
	State and USAID Undertake Some Planning and Reporting of CBSI Activities but the U.S. Government Cannot Assess Initiative-wide Progress	15
	State and USAID Established Objectives and Performance Indicators and INL Is Taking Steps to Improve Weaknesses in Program Monitoring	22
	Conclusions	27
	Recommendations for Executive Action	28
	Agency Comments and Our Evaluation	28
Appendix I	Objectives, Scope and Methodology	31
Appendix II	Funding Data Tables	35
Appendix III	Status of Caribbean Basin Security Initiative Foreign Military Financing Account Funds	41
Appendix IV	Comments from the Department of State	45
Appendix V	Comments from the U.S. Agency for International Development	48
Appendix VI	GAO Contact and Staff Acknowledgments	50
Tables		
	Table 1: Caribbean Basin Security Initiative (CBSI) Funding Allocations, Fiscal Years (FY) 2010-2018	9

Table 2: Caribbean Basin Security Initiative (CBSI) Funding Allocations by Country, Fiscal Years (FY) 2010-2018	10
Table 3: Examples of Objectives and Performance Indicators for Selected USAID CBSI Activities	23
Table 4: Examples of Objectives and Performance Indicators for Selected State INL Caribbean Basin Security Initiative (CBSI) Activities	25
Table 5: CBSI INCLE Funding for Activities in CBSI Partner Countries, by Year of Appropriation, Fiscal Years (FY) 2010-2018	35
Table 6: CBSI ESF Funding Managed by USAID for Activities in CBSI Partner Countries, by Year of Appropriation, Fiscal Years (FY) 2010-2018	37
Table 7: CBSI ESF Funding Managed by State for Activities in CBSI Partner Countries, by Year of Appropriation, Fiscal Years (FY) 2010-2018	38
Table 8: CBSI DA Funding for Activities in CBSI Partner Countries, by Year of Appropriation, Fiscal Years (FY) 2010-2018	39
Table 9: CBSI NADR Funding for Activities in CBSI Partner Countries, by Year of Appropriation, Fiscal Years (FY) 2010-2018	39
Table 10: CBSI FMF Funding for Activities in CBSI Partner Countries, by Year of Appropriation, Fiscal Years 2010-2018	41

Figures

Figure 1: Caribbean Basin Security Initiative Partner Countries	5
Figure 2: The Three Pillars of the Caribbean Basin Security Initiative	6
Figure 3: Examples of Equipment Purchased with Caribbean Basin Security Initiative (CBSI) Funding to Reduce Illicit Trafficking	12
Figure 4: Examples of Caribbean Basin Security Initiative (CBSI) Assistance Aimed at Increasing Public Safety and Security in the Dominican Republic	14
Figure 5: Planning Mechanisms for the Caribbean Basin Security Initiative (CBSI)	16

Abbreviations

ADS	Automated Directives System
CBSI	Caribbean Basin Security Initiative
CDCS	Country Development Cooperation Strategy
DA	Development Assistance
DFAS	Defense Financing and Accounting Service
DOD	Department of Defense
DSCA	Defense Security Cooperation Agency
ESF	Economic Support Fund
FAM	Foreign Affairs Manual
FMF	Foreign Military Financing
ICS	Integrated Country Strategy
INCLE	International Narcotics Control and Law Enforcement
INL	Bureau of International Narcotics and Law Enforcement Affairs
NADR	Nonproliferation, Anti-terrorism, Demining, and Related Programs
PM	Bureau of Political-Military Affairs
PPR	Performance Plan and Report
State	Department of State
TAFT	Technical Assistance Field Team
USAID	United States Agency for International Development
WHA	Bureau of Western Hemisphere Affairs

This is a work of the U.S. government and is not subject to copyright protection in the United States. The published product may be reproduced and distributed in its entirety without further permission from GAO. However, because this work may contain copyrighted images or other material, permission from the copyright holder may be necessary if you wish to reproduce this material separately.



February 27, 2019

Congressional Requesters

The United States has long recognized the importance of the Caribbean region to the overall stability of the Western Hemisphere. Sometimes referred to as the “third border,” the Caribbean region shares geographic proximity, common interests, and societal ties with the United States. However, this region also faces security threats that jeopardize its economic growth and development. Situated between drug production sources in South America and consumer markets in North America and Europe, the Caribbean is a major transit zone for illicit narcotics. The United Nations Office on Drugs and Crime, the World Bank, and the Inter-American Development Bank have identified drug trafficking as a primary driver of homicide and other violent crime in the region.¹ Caribbean countries suffer from some of the highest per-capita murder rates in the world, and many countries lack the ability to counter these threats. In 2010, the United States, Caribbean Community member nations,² and the Dominican Republic formally launched the Caribbean Basin Security Initiative (CBSI) to help Caribbean countries develop the capacity to respond to these threats.³

You asked us to review assistance provided through CBSI. In this report, we (1) provide information on U.S. funding for CBSI activities, (2) examine the extent to which the U.S. Department of State (State) and U.S. Agency for International Development (USAID), in conjunction with other agencies, have implemented a planning and reporting process for

¹See the United Nations Office on Drugs and Crime and the Latin America and the Caribbean Region of the World Bank, *Crime, Violence, and Development: Trends, Costs, and Policy Options in the Caribbean*, Report No. 37820 (March 2007) and the Inter-American Development Bank, *The Costs of Crime and Violence: New Evidence and Insights in Latin America and the Caribbean*, ed. Laura Jaitman (Washington, D.C.: 2017).

²The Caribbean Community consists of 15 member states that largely overlap with the 13 CBSI partner countries. Belize, Haiti, and Montserrat are members of the Community but are not CBSI partner countries; the Dominican Republic is not a Community member.

³CBSI partner countries include the Bahamas, the Dominican Republic, Guyana, Jamaica, Suriname, Trinidad and Tobago, and Eastern Caribbean. The latter, which refers to the grouping of several Caribbean island nations into one program area, includes Antigua and Barbuda, Barbados, Dominica, Grenada, St. Kitts and Nevis, St. Lucia, and St. Vincent and the Grenadines. There is one U.S. embassy representing this group of countries, located in Barbados.

CBSI, and (3) examine the extent to which State and USAID have established objectives and performance indicators to measure the progress of their CBSI activities.

To provide information on U.S. funding for CBSI, we analyzed State and USAID data on allocations, unobligated balances, unliquidated obligations, and disbursements by fiscal year, funding account, and country for fiscal years 2010 through 2018. We compared the data to those previously reported and determined that they were reliable for the purpose of reporting them according to these categories.⁴ We also obtained illustrative examples of the types of activities funded through CBSI.

To examine the extent to which State and USAID have implemented a planning and reporting process for the initiative, we obtained relevant CBSI planning and reporting documents, including those related to the Caribbean-U.S. Security Cooperation Dialogue and strategy documents such as Integrated Country Strategies and Country Development Cooperation Strategies, and interviewed relevant State and USAID officials. We compared the planning and reporting procedures in place to the key elements for effectively aligning foreign assistance strategies in situations where multiple agencies work together to deliver foreign assistance.⁵

To examine the extent to which State and USAID have established objectives and performance indicators to measure progress of their CBSI activities, we selected three case study countries—Barbados, the Dominican Republic, and Jamaica. We selected these three countries because they receive the greatest amount of CBSI funding and because they have program officials from State and USAID in their embassies. For each country, we requested lists of all ongoing and completed CBSI activities from State and USAID and used the lists to select a non-generalizable sample of activities, 15 implemented by State and 10 implemented by USAID, which were selected to provide a range of

⁴See GAO, *Status of Funding, Equipment, and Training for the Caribbean Basin Security Initiative*, [GAO-13-367R](#) (Washington, D.C.: Mar. 20, 2013).

⁵See GAO, *Foreign Assistance: Better Guidance for Strategy Development Would Help Agencies Align Their Efforts*, [GAO-18-499](#) (Washington, D.C.: July 12, 2018).

activity costs, implementing partners, types of activity, and location.⁶ We reviewed State and USAID documentation related to performance management for these activities, specifically focusing on the use of activity objectives and performance indicators, which are used to set and measure progress toward activity goals. Specifically, we examined contracts and agreements and program monitoring and progress reports, as well as country-level and regional-level reporting that encompassed these activities. The objectives and performance indicators in place for these activities do not represent those in place for all CBSI activities, but offer illustrative examples. We compared the performance management practices in place for the sample activities to State and USAID policies related to program management, found in the *Foreign Affairs Manual* (FAM) and *Automated Directives System* (ADS), respectively.⁷ We also interviewed officials from State, USAID, the Department of Defense (DOD), the Department of Justice, the Department of Homeland Security, and other implementing partner officials in Washington, D.C.; Barbados; the Dominican Republic; and Jamaica; and conducted site visits in these countries to determine the types of performance indicators tracked for each project.

We conducted this performance audit from November 2017 to February 2019 in accordance with generally accepted government auditing standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

⁶For State, we chose 15 activities—14 implemented by the Bureau of International Narcotics and Law Enforcement Affairs (INL) and 1 implemented by Bureau of Political-Military Affairs (PM). INL did not provide a complete list of its completed and ongoing activities; instead, we worked with INL to select 14 activities based on the partial information INL provided and information gained during our site visits. We chose one PM activity because most of PM's other CBSI activities entail the provision of equipment and associated training, for which program monitoring is less applicable. For USAID, we checked the list of activities provided to us against other information we had received from the agency to ensure the reliability of the information. We originally selected a sample of 13 of 54 USAID activities, but subsequently excluded 3 activities from the scope of this review because they began prior to the creation of CBSI. We based our selection of activities on those that are regionally funded and encompass multiple CBSI countries, as well as those taking place in Barbados, the Dominican Republic, and Jamaica.

⁷See, for example, 18 FAM 301.1, "Managing for Results Framework"; 18 FAM 301.4, "Department of State Program and Project Design, Monitoring and Evaluation"; and ADS Chapter 201 – Program Cycle Operational Policy.

Background

Economic, Security, and Illicit Drug Trafficking Challenges in the Caribbean

The countries of the Caribbean are diverse in size, culture, and level of development, and face various interrelated economic and security challenges. According to a recent International Monetary Fund report, Caribbean countries have recently fallen into a pattern of low growth and high debt, and those with tourism-intensive economies are characterized by high rates of unemployment.⁸ They have endured frequent natural disasters that reduced economic output and imposed reconstruction costs, as well as deep macroeconomic, financial, and structural challenges that have resulted in lower-than anticipated rates of economic growth, according to the same report.

Recent reports emphasize that crime and violence in the Caribbean have inflicted widespread costs, generating a climate of fear for citizens and diminishing economic growth.⁹ These reports note that Caribbean countries have some of the highest per-capita murder rates in the world, with assault rates that are significantly above the world average, and high crime rates have stretched the capacity of their criminal justice systems, which are small and largely characterized as weak and ineffective.

Because of their location between drug production sources in South America and consumer markets in North America and Europe, Caribbean countries have become a major transit zone for illicit drugs, particularly drugs destined for the United States. With long coastlines that are difficult to comprehensively patrol, and limited air and sea capabilities to support interdictions, the Caribbean countries often struggle to control territorial waters and stem the flow of drugs northwards.

Establishment of CBSI

Over the years, the United States has created several initiatives to engage with the countries of the Caribbean Basin region to address economic and political issues. In May 2010, the United States, Caribbean Community member states, and the Dominican Republic formally

⁸See International Monetary Fund, *Unleashing Growth and Strengthening Resilience in the Caribbean*, eds. Trevor Alleyne, Inci Ötker, Uma Ramakrishnan, and Krishna Srinivasan (Washington, D.C.: 2017).

⁹See, for example, the Inter-American Development Bank, *The Costs of Crime and Violence* and International Monetary Fund, *Unleashing Growth and Strengthening Resilience in the Caribbean*.

launched CBSI to strengthen regional cooperation on security.¹⁰ At its inception in 2010, CBSI’s aim was to increase citizen safety through provision of U.S. foreign assistance to CBSI partner countries to reduce illicit trafficking, improve public safety and security, and promote social justice; these three “pillars” remain the overall goals of CBSI.

There are thirteen CBSI partner countries—Antigua and Barbuda, Bahamas, Barbados, Dominica, the Dominican Republic, Grenada, Guyana, Jamaica, St. Kitts and Nevis, St. Lucia, St. Vincent and the Grenadines, Suriname, and Trinidad and Tobago (see fig. 1).

Figure 1: Caribbean Basin Security Initiative Partner Countries



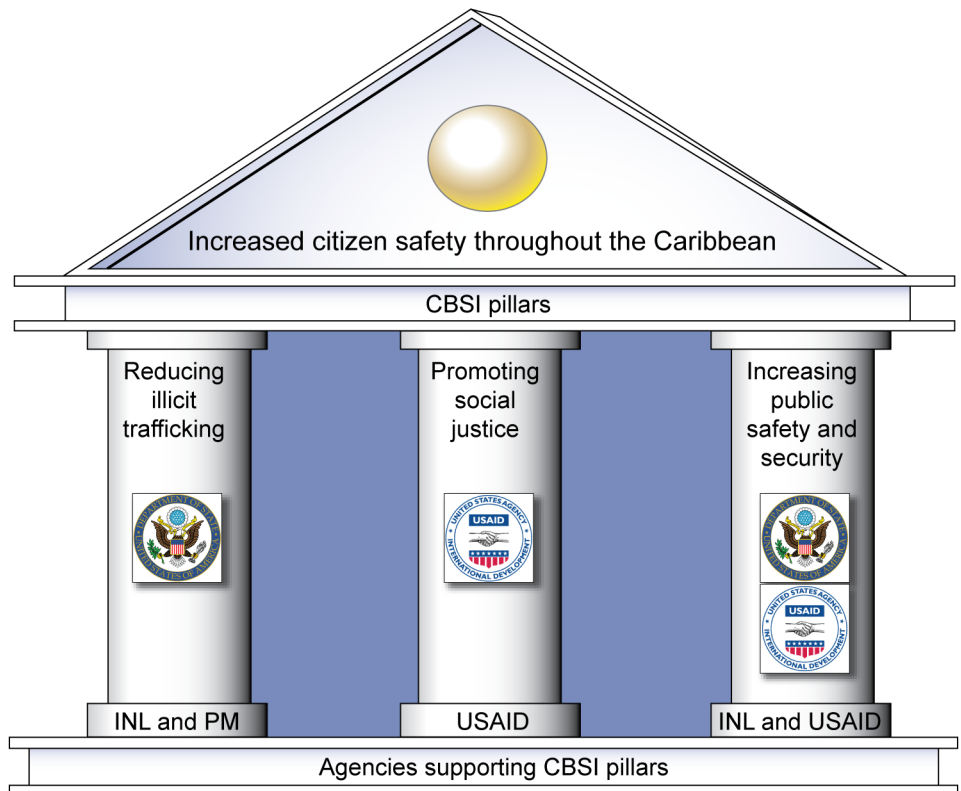
Source: Map Resources (map). | GAO-19-201

¹⁰CBSI was designed to complement the Merida Initiative and the Central America Regional Security Initiative, two other regional U.S. government programs that address similar citizen security issues in Mexico and Central America, respectively.

U.S. Government Agencies Involved in Funding and Implementing CBSI Activities

The U.S. agencies and offices currently funding CBSI activities are State's Bureau of International Narcotics and Law Enforcement Affairs (INL), State's Bureau of Political-Military Affairs (PM), and USAID (see fig. 2). State's Bureau of Western Hemisphere Affairs (WHA) plays a coordinating role for CBSI. To implement CBSI activities, State and USAID partner with nongovernmental and multilateral organizations as well as other government agencies, such as DOD and the Departments of Homeland Security, Justice, and Treasury.

Figure 2: The Three Pillars of the Caribbean Basin Security Initiative



Legend: CBSI = Caribbean Basin Security Initiative, INL = Department of State's Bureau of International Narcotics & Law Enforcement Affairs, PM = Department of State's Bureau of Political-Military Affairs, USAID = United States Agency for International Development.

Source: GAO analysis of State and USAID documentation. | GAO-19-201

U.S. Government Agencies Have Allocated More Than \$560 Million in CBSI Funds from Fiscal Years 2010 through 2018 to Support Various Security Activities

From fiscal years 2010 through 2018, U.S. agencies have allocated more than \$560 million in funding for CBSI activities. Since fiscal year 2012, annual allocations have remained relatively constant, ranging between \$56.6 million and \$63.5 million.¹¹ Of the 13 CBSI partner countries, U.S. agencies have provided the most CBSI funding to the Dominican Republic, Jamaica, and the countries covered by the Eastern Caribbean embassy. State and USAID disbursed funds to support activities in partner countries that improve law enforcement and maritime interdiction capabilities, support activities to train and otherwise improve the capabilities of national security institutions, prevent crime and violence, and deter and detect border criminal activity. These activities are generally aligned with the three pillars of CBSI.

State and USAID Allocated More Than \$560 Million to CBSI from Various Foreign Assistance Accounts

From fiscal years 2010 through 2018, State and USAID allocated more than \$560 million in funding for CBSI activities.¹² Of that amount, U.S. agencies have disbursed or committed approximately \$361 million for CBSI activities in the 13 CBSI partner countries and for region-wide activities. Funding for CBSI activities comes from a combination of U.S. foreign assistance accounts—mostly through INCLE, ESF, and FMF, with a small amount of funding provided through NADR and DA (see textbox).

¹¹The scope of this report is limited to funds directly tied to CBSI activities. This report does not include additional U.S. funds or assistance that is provided to the Caribbean region outside of CBSI, such as certain DOD-funded coordination and cooperation activities.

¹²From fiscal years 2010 through 2017, State had over \$2 million in unobligated INCLE funds that were no longer available for new obligations. According to State officials, the majority of this amount was leftover funds from human resource and administrative costs relating to program development, management, and oversight, and the relevant funds have been returned to the Treasury.

U.S. Foreign Assistance Accounts That Have Been Used to Fund Caribbean Basin Security Initiative (CBSI) Activities

- **International Narcotics Control and Law Enforcement (INCLE):** The Department of State (State)'s Bureau of International Narcotics and Law Enforcement Affairs (INL) manages the INCLE account, which provides assistance to foreign countries and international organizations to develop and implement policies and programs that maintain the rule of law and strengthen institutional law enforcement and judicial capabilities, including countering drug flows and combatting transnational crime. Generally, INCLE funds are available for obligation for 2 fiscal years and must be disbursed within 5 years of the end of the period of availability for new obligations.
- **Economic Support Fund (ESF):** State and the U.S. Agency for International Development (USAID) share responsibility for managing the ESF account. For CBSI activities, it is primarily USAID who uses ESF funds to assist foreign countries in meeting their political, economic, and security needs. Generally, ESF funds are available for obligation for 2 fiscal years and must be disbursed within 5 years of the end of the period of availability for new obligations.
- **Foreign Military Financing (FMF):** State's Bureau of Political-Military Affairs manages the FMF account, which provides grants and loans to foreign governments and international organizations for the acquisition of U.S. defense equipment, services, and training. The Department of Defense is the main implementer of this funding. Previous acts appropriating funds for FMF have generally provided that such funds are available for obligation for 1 year, and deem such funds to be obligated upon apportionment.
- **Nonproliferation, Anti-terrorism, Demining, and Related Programs (NADR):** State manages the NADR account, which funds contributions to organizations supporting nonproliferation and provides assistance to foreign countries for nonproliferation, antiterrorism, demining, export control assistance, and other related activities. Generally, NADR funds are available for obligation for 2 fiscal years and must be disbursed within 5 years of the end of the period of availability for new obligations.
- **Development Assistance (DA):** USAID manages the DA account, which responds to long-term challenges to human and economic security by funding activities in areas such as economic growth and education. Generally, DA funds are available for obligation for 2 fiscal years and must be disbursed within 5 years of the end of the period of availability for new obligations.

Source: GAO. | GAO-19-201

Since 2012, allocations have remained relatively constant each year, ranging between \$56.6 million and \$63.5 million.¹³ Table 1 summarizes the INCLE, ESF, NADR, and DA allocations and disbursements and the

¹³For fiscal year 2019, the administration requested \$36.2 million. Pursuant to the Consolidated Appropriations Act, 2019, Congress provided \$58 million for CBSI.

FMF allocations and commitments by year of appropriation. Appendix II includes a breakdown of allocated, obligated, and disbursed funds for INCLE, ESF, NADR, and DA accounts; appendix III includes a breakdown of FMF funding that State has allocated and committed to CBSI.

Table 1: Caribbean Basin Security Initiative (CBSI) Funding Allocations, Fiscal Years (FY) 2010-2018

Dollars in thousands

Fund	FY 2010 – 12 ^a	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	Total
International Narcotics Control and Law Enforcement (INCLE)								
Allocated	102,826	30,000	25,000	25,500	25,337	25,200	25,200	259,063
Disbursed	66,003	27,211	18,365	15,539	12,787	6,495	2,286	148,687
Economic Support Fund (ESF)								
Allocated	48,000	18,802	29,200	27,000	23,775	25,000	25,000	196,777
Disbursed	45,855	18,367	22,053	21,940	15,470	541	-	124,226
Nonproliferation, Anti-terrorism, Demining, and Related Programs (NADR)								
Allocated	8,840	2,000	1,800	1,500	-	-	-	14,140
Disbursed	7,087	1,908	1,662	1,056	-	-	-	11,712
Development Assistance (DA)								
Allocated	6,000	-	-	-	-	-	-	6,000
Disbursed	6,000	-	-	-	-	-	-	6,000
Total INCLE, ESF, NADR, and DA funding disbursed	124,944	47,485	42,080	38,535	28,257	7,036	2,286	290,625
Foreign Military Financing (FMF)^b								
Allocated	45,604	9,494	7,500	5,000	7,500	7,500	7,500	90,098
Committed ^c	43,684	9,277	6,693	3,785	6,366	710	-	70,515
Total INCLE, ESF, NADR, DA, and FMF funding allocated	211,270	60,296	63,500	59,000	56,612	57,700	57,700	566,078

Source: GAO analysis of Department of State and U.S. Agency for International Development data. | GAO-19-201

Notes: Data are as of November 2018.

^aData for fiscal years 2010 through 2012 were combined for formatting reasons (to fit all years in one row).

^bFMF disbursements are not shown because FMF funds are budgeted and tracked differently from funds from the other CBSI accounts and are not tracked consistently with our presentation of financial data. See appendix III for additional FMF funding data

^cIn this report, “committed” accounts include both FMF funding that has been committed but not yet disbursed and FMF funding that has been disbursed.

Since fiscal year 2010, U.S. agencies have provided the most CBSI funding to the Dominican Republic, Jamaica, and the countries covered by the Eastern Caribbean embassy. These countries received

approximately 66 percent of total CBSI allocations from fiscal years 2010 through 2018. Approximately 13 percent of total CBSI allocations went to the Bahamas, Guyana, Suriname, and Trinidad and Tobago, while 21 percent of total CBSI allocations went to regional activities.¹⁴ Table 2 provides a breakdown of allocated funds by country for CBSI activities.

Table 2: Caribbean Basin Security Initiative (CBSI) Funding Allocations by Country, Fiscal Years (FY) 2010-2018

Dollars in thousands

Country	FY 2010 – 12 ^a	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	Total allocated
Eastern Caribbean ^b	56,028	12,990	17,278	13,516	10,296	12,462	13,987	136,557
Dominican Republic	34,103 ^c	16,347	14,630	16,292	16,711	15,426	15,670	129,179
Regional ^d	59,060	12,248	8,650	7,075	9,284	13,516	9,478	119,312
Jamaica	34,157	10,244	14,345	14,947	14,104	11,126	11,285	110,208
Bahamas	13,328	3,577	3,811	3,106	3,550	2,414	5,100	34,886
Trinidad and Tobago	6,185	2,854	2,980	2,902	1,864	2,223	1,695	20,703
Guyana	5,566	1,320	1,470	1,139	762	491	410	11,158
Suriname	2,842	716	336	23	41	43	75	4,075
Total CBSI allocated funds	211,270	60,296	63,500	59,000	56,612	57,700	57,700	566,078

Source: GAO analysis of Department of State (State) and U.S. Agency for International Development (USAID) data. | GAO-19-201

Notes: Data are for fiscal years 2010 through 2018. Amounts have been rounded to the nearest thousand and therefore may not sum to totals.

^aData for fiscal years 2010 through 2012 were combined for formatting reasons (to fit all years in one row).

^bEastern Caribbean refers to the grouping of several Caribbean island nations into one program area; it includes Antigua and Barbuda, Barbados, Dominica, Grenada, St. Kitts and Nevis, St. Lucia, and St. Vincent and the Grenadines. There is one U.S. embassy representing this group of countries, located in Barbados. From fiscal year 2011, USAID activities in Guyana, Suriname, and Trinidad and Tobago are included under Eastern Caribbean.

^cFiscal year 2010 International Narcotics Control and Law Enforcement (INCLE) funding for the Dominican Republic is considered bilateral and not part of CBSI. Fiscal year 2011 was the first year that State included INCLE funds for the Dominican Republic under CBSI.

^d“Regional” refers to funding used for CBSI region-wide activities that are not tied to an activity in an individual country. Regional amounts include funds for “regional activities” from the International Narcotics Control and Law Enforcement; Economic Support Fund (USAID); and Nonproliferation, Anti-terrorism, Demining, and Related Programs accounts.

¹⁴Funds used for regional activities are used for CBSI region-wide activities and are not tied to an activity in an individual country.

U.S. Government Agencies Support Various Security Activities throughout the Caribbean in Line with the Three CBSI Pillars

State and USAID fund various security activities in partner countries. State uses INCLE and FMF funds to conduct activities in support of CBSI goals at all seven embassies, covering all 13 CBSI countries. State uses several different implementing mechanisms—including contracts, cooperative agreements, and interagency agreements. According to INL officials, INL has an average of 10-50 distinct ongoing activities within any individual country program at any given time, ranging from multi-year, multi-million dollar embedded advisory programs to one-time procurements for equipment or individual trainings. USAID uses ESF funds for activities in three missions—the Dominican Republic, Eastern and Southern Caribbean, and Jamaica.¹⁵ In general, USAID uses similar implementing mechanisms, but typically has fewer projects that cover multiple years.

State primarily focuses on funding CBSI activities that fall within the pillar of reducing illicit trafficking, and USAID concentrates on funding activities within the pillar of promoting social justice. Both agencies fund activities in the pillar of improving public safety and security.

Reducing illicit trafficking. State uses INCLE and FMF funds, through interagency agreements with DOD and other implementing partners, to increase Caribbean countries' control over their territorial maritime domain and reduce illicit trafficking, such as narcotics and firearms, as the examples below illustrate.

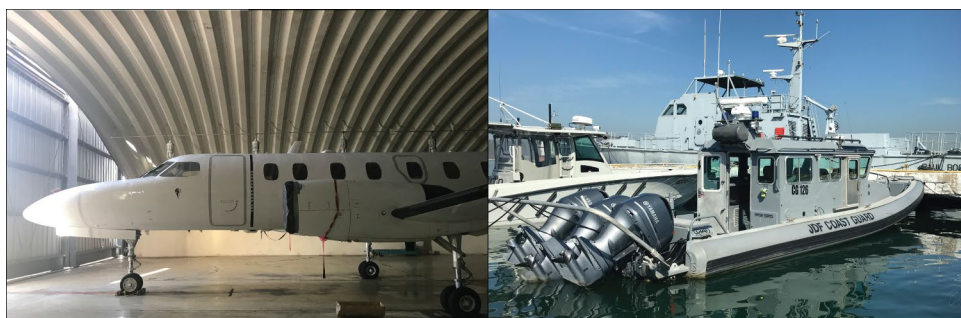
- *Eastern Caribbean.* INL and PM have provided training and equipment to the Regional Security System, a collective defense organization of Eastern Caribbean countries whose responsibilities include regional law enforcement training and narcotics interdiction. For example, U.S. assistance funded the refurbishment of aircraft operated by the Regional Security System to provide equipment for intelligence, surveillance, and reconnaissance related to drug interdiction.

¹⁵While the United States has embassies in Guyana, Suriname, and Trinidad and Tobago, USAID manages its activities in these three countries from its Eastern and Southern Caribbean Mission, located in Barbados.

- *Jamaica.* INL and PM have provided boats to the government of Jamaica to increase the government’s capacity to conduct counternarcotic operations (see fig. 3).¹⁶

Figure 3: Examples of Equipment Purchased with Caribbean Basin Security Initiative (CBSI) Funding to Reduce Illicit Trafficking

State Department money funded the refurbishment of Regional Security System aircraft (left) and the purchase of boats for the government of Jamaica (right).



Source: GAO. | GAO-19-201

- *Throughout the Caribbean.* INL supports activities providing training, technical assistance, policy guidance, and basic equipment to enhance the capacity of CBSI countries to combat illicit small arms and ammunition trafficking through operational forensic ballistics.
- *Throughout the Caribbean.* State uses an interagency agreement to support the Technical Assistance Field Team (TAFT) program. This program, supported by both FMF and INCLE funds, aims to build maritime capacity of partner countries throughout the Caribbean. The team is composed of 15 Coast Guard and DOD engineers, technicians, specialists, and logisticians, based at U.S. Southern Command, who assist Caribbean maritime security forces with maintenance and sustainment issues. The advisors have worked to implement inventory management systems within CBSI countries and conduct regular site visits to CBSI countries to assist in the maintenance and logistics of maritime assets.

Promoting social justice. USAID and its implementing partners—multilateral and nongovernmental organizations, for the most part—use ESF funds in an effort to increase economic opportunities for at-risk youth and vulnerable populations, improve community and law enforcement

¹⁶PM manages FMF funds throughout the Caribbean to build maritime security capacity and to provide maritime assets such as boats and equipment.

cooperation, improve the juvenile justice sector, and reduce corruption in public and private sectors.

- *Dominican Republic.* USAID has provided assistance for community-based activities, such as the Community Justice Houses. These centers are designed to provide services related to the justice sector, such as public defense and mediation efforts for populations in areas of high violence that have limited access to traditional justice institutions.
- *Dominican Republic and Barbados.* USAID's implementing partners work with at-risk youth to provide skills training and education for those individuals in vulnerable populations.
- *Jamaica.* USAID's implementing partners work with youth in the juvenile justice system to provide marketable technical skills, life skills, and individualized psychosocial attention to assist in their reintegration into society.
- *Eastern and Southern Caribbean.* USAID partners use a community-based approach to crime prevention to identify the underlying causes of crime and violence by collecting standardized crime data across the region.

Increasing public safety and security.¹⁷ State uses INCLE to fund activities to increase the rule of law and reduce transnational crime. USAID uses ESF to support public safety and security activities by funding training and support programs that aim to build institutional capacity for police and judicial systems.

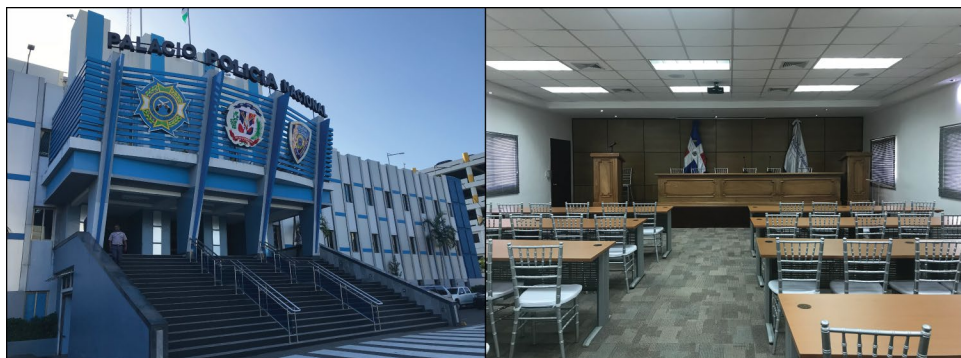
- *Jamaica.* INL works to enhance the government of Jamaica's capacity to disrupt and deter money laundering operations and other financial crimes by providing technical assistance, equipment and training for combating money laundering and financial crime, and for the seizure of criminally-acquired assets.
- *Eastern Caribbean.* INL uses training, technical assistance, equipment purchases, and operational support to combat financial crimes and increase asset forfeiture efforts.

¹⁷While this pillar shares similarities with the pillar focused on social justice, the social justice pillar is primarily focused on youth and vulnerable populations, while the public safety and security pillar is focused on public institutions, such as the police and judiciary.

-
- *Dominican Republic.* INL has provided funding for the government’s creation of a centralized emergency “911” response system to increase citizen safety and security.
 - *Dominican Republic.* Both INL and USAID provide assistance to the Dominican National Police, and USAID’s implementing partners work with the judicial sector to improve the skills of prosecutors (see fig. 4). INL provides assistance to the Dominican National Police through funding training to increase police professionalization and supports training on enforcing legislation for prosecutors and judges. USAID funding works to support the reform and modernization of the Dominican National Police by strengthening the management capacity and accountability of the organization. USAID implementing partners also work with prosecutors to strengthen the criminal justice system in the Dominican Republic.

Figure 4: Examples of Caribbean Basin Security Initiative (CBSI) Assistance Aimed at Increasing Public Safety and Security in the Dominican Republic

The State Department and U.S. Agency for International Development (USAID) have provided assistance to the Dominican National Police (headquarters building shown at left), and USAID has funded efforts to train prosecutors (Prosecutor Training School classroom in Santo Domingo shown at right).

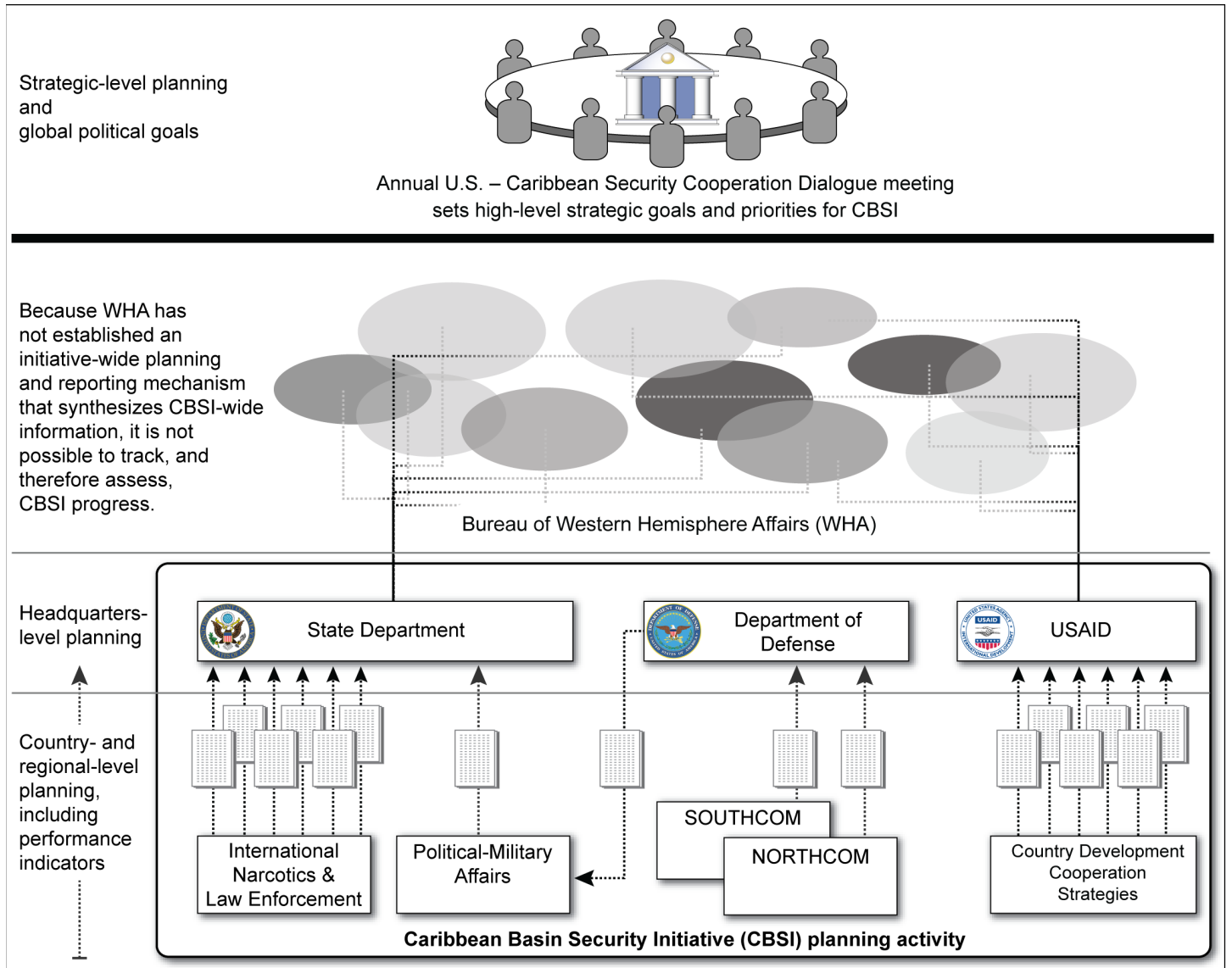


Source: GAO. | GAO-19-201

State and USAID Undertake Some Planning and Reporting of CBSI Activities but the U.S. Government Cannot Assess Initiative-wide Progress

The United States and Caribbean countries meet periodically to set strategic goals and to designate high-level priorities for the subsequent year, and U.S. agencies individually plan and report on CBSI activities on a country-specific basis through a variety of reporting mechanisms (see fig. 5). However, State has not created an initiative-wide mechanism for planning and reporting on CBSI activities and the U.S. government cannot assess initiative-wide progress.

Figure 5: Planning Mechanisms for the Caribbean Basin Security Initiative (CBSI)



Legend: NORTHCOM = Department of Defense Northern Command, SOUTHCOM = Department of Defense Southern Command, USAID = United States Agency for International Development.

Source: GAO. | GAO-19-201

State and USAID Establish Strategic Goals and Priorities for CBSI with Partner Countries

At the strategic and political level, U.S. government agencies and CBSI partner countries engage on a periodic basis to set strategic goals and to designate high-level priorities for the subsequent year.¹⁸ The process involves various technical working groups meeting throughout the year, culminating in the Caribbean-United States Security Cooperation Dialogue meeting, attended by the Caribbean Community, the Dominican Republic, the United States, and other interested Caribbean states and international partners. At the 2017 meeting, participants set strategic goals by reaffirming the initiative's three pillars of substantially reducing illicit trafficking, advancing public safety and security, and promoting social justice. Participants also produced a high-level plan of action that aimed to strengthen commitment and accountability of the countries involved and to ensure political support for implementation. Within each goal, the plan identified high-level priorities such as counternarcotics, anti-money laundering, border security, justice reform, and anti-corruption.

State and USAID Generally Plan CBSI Activities on a Country- Specific Basis

At the implementation level, State and USAID separately plan and report their CBSI activities, generally on a country-specific basis.¹⁹ Within State, INL develops multi-year country plans that are the basis for making decisions on CBSI activities for each country, according to INL officials. The plans describe objectives within a country for program areas such as law enforcement professionalization, rule of law, and counternarcotics, and include performance indicators related to those program areas. INL developed a country plan for each of the seven embassies in CBSI from fiscal years 2017 through 2021.²⁰ In addition, a portion of INL's CBSI funding is devoted to regional activities (i.e., activities that are implemented in more than one CBSI country), and INL developed the CBSI Regional Implementation Plan to describe the objectives and performance indicators for regional activities.²¹ The CBSI activities that

¹⁸Through 2017, the Caribbean-United States Security Cooperation Dialogue occurred on an annual basis.

¹⁹While most of INL's activities within a country are related to CBSI activities, USAID has other priorities within a country, such as health, which are also covered by individual country strategies. In addition, certain other CBSI activities, such as those implemented by DOD, are planned through methods other than the plans and strategies developed by State and USAID. For example, the TAFT program is planned through DOD's Southern Command.

²⁰The Guyana country report covers fiscal years 2017 through 2020.

are funded through FMF are planned and implemented by DOD in coordination with PM.

USAID uses its Country Development Cooperation Strategies (CDCS) as the basis for planning CBSI activities in each country, according to USAID officials. USAID developed a CDCS for each of the three missions that have a USAID presence among the CBSI countries—Eastern and Southern Caribbean, the Dominican Republic, and Jamaica.²² The strategies outline priorities for each mission and typically cover 5 years. In each of the CDCS, USAID outlines three development objectives, including one that is CBSI-related—on crime prevention and reduction—and two that are not CBSI-related—on climate change and health care.

According to INL and USAID officials, coordination of CBSI activities between the two agencies primarily occurs at the embassy level through routine meetings.²³ Officials at embassies in the CBSI countries also compile bimonthly reporting cables that contain information on selected CBSI activities. State's WHA, which plays a coordinating role for CBSI, holds monthly coordination meetings for INL, PM, and USAID officials in Washington, D.C. to discuss high-level issues and upcoming events relevant to the initiative, as well as to prepare for meetings with Caribbean partners, according to officials.²⁴

²¹INL's regional INCLE funding constituted approximately a third of INCLE CBSI allocations from fiscal years 2010 through 2018.

²²USAID refers to the planning document for the Eastern and Southern Caribbean as a Regional Development Cooperation Strategy. The Eastern and Southern Caribbean USAID mission operates CBSI programs from the U.S. Embassy, Barbados. This mission includes Antigua and Barbuda, Barbados, Dominica, Grenada, Guyana, St. Kitts and Nevis, Saint Lucia, and St. Vincent and the Grenadines, Suriname, and Trinidad and Tobago.

²³State and USAID officials stated that they coordinate their CBSI efforts through the embassy's Law Enforcement Working Group.

²⁴According to State officials, these meetings typically do not include coordination of activities.

The U.S. Government Cannot Assess CBSI Initiative-wide Progress Because It Does Not Have an Initiative-wide Planning and Reporting Mechanism

While State and USAID set strategic goals and priorities with CBSI partner countries and plan for and report on CBSI activities within each agency or bureau, State has not established a CBSI-wide planning and reporting mechanism that links agencies' activities to the three overall CBSI goals.²⁵ State and USAID typically use Integrated Country Strategies (ICS)²⁶ to strategically plan in a given country, and Performance Plans and Reports (PPR) to assess progress made relative to the foreign assistance priorities in a given country. Each of the U.S. embassies that cover the CBSI countries has both an ICS and PPR. However, the PPRs for the individual CBSI countries are for bi-lateral funds, and the ICSs serve as a whole-of-U.S.-government strategy in a country.²⁷

According to State officials, since CBSI is a regional initiative, CBSI activities are included in the scope of the relevant regional planning and reporting documents. These regional documents include the WHA Joint Regional Strategy and the WHA PPR.²⁸ However, these documents represent the entire Western Hemisphere and are not specific to CBSI activities. The Joint Regional Strategy does not serve as a planning mechanism for CBSI-wide activities and does not establish CBSI specific targets or performance indicators. Moreover, while the PPR reports outputs and outcomes, CBSI results are aggregated with other regionally funded activities in the Western Hemisphere, such as the Central America Regional Security Initiative. For example, while the PPR may report the number of judicial personnel trained with U.S. government assistance, that number may include officials in the Dominican Republic, Jamaica, Honduras, or any other number of countries within the Western Hemisphere. Therefore, the most recent WHA PPR does not serve as a CBSI reporting mechanism as it is not possible to always know which

²⁵While the Caribbean–United States Framework for Security Cooperation establishes a process of consultation on pressing security concerns, it does not establish an initiative-wide strategy to plan and report on U.S. CBSI progress.

²⁶ICSs are 4-year strategic plans that articulate whole-of-government priorities in a given country and incorporate higher-level planning priorities. ICSs also represent the official U.S. government strategy for all security assistance in a given country.

²⁷INL's CBSI Regional Implementation Plan covers regionally funded INL activities and is not an initiative-wide document.

²⁸The WHA Joint Regional Strategy is a 4-year planning document that sets joint State and USAID priorities and establishes performance indicators throughout the Western Hemisphere. The WHA PPR reports on the objectives outlined in the Joint Regional Strategy.

results are related to CBSI activities, and the CBSI-wide outputs and outcomes can be indiscernible from other regional efforts.

In 2012, State created the CBSI Results Framework, recognizing the importance of tracking initiative-wide results. The Framework included the three CBSI pillars—reducing illicit trafficking, improving public safety and security, and promoting social justice—and specified intermediate results, such as reducing drug demand in target areas, improving security at ports of entry, and improving community and law enforcement cooperation. Each of the intermediate results included performance indicators for measuring and reporting CBSI results. According to WHA officials, WHA had envisioned establishing baseline data, obtaining annual reporting from each embassy, and reporting on a subset of the indicators. However, neither State nor USAID currently use the framework to gauge overall progress of CBSI. State officials that we interviewed were not aware of the reason for discontinuing use of the framework and stated that the decision to discontinue using it pre-dated their tenure. According to State officials and our assessment of program documentation, State does not currently use the framework in any official capacity. While USAID officials stated that they continue to use the framework as internal guidance on CBSI’s direction, they stated that they do not use it to track progress.

The delivery of U.S. foreign assistance often involves multiple agencies or a whole-of-government approach. We have previously identified key elements for effectively aligning foreign assistance strategies in situations where multiple agencies are working together to deliver foreign assistance, such as CBSI.²⁹ These elements include, among others, the establishment of interagency coordination mechanisms, integration of strategies with relevant higher- or lower-level strategies, and assessment of progress toward strategic goals through the articulation of desired results, activities to achieve the results, performance indicators, and monitoring and evaluation plans and reports. We found that agencies that establish strategies aligned with partner agencies’ activities, processes, and resources are better positioned to accomplish common goals, objectives, and outcomes. For foreign assistance that involves multiple

²⁹See [GAO-18-499](#). State and USAID policies and guidance related to program management—found in the FAM and ADS, respectively—also reflect these key elements. See, for example, 18 FAM 301.1, “Managing for Results Framework;” 18 FAM 301.4, “Department of State Program and Project Design, Monitoring and Evaluation;” and ADS Chapter 201 – Program Cycle Operational Policy.

agencies, strategies that consistently address agencies' roles and responsibilities and interagency coordination mechanisms can help guide implementation and reduce potential program fragmentation.³⁰

The absence of a functioning CBSI-wide planning and reporting mechanism leaves open the possibility that State's and USAID's existing planning efforts may be inadequate in ensuring that activities are effectively coordinated to reduce fragmentation or overlap. In 2016, USAID contracted for an independent assessment of all of its CBSI activities. Since USAID implements CBSI in conjunction with other U.S. agencies, such as State, one of the objectives within the assessment was to determine the degree to which USAID's activities were complementary with those of other U.S. agencies and whether there were instances of overlap.³¹ The assessment noted that coordination and information exchange between the agencies about individual CBSI activities and their components appeared to be relatively ad hoc and was primarily seen as the mandate of staff in the field, though at that level, information sharing and coordination had been widely variable. It noted that in general, the level and type of communication between USAID and INL tended to be influenced by personalities, and information was not shared systematically. The assessment concluded that there was a potential for overlap between USAID and INL and recommended that USAID and INL take several actions to strengthen information sharing and coordinate and align activities. This coordination is important since overlap or unintended competition between INL's and USAID's CBSI activities has been documented on at least one occasion. According to the fiscal year 2017 annual report submitted by an implementing partner for one of USAID's activities in the Dominican Republic, the partner was directed to suspend several of its activities related to training to strengthen standards for criminal case preparation and training for police and prosecutors,

³⁰Fragmentation refers to circumstances in which more than one federal agency (or more than one organization within an agency) is involved in the same broad area of national need and opportunities exist to improve service delivery.

³¹See Social Impact, *Assessment of the Caribbean Basin Security Initiative* (Washington, D.C., August 22, 2016).

reportedly because State realigned the task to INL. The report cited poor delineation of roles and relationships as an underlying cause.³²

While State and USAID set strategic goals and plan and report on CBSI activities in individual countries, the U.S. government does not have a functioning initiative-wide planning and reporting mechanism that links CBSI activities to overall goals or specifies a means for assessing initiative-wide progress through articulation of desired results, performance indicators, and a monitoring and evaluation plan. Without such a mechanism that establishes consistent performance indicators across agencies, countries, and activities and determines baselines and targets, it is difficult to measure CBSI's activities across the initiative, making it difficult to assess any progress made toward achieving CBSI's overall goals. Consequently, the U.S. government has limited ability to evaluate CBSI's successes and limitations and use such information to better guide future decision-making.

State and USAID Established Objectives and Performance Indicators and INL Is Taking Steps to Improve Weaknesses in Program Monitoring

USAID and implementing partners have established objectives and performance indicators for selected CBSI activities that we reviewed and have been measuring and reporting on progress for those activities. Within State, INL and implementing partners have established objectives and performance indicators for all of the activities that we reviewed, and INL and PM receive quarterly monitoring reports containing performance information on the TAFT program. In response to identified weaknesses in its program monitoring, INL is taking steps to improve program monitoring for its Western Hemisphere programs, which include CBSI activities.

³²According to USAID, agencies represented in the U.S. embassy in the Dominican Republic now meet quarterly in a Security Working Group to coordinate and deconflict programming. In addition, according to USAID, at quarterly meetings with the Ambassador, INL and USAID share scopes of work related to their projects with law enforcement and bring their implementing partners together to coordinate to minimize duplication of efforts.

**State and USAID
Established Objectives
and Performance
Indicators for Selected
CBSI Activities**

State and USAID policies related to program management—found in the FAM and ADS, respectively—require the establishment of objectives and performance indicators for program monitoring.³³ We found that USAID and its implementing partners established objectives and performance indicators for all 10 of the CBSI activities in our sample and use these indicators to measure activity progress.³⁴ Table 3 includes examples of the types of indicators established for USAID activities in our sample.

Table 3: Examples of Objectives and Performance Indicators for Selected USAID CBSI Activities

Location of activity	Name of project	Example of objective	Example of performance indicator
Eastern and Southern Caribbean	Community, Family, and Youth Resilience program	Increased competence of communities, youth and families to prevent crime and violence.	Percent change in feelings of safety among target communities.
Dominican Republic	Criminal Justice System Strengthened project	Prosecutor effectiveness improved.	Percentage of new cases filed that reach case disposition in targeted District Attorney General’s Office.
Jamaica	Community Empowerment and Transformation Project II	Increased citizen cooperation and accountability.	Number of targeted communities developing and implementing projects aimed at fostering a culture of lawfulness.

Source: GAO analysis of U.S. Agency for International Development (USAID) activity documentation. | GAO-19-201

Note: We selected a non-generalizable sample of 10 completed and ongoing USAID CBSI activities that represent a range of implementing partners, types of activity, and location.

In addition to establishing performance indicators, USAID and its implementing partners are using these indicators to measure the progress of CBSI activities. We found that implementing partners for nearly all of the activities in our sample had submitted progress reports to USAID that

³³See, for example, 18 FAM 301.1, “Managing for Results Framework;” 18 FAM 301.4, “Department of State Program and Project Design, Monitoring and Evaluation;” and ADS Chapter 201 – Program Cycle Operational Policy.

³⁴We selected a non-generalizable sample of 10 of 54 completed and ongoing USAID CBSI activities that represent a range of implementing partners, types of activity, and location.

used the performance indicators to measure progress and identify challenges in achieving the activities' goals.³⁵

State and its implementing partners also established objectives and performance indicators for all 15 of the CBSI activities that we reviewed.³⁶ See table 4 for examples of the types of indicators established for INL activities in our sample.³⁷

³⁵The 2016 independent assessment of USAID CBSI activities also examined the extent to which activities incorporated best practices and the extent to which activities faced unexpected challenges. Some of the challenges mentioned in implementing partners' progress reports included coordination between USAID and other U.S. government agencies, reluctance of host government entities to engage with implementing partners, capacity of host government institutions and sub-implementing partners, and difficulty monitoring activity participants and quantifying activity benefits. Nevertheless, for all of the activities with progress reports, the reports concluded that the activities had generally positive results, more positive than negative results, or as positive as negative results, despite noted challenges. The 2016 assessment found some association between CBSI activities and best practices, though it noted that it was difficult to conclude that the activity designers and implementing partners were deliberately applying them. The assessment also found that USAID CBSI activities faced a wide array of unexpected challenges, including sustainability.

³⁶For the PM activity that we examined—the TAFT program—we found that DOD and the Department of Homeland Security were routinely reporting on TAFT's performance through quarterly reports to PM and INL. These reports include articulation of objectives, descriptive information on the support TAFT members provided during each visit, assessments of host country capabilities and progress made toward the establishment of self-sustaining maintenance practices, and details on where, when, and how funds were expended. While this information is not reported in the same manner as State's and USAID's performance data, we determined it appropriate to characterize it as comparable to the setting of objectives and performance indicators as generally carried out by State and USAID. According to PM and DOD officials, PM has contracted with the Center for Naval Analysis to conduct an assessment of TAFT. As of November 2018, the assessment was still underway.

³⁷As discussed in more detail below, in 2017 INL's Office of Western Hemisphere Programs signed a contract to create new performance indicators that are meant to standardize data collection and better capture the impact of INL's assistance in the hemisphere.

Table 4: Examples of Objectives and Performance Indicators for Selected State INL Caribbean Basin Security Initiative (CBSI) Activities

Location of activity	Name of project	Example of objective	Example of performance indicator
Eastern Caribbean	Regional Security System plane refurbishment	Strengthen host country capacity to spot illicit maritime traffic.	Number of successful operations against Regional Security System plane-spotted suspect boats.
Dominican Republic	K-9 program to provide dogs and related supplies to the Dominican government for border security purposes	Strengthen the capacity of the Dominican Law Enforcement agencies at border crossings.	Number of dog and handler teams trained and deployed at border posts.
Jamaica	Plea Bargain Development and Training to Reduce Case Backlog	Improve efficiency of criminal courts.	Case clearance rate.

Source: GAO analysis of the Department of State (State) Bureau of International Narcotics and Law Enforcement Affairs (INL) activity documentation. | GAO-19-201

Note: We selected a non-generalizable sample of 14 INL activities that represent a range of implementing partners, types of activity, and location.

INL Cannot Ensure the Reliability of Its Program Monitoring Data but Is Taking Steps to Address Weaknesses in Western Hemisphere Program Monitoring

INL cannot ensure the reliability of its CBSI program monitoring data but is taking steps to improve its ability to consistently collect and store such data for its activities in the Western Hemisphere, including CBSI activities. We have previously reported that effective program monitoring of foreign assistance requires quality data for performance reporting.³⁸ Specifically, leading practices for monitoring of foreign assistance activities include development of objectives and relevant performance indicators, procedures for assuring quality of data on performance indicators, and submission of performance reports.

According to INL officials, in the absence of a centrally available data management system, program monitoring data is collected and maintained at each embassy. As a result, compiling and providing program monitoring data is time-consuming. For example, when we requested a list of all completed and ongoing INL-funded CBSI activities from fiscal years 2012 through 2017, INL responded that it would take several months to compile that information.

Further, INL officials told us that they cannot ensure the reliability of their program monitoring data because of questions about the comparability of data collected across embassies. During the course of our work, INL

³⁸See GAO, *Foreign Assistance: Selected Agencies' Monitoring and Evaluation Policies Generally Address Leading Practices*, [GAO-16-861R](#) (Washington, D.C.: Sept.27, 2016).

officials at headquarters and overseas told us that program monitoring is conducted differently in every embassy, and program monitoring data is not defined or recorded in a standardized manner. These variations can result in discrepancies in how program performance data is defined and collected. For example, INL officials explained that in order to collect drug seizure information that can be analyzed across countries, the data needs to be collected in the same units of measurement and over the same time period in each country, but currently, they are not. According to INL, absent a standardized data collection process, it is difficult to track data trends across programs.³⁹

INL has expressed concerns about its program monitoring and an inability to centrally collect reliable program monitoring data. In 2015, an independent evaluation of INL's CBSI activities noted that lack of monitoring information hinders INL's efforts to link assistance directly to goals, objectives, and results laid out in the CBSI Results Framework. It recommended that INL prioritize improving internal program monitoring capacity. INL's Functional Bureau Strategy, released in 2018, states that INL's program monitoring efforts are often constrained by the availability of reliable data.

In response to these concerns about program monitoring, the INL office for Western Hemisphere Programs contracted with a private firm in 2017 to improve its program monitoring capabilities by creating new performance indicators meant to standardize data collection across INL's programs in the Western Hemisphere and better capture the impact of INL's assistance. The contract also included the creation of a centralized data management system for collecting and storing the program monitoring data associated with the performance indicators.

According to INL officials and progress reports submitted by the contractor, some progress has been made. To date, the contractors have been studying the availability of data, reviewing existing performance indicators, and proposing new indicators. The contractors have been considering options for designing and building the centralized data

³⁹A recent GAO report examining U.S. assistance for police training in Central America found that INL lacks readily available, reliable data on the total number of police trained because, in part, its data collection process is decentralized and data may be collected differently in each country. See GAO, *Central American Police Training: State and USAID Should Ensure Human Rights Content is Included as Appropriate, and State Should Improve Data*, [GAO-18-618](#) (Washington, D.C.: Sept. 5, 2018)

management system. However, INL officials acknowledge that data challenges remain, such as the issue of how to collect standardized data from each of the embassies and how to build a functioning data management system that is compatible with State requirements. As of October 2018, according to INL officials, the characteristics of the centralized data management system had not yet been determined, and consequently, they are uncertain what capabilities the final data management system will have. Therefore, it is unclear whether the system will allow for the consistent collection and storage of reliable program monitoring data for all CBSI activities and the ability to distinguish these data from those of other Western Hemisphere activities. In the absence of centrally-available, reliable data for CBSI activities, INL may continue to struggle with effective program monitoring for these activities.

Conclusions

The Caribbean region faces a variety of economic and security challenges that jeopardize the region's economic growth and development. Because of close societal ties and geographic proximity, these challenges also threaten U.S. security. CBSI was created to respond to these threats—to provide mutually beneficial assistance that would increase citizen security for residents of the Caribbean region and bolster economic opportunities. However, while U.S. agencies have allocated more than \$560 million to CBSI since 2010, they cannot attest to the initiative's success or failure. State's WHA, which plays the coordinating role for CBSI, has not established an initiative-wide planning and reporting mechanism that ensures CBSI activities are being coordinated to maximize the impact of assistance and prevent overlap, and that provides a means for assessing overall progress. Without such a mechanism, the ability to demonstrate the efficacy of the initiative, and to emphasize positive results that have been achieved, is limited.

Although USAID and State have established objectives and performance indicators for the CBSI activities we reviewed, State does not have a process for centrally collecting and storing reliable program monitoring data for the activities it funds through CBSI, particularly those managed by INL. While INL is taking steps to address these challenges by improving program monitoring across its activities in the western hemisphere, without reliable performance data specific to CBSI, State cannot report comprehensively or accurately on its CBSI activities or track data trends across countries.

Recommendations for Executive Action

We are making the following two recommendations to State:

The Secretary of State should, in consultation with USAID and other stakeholders as appropriate, create an initiative-wide planning and reporting mechanism for CBSI that includes the ability to monitor, evaluate, and report the results of their collaborative efforts (Recommendation 1).

The Secretary of State should ensure that INL's Office of Western Hemisphere Programs develops and implements a data management system for centrally collecting reliable program monitoring data for all INL-funded CBSI activities through its current program monitoring contract or by some other means (Recommendation 2).

Agency Comments and Our Evaluation

We provided a draft of this report to State and USAID, DOD, the Department of Justice, and the Department of Homeland Security for review and comment. In its comments, reproduced in appendix IV, State concurred with our two recommendations. State noted that it plans to develop an updated Results Framework for CBSI that will provide the basis for initiative-wide planning and reporting. State also noted that INL's Office of Western Hemisphere Programs is working through its existing monitoring and evaluation contract to improve centralized data collection and is developing plans for an enhanced data management system that will facilitate the collection and management of both strategic and implementer-reported data. In addition, State reported that INL is developing complementary bureau-wide monitoring and evaluation guidance and procedures to ensure the consistency and reliability of collected data across INL programs, which include CBSI activities. USAID also provided written comments, which we have reproduced in appendix V. State, USAID, DOD, and the Department of Homeland Security provided technical comments, which we have incorporated as appropriate. The Department of Justice reviewed the report but did not provide comments.

We are sending copies of this report to the appropriate congressional committees, the Secretary of State, the Administrator of USAID, and other interested parties. In addition, the report is available at no charge on the GAO website at <http://www.gao.gov>.

If you or your staffs have any questions about this report, please contact me at (202) 512-7141 or groverj@gao.gov. Contact points for our Offices of Congressional Relations and Public Affairs may be found on the last page of this report. GAO staff who made key contributions to this report are listed in appendix VI.



Jennifer Grover
Director, International Affairs and Trade

List of Requesters

The Honorable Eliot Engel
Chairman
Committee on Foreign Affairs
House of Representatives

The Honorable Albio Sires
Chairman
Subcommittee on the Western Hemisphere, Civilian Security, and Trade
Committee on Foreign Affairs
House of Representatives

The Honorable Paul Cook
House of Representatives

The Honorable Jeff Duncan
House of Representatives

The Honorable Adriano Espaillat
House of Representatives

Appendix I: Objectives, Scope and Methodology

We were asked to review security assistance to the Caribbean region provided through the Caribbean Basin Security Initiative (CBSI). In this report we (1) provide information on U.S. funding for CBSI activities, (2) examine the extent to which the U.S. Department of State (State) and U.S. Agency for International Development (USAID), in conjunction with other agencies, have implemented a planning and reporting process for CBSI, and (3) examine the extent to which State and USAID have established objectives and performance indicators to measure the progress of their CBSI activities.

To provide information on U.S. funding for CBSI, we obtained State and USAID data for fiscal years 2010 through 2018. We analyzed these data to determine allocations, unobligated balances, unliquidated obligations, and disbursements by fiscal year, funding account, and country. We compared the data to those previously reported to identify inconsistencies, and interviewed State and USAID officials.¹ We determined these data were sufficiently reliable for reporting allocations, unobligated balances, unliquidated obligations, and disbursements by fiscal year, funding account, and country. To obtain additional detail on the types of assistance provided by the United States, we reviewed activity documentation; interviewed State and USAID officials in Washington, D.C. and traveled to Barbados, the Dominican Republic, and Jamaica to meet with State, USAID, and implementing partner officials. We also observed CBSI activities in these countries. We selected these countries for fieldwork because they were among the countries receiving the largest amount of CBSI funding and the embassies there included CBSI program officials from State and USAID.² The findings from these countries are not generalizable to all CBSI countries.

To determine the extent to which State and USAID have implemented a planning and reporting mechanism for CBSI, we obtained relevant CBSI planning and reporting documents, including State Bureau of International Narcotics and Law Enforcement Affairs (INL) country and regional implementation plans and documents related to the Caribbean-U.S. Security Cooperation Dialogue; and strategy documents such as Integrated Country Strategies, Country Development Cooperation

¹See [GAO-13-367R](#).

²The U.S. embassy in Barbados represents several Caribbean island nations that have been grouped into one program area known as the Eastern Caribbean. These nations include Antigua and Barbuda, Barbados, Dominica, Grenada, St. Kitts and Nevis, St. Lucia, and St. Vincent and the Grenadines.

Strategies, and Functional Bureau Strategies. We also assessed relevant Performance Plans and Reports for Caribbean countries and the Western Hemisphere and interviewed State officials to determine how information on CBSI activities is aggregated and reported on a country level and initiative-wide basis. In addition, we interviewed relevant State and USAID officials in Washington, D.C. and in Barbados, the Dominican Republic, and Jamaica, about their planning processes for CBSI activities. We compared the planning and reporting procedures in place to the key elements for effectively aligning foreign assistance strategies in situations where multiple agencies work together to deliver foreign assistance.³

To determine the extent to which State and USAID have established objectives and performance indicators to measure the progress of CBSI activities, we selected three case study countries—Barbados, the Dominican Republic, and Jamaica. We selected these three countries because they receive the greatest amount of CBSI funding and because they have program officials from State and USAID in their embassies. We requested lists of all ongoing and completed CBSI activities from State and USAID for fiscal years 2012 through 2017 and used the lists to select a non-generalizable sample of activities, 15 implemented by State and 10 by USAID.⁴ The activities were chosen to provide a range of implementing partners, types of activity, and location. We requested State and USAID documentation related to the activities in our sample, including applications for funding, contracts, agreements, program monitoring and progress reports, financial reports, and evaluations. We reviewed the documentation to assess the performance management practices in place for these activities, as well as country-level and regional-level reporting related to the activities—specifically focusing on the use of program objectives and performance indicators, which are

³See [GAO-18-499](#).

⁴For State, we chose 15 activities—14 implemented by the Bureau of International Narcotics and Law Enforcement Affairs (INL) and 1 implemented by the Bureau of Political- Military Affairs (PM). INL did not provide a complete list of its completed and ongoing activities; instead, we worked with INL to select 14 activities based on the partial information INL provided and information gained during our site visits. We chose one PM activity because most of PM's other CBSI activities entail the provision of equipment and associated training, for which program monitoring is less applicable. For USAID, we checked the list of activities provided to us against other information we had received from the agency to ensure the reliability of the information. We originally selected a sample of 13 of 54 USAID activities but subsequently excluded 3 activities from the scope of this review because they began prior to the creation of CBSI. We based our selection of activities on those that are regionally funded and encompass multiple CBSI countries, as well as those taking place in Barbados, the Dominican Republic, and Jamaica.

used to set and measure progress toward program goals.⁵ The objectives and performance indicators in place for these activities do not represent those in place for all CBSI activities, but offer illustrative examples. We compared the performance management practices in place for the sample activities to State and USAID policies.⁶ For the Technical Assistance Field Team (TAFT) program implemented by the Department of Defense (DOD) and the U.S. Coast Guard on behalf of State's Bureau of Political-Military Affairs, we reviewed quarterly reports between fiscal years 2014 and 2018 for performance management information. The TAFT program is designed to provide technical assistance to enhance operational readiness and maintenance of equipment used by CBSI countries. The quarterly reports include articulation of objectives, descriptive information on the support TAFT members provided during each visit, assessments of host country capabilities, and details on where, when, and how funds were expended. While this information is not reported in the same manner as State's and USAID's performance data, we determined it appropriate to treat the information provided in the TAFT quarterly reports as comparable to the setting of objectives and performance indicators as generally carried out by State and USAID. We also interviewed State, USAID, DOD, the Department of Justice, the Department of Homeland Security, and other implementing partner officials in Washington, D.C.; Barbados; the Dominican Republic; and Jamaica; and conducted site visits in these countries to determine the types of performance indicators tracked and reported on for each activity.

We conducted this performance audit from November 2017 to February 2019 in accordance with generally accepted government auditing

⁵We requested from INL all of the associated documentation for the 14 INL activities included in our sample, including, as applicable, documents associated with the award; any monitoring and evaluation plans; required progress/status reports; and final report/evaluation for any completed activities. We analyzed the documentation provided by INL in order to characterize the extent to which INL had established objectives and performance indicators for the INL activities in the sample and to describe how the performance indicators were used to measure progress. We found that INL had not established objectives and indicators for some activities. In response to this finding, INL provided us with additional documentation. Because the documentation was provided after the audit work had been concluded—at the meeting where we summarized our findings for the audit—we were not able to describe how the performance indicators established by INL or implementing partners for INL activities were used to measure progress.

⁶See, for example, 18 FAM 301.1, "Managing for Results Framework;" 18 FAM 301.4, "Department of State Program and Project Design, Monitoring and Evaluation;" and ADS Chapter 201 – Program Cycle Operational Policy.

standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

Appendix II: Funding Data Tables

To demonstrate how funding for Caribbean Basin Security Initiative (CBSI) activities have been allocated, obligated and disbursed, we are providing a status of CBSI funds as of November 2018. Tables 5-9 below show CBSI funding from the International Narcotics Control and Law Enforcement (INCLE); Economic Support Fund (ESF); Nonproliferation, Anti-terrorism, Demining, and Related Programs (NADR); and Development Assistance (DA) accounts. These tables illustrate, by year of appropriation, how U.S. agencies have allocated, obligated, and disbursed funds for activities in CBSI partner countries. Specifically, the tables include unobligated balances—that is, portions of allocated funds that have not yet been obligated—and unliquidated obligations (i.e. obligated balances)—that is, amounts already incurred for which payment has not yet been made.

Table 5: CBSI INCLE Funding for Activities in CBSI Partner Countries, by Year of Appropriation, Fiscal Years (FY) 2010-2018

Dollars in thousands

Country	FY 2010 ^e	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	Total ^e
Bahamas										
Allocated	3,300	2,810	2,648	2,777	3,068	2,341	2,190	1,914	2,600	23,648
Unobligated balance ^a	-	63	148	2	2	24	-	2	2,265	2506
Unliquidated obligations	-	1	-	235	1,155	1,797	1,848	1,425	12	6,474
Disbursed ^b	-	2,746	2,500	2,540	1,911	520	342	487	324	11369
Dominican Republic^c										
Allocated	-	8,300	5,287	10,817	5,456	7,172	7,211	5,856	7,550	57,649
Unobligated balance ^a	-	91	26	52.85	19	17	28	-	7,079	7,314
Unliquidated obligations	-	3	-	985	1,321	3,740	4,165	5,128	3	15,344
Disbursed ^b	-	8,207	5,261	9,780	4,115	3,415	3,017	728	468	34,991
Eastern Caribbean										
Allocated	10,894	5,100	2,491	2,803	2,269	2,776	3,481	2,378	2,655	34,847
Unobligated balance	-	77	51	24	13	9	20	-	2,230	2,426
Unliquidated obligations	-	23	-	367	661	1,475	1,692	1,759	45	6,022
Disbursed ^b	-	5,000	2,440	2,412	1,595	1,292	1,769	618	380	15,505

Appendix II: Funding Data Tables

Country	FY 2010^e	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	Total^e
Guyana										
Allocated	100	600	895	920	1,163	739	462	491	410	5,780
Unobligated balance	-	64	11	1	3	31	4	-	410	524
Unliquidated obligations	-	-	-	1	402	137	403	482	-	1,424
Disbursed	-	535	884	918	758	572	55	9	-	3,732
Jamaica										
Allocated	3,812	4,600	4,838	2,949	3,898	3,547	2,604	1,601	2,415	30,264
Unobligated balance	-	182	6	1	17	17	-	1	2,072	2,296
Unliquidated obligations	-	2	-	123	1,313	1,127	2,137	1,207	8	5,916
Disbursed ^b	-	4,417	4,832	2,825	2,568	2,403	467	393	335	18,240
Suriname										
Allocated	100	640	1,251	416	16	23	41	43	75	2,605
Unobligated balance	-	87	23	-	-	-	5	4	48	167
Unliquidated obligations	-	-	-	182	-	-	-	-	1	183
Disbursed ^b	-	552	1,228	234	16	23	36	39	26	2,155
Trinidad and Tobago										
Allocated	600	1,400	1,969	1,854	2,130	2,152	1,564	942	1,095	13,706
Unobligated balance	-	14	21	24	18	-	17	-	969	1,063
Unliquidated obligations	-	-	-	167	917	1,543	1,366	804	2	4,799
Disbursed ^b	-	1,386	1,948	1,663	1,194	609	181	138	124	7,243
Regional^d										
Allocated	16,520	14,050	10,621	7,464	7,000	6,750	7,784	11,976	8,400	90,565
Unobligated balance	-	58	474	448	54	16	133	-	7,524	8,707
Unliquidated obligations	-	71	-	177	738	28	731	7,893	247	9,886
Disbursed ^b	-	13,921	10,147	6,839	6,207	6,705	6,920	4,084	629	55,453

Legend: CBSI = Caribbean Basin Security Initiative, INCLE = International Narcotics and Law Enforcement account.

Source: GAO analysis of Department of State (State) data. | GAO-19-201

Notes: Data are as of November 2018.

Amounts have been rounded to the nearest thousand and therefore may not sum to totals. In International Narcotics and Law Enforcement Bureau financial tracking, disbursed amounts are labeled as dispensed amounts and allocated amounts are labeled as values allocated.

Appendix II: Funding Data Tables

^aAccording to State officials, unobligated balances from fiscal years 2010 through 2017 are no longer available for obligation. Unobligated balances from fiscal year 2018 are available for new obligations until September 30, 2019.

^bAccording to State officials, payments applied to an obligation in the accounting system are recorded as disbursements or liquidations for INCLE.

^cFiscal year 2010 funding for the Dominican Republic is considered bilateral and not part of CBSI. Fiscal year 2011 was the first year that State included funds for the Dominican Republic under CBSI.

^d“Regional” refers to funding for region-wide programs in the Caribbean that is not tied to a program in a specific country.

^eAccording to State officials, unliquidated obligations, disbursed amounts, and unobligated balances were omitted for fiscal year 2010. These officials noted that, although information is obtainable from the accounting system, domestic obligations were created in shared allotments in this fiscal year, and it would take a substantial amount of time to reconcile transactions for 80+ countries to be able to properly report this information. Consequently, totals of unliquidated obligations, disbursed amounts, and unobligated balances do not include fiscal year 2010 data.

Table 6: CBSI ESF Funding Managed by USAID for Activities in CBSI Partner Countries, by Year of Appropriation, Fiscal Years (FY) 2010-2018

Dollars in thousands

Country	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	Total
Dominican Republic										
Allocated	5,400	4,490	4,590	4,590	6,574	7,400	8,500	8,870	7,000	57,414
Unobligated balance ^a	-	-	-	-	-	-	-	-	7,000	7,000
Unliquidated obligations ^b	849	1,046	1	199	373	956	381	8,430	-	12,234
Disbursed ^c	4,551	3,444	4,589	4,391	6,201	6,444	8,119	440	-	38,180
Eastern Caribbean										
Allocated	1,600	7,590	7,265	8,067	13,209	9,000	3,775	8,000	9,000	67,506
Unobligated balance ^a	-	-	-	-	-	-	-	-	9,000	9,000
Unliquidated obligations ^b	-	69	25	225	5,280	1,275	3,015	7,949	-	17,839
Disbursed ^c	1,600	7,521	7,240	7,842	7,929	7,725	760	51	-	40,667
Guyana										
Allocated	1,300	-	-	-	-	-	-	-	-	1,300
Unobligated balance ^a	-	-	-	-	-	-	-	-	-	-
Unliquidated obligations ^b	-	-	-	-	-	-	-	-	-	-
Disbursed ^c	1,300	-	-	-	-	-	-	-	-	1,300
Jamaica										
Allocated	5,700	4,845	5,145	6,145	8,967	10,500	11,500	8,000	8,670	69,472
Unobligated balance ^a	-	-	-	-	-	-	-	-	8,670	8,670
Unliquidated obligations ^b	150	5	-	11	1,480	2,829	4,909	7,950	-	17,334
Disbursed ^c	5,550	4,840	5,145	6,134	7,487	7,671	6,591	50	-	43,468

Appendix II: Funding Data Tables

Country	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	Total
Regional^d										
Allocated	-	-	-	-	450	100	-	130	330	1,010
Unobligated balance ^a	-	-	-	-	-	-	-	-	330	330
Unliquidated obligations ^b	-	-	-	-	14	-	-	130	-	144
Disbursed ^c	-	-	-	-	436	100	-	-	-	536

Legend: CBSI = Caribbean Basin Security Initiative, ESF = Economic Support Fund account.

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-19-201

Notes: Data are as of November 2018.

Amounts have been rounded to the nearest thousand and therefore may not sum to totals.

According to USAID, the implementation of many of its CBSI activities did not begin until fiscal year 2012.

^aAccording to USAID officials, unobligated balances from fiscal year 2010 through 2017 are no longer available for new obligations. Unobligated balances from fiscal year 2018 are available for obligation until September 30, 2019.

^bAccording to USAID officials, amounts that have been obligated but not disbursed or expensed and remain as uninvoiced or unpaid are recorded as unliquidated obligations for ESF and DA.

^cAccording to USAID officials, payments that the agency has made to other parties, using cash, checks, or electronic transfers are recorded as disbursements for ESF and DA.

^d"Regional" refers to funding for region-wide programs in the Caribbean that is not tied to a program in a specific country.

Table 7: CBSI ESF Funding Managed by State for Activities in CBSI Partner Countries, by Year of Appropriation, Fiscal Years (FY) 2010-2018

Dollars in thousands

Country	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	Total
Barbados										
Allocated	-	75	-	-	-	-	-	-	-	75
Unobligated balance	-	-	-	-	-	-	-	-	-	-
Unliquidated obligations	-	-	-	-	-	-	-	-	-	-
Disbursed ^a	-	75	-	-	-	-	-	-	-	75

Legend: CBSI = Caribbean Basin Security Initiative, ESF = Economic Support Fund account.

Source: GAO analysis of Department of State (State) data. | GAO-19-201

Notes: Data are as of November 2018.

Amounts have been rounded to the nearest thousand and therefore may not sum to totals.

^aAccording to State officials, payments that the agency has made to other parties, using cash, checks, or electronic transfers are recorded as disbursements for ESF.

Table 8: CBSI DA Funding for Activities in CBSI Partner Countries, by Year of Appropriation, Fiscal Years (FY) 2010-2018

Dollars in thousands

Country	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	Total
Eastern Caribbean										
Allocated	6,000	-	-	-	-	-	-	-	-	6,000
Unobligated balance	-	-	-	-	-	-	-	-	-	-
Unliquidated obligations	-	-	-	-	-	-	-	-	-	-
Disbursed ^a	6,000	-	-	-	-	-	-	-	-	6,000

Legend: CBSI = Caribbean Basin Security Initiative, DA = Development Assistance account

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-19-201

Notes: Data are as of November 2018.

Amounts have been rounded to the nearest thousand and therefore may not sum to totals.

According to USAID, the implementation of many of its CBSI activities did not begin until fiscal year 2012.

^aAccording to USAID officials, payments that the department has made to other parties, using cash, checks, or electronic transfers are recorded as disbursements for ESF and DA.**Table 9: CBSI NADR Funding for Activities in CBSI Partner Countries, by Year of Appropriation, Fiscal Years (FY) 2010-2018**

Dollars in thousands

Country	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	Total
NADR-EXBS										
Regional ^a										
Allocated	-	3,817	-	-	-	-	-	-	-	3,817
Unobligated balance ^b	-	182	-	-	-	-	-	-	-	182
Unliquidated obligations ^c	-	16	-	-	-	-	-	-	-	16
Disbursed	-	3,619	-	-	-	-	-	-	-	3,619
NADR-ATA										
Bahamas										
Allocated	260	525	300	300	250	250	-	-	-	1,885
Unobligated balance ^b	-	56	88	26	6	3	-	-	-	179
Unliquidated obligations ^c	-	-	-	13	16	29	-	-	-	57
Disbursed	-	469	212	262	229	218	-	-	-	1,389
Barbados/Eastern Caribbean										
Allocated	315	100	-	-	-	-	-	-	-	415
Unobligated balance ^b	-	10	-	-	-	-	-	-	-	10
Unliquidated obligations ^c	-	-	-	-	-	-	-	-	-	-
Disbursed	-	90	-	-	-	-	-	-	-	90

Appendix II: Funding Data Tables

Country	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	Total
Dominican Republic										
Allocated	45	500	491	500	450	400	-	-	-	2,386
Unobligated balance ^b	-	52	34	11	19	3	-	-	-	119
Unliquidated obligations ^c	-	-	-	7	5	123	-	-	-	135
Disbursed	-	448	457	481	426	274	-	-	-	2,086
Guyana										
Allocated	-	-	-	-	-	-	-	-	-	-
Unobligated balance ^b	-	-	-	-	-	-	-	-	-	-
Unliquidated obligations ^c	-	-	-	-	-	-	-	-	-	-
Disbursed	-	-	-	-	-	-	-	-	-	-
Jamaica										
Allocated	245	500	597	600	550	400	-	-	-	2,892
Unobligated balance ^b	-	53	51	3	30	1	-	-	-	138
Unliquidated obligations ^c	-	-	2	11	20	127	-	-	-	159
Disbursed	-	447	544	587	501	272	-	-	-	2,350
Suriname										
Allocated	-	-	-	-	-	-	-	-	-	-
Unobligated balance ^b	-	-	-	-	-	-	-	-	-	-
Unliquidated obligations ^c	-	-	-	-	-	-	-	-	-	-
Disbursed	-	-	-	-	-	-	-	-	-	-
Trinidad and Tobago										
Allocated	185	375	585	600	550	450	-	-	-	2,745
Unobligated balance ^b	-	39	122	21	24	36	-	-	-	242
Unliquidated obligations ^c	-	-	-	1	19	122	-	-	-	142
Disbursed	-	337	464	578	507	292	-	-	-	2,178
Regional^a										
Allocated	-	-	-	-	-	-	-	-	-	-
Unobligated balance ^b	-	-	-	-	-	-	-	-	-	-
Unliquidated obligations ^c	-	-	-	-	-	-	-	-	-	-
Disbursed	-	-	-	-	-	-	-	-	-	-

Legend: CBSI = Caribbean Basin Security Initiative, NADR = Nonproliferation, Anti-terrorism, Demining, and Related Programs account
Source: GAO analysis of Department of State (State) data. | GAO-19-201

Notes: Data are as of November 2018.

Amounts have been rounded to the nearest thousand and therefore may not sum to totals.

^a"Regional" refers to funding for region-wide programs in the Caribbean that is not tied to a program in a specific country.

^bAccording to State officials, unobligated balances from fiscal year 2010 through 2017 are no longer available for new obligations.

Appendix III: Status of Caribbean Basin Security Initiative Foreign Military Financing Account Funds

Table 10 below provides the status of Caribbean Basin Security Initiative (CBSI) Foreign Military Financing (FMF) funds as of November 2018. The presentation of FMF allocations and commitments in this table is different from presentations on allocations, obligations, and disbursements of the other CBSI accounts in tables 5-9 in appendix II because FMF funds are budgeted and tracked in a different way.

The Defense Security Cooperation Agency (DSCA) and the Defense Financing and Accounting Service (DFAS) are responsible for the financial systems that account for FMF funds as well as for tracking the implementation and expenditure of those funds. According to DSCA officials, FMF funds are obligated on apportionment. Further, DSCA's system can track only uncommitted and committed amounts, not unliquidated obligations or disbursements, of FMF funds. DFAS tracks obligations and disbursements using the Defense Integrated Finance System; however, there is no direct link between the DSCA and DFAS systems and the DFAS system does not track funding for specific initiatives, such as CBSI.

Table 10: CBSI FMF Funding for Activities in CBSI Partner Countries, by Year of Appropriation, Fiscal Years 2010-2018

Dollars in thousands

Country	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	Total
Antigua and Barbuda										
Allocated	1,755	365	425	370	360	290	450	300	235	4,550
Unobligated balance	-	-	-	-	-	-	-	-	-	
Uncommitted	-	-	-	-	-	-	-	300	235	535
Committed	1,755	365	425	370	360	290	450	-	-	4,015
Bahamas										
Allocated	-	2,300	1,185	500	493	515	1,360	500	2,500	9,353
Unobligated balance	-	-	-	-	-	-	-	-	-	
Uncommitted	-	-	-	-	-	315	84	500	2,500	3,399
Committed	-	2,300	1,185	500	493	200	1,276	-	-	5,954
Barbados										
Allocated	311	364	280	340	-	290	280	250	370	2,485
Unobligated balance	-	-	-	-	-	-	-	-	-	
Uncommitted	-	-	-	-	-	-	-	-	370	370
Committed	311	364	280	340	-	290	280	250	-	2,115
Dominica										
Allocated	1,929	364	425	370	360	290	510	463	635	5,346

**Appendix III: Status of Caribbean Basin
Security Initiative Foreign Military Financing
Account Funds**

Country	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	Total
Unobligated balance	-	-	-	-	-	-	-	-	-	-
Uncommitted	-	-	-	-	-	-	-	463	635	1,098
Committed	1,929	364	425	370	360	290	510	-	-	4,248
Dominican Republic										
Allocated	-	2,250	2,750	440	2,150	1,320	1,000	700	1,120	11,730
Unobligated balance	-	-	-	-	-	-	-	-	-	-
Uncommitted	-	-	-	-	-	-	450	405	1,120	1,975
Committed	-	2,250	2,750	440	2,150	1,320	550	295	-	9,755
Grenada										
Allocated	1,850	364	283	345	360	290	520	396	407	4,816
Unobligated balance	-	-	-	-	-	-	-	-	-	-
Uncommitted	-	-	-	-	-	-	-	331	407	738
Committed	1,850	364	283	345	360	290	520	65	-	4,078
Guyana										
Allocated	1,749	650	272	400	307	400	300	-	-	4,078
Unobligated balance	-	-	-	-	-	-	-	-	-	-
Uncommitted	451	-	-	127	307	400	300	-	-	1,585
Committed	1,298	650	272	273	-	-	-	-	-	2,493
Jamaica										
Allocated	-	1,000	2,875	550	930	500	-	1,525	200	7,580
Unobligated balance	-	-	-	-	-	-	-	-	-	-
Uncommitted	-	542	495	91	500	500	-	1,525	200	3,852
Committed	-	458	2,380	459	430	-	-	-	-	3,728
St. Kitts and Nevis										
Allocated	1,929	364	283	350	360	290	760	325	435	5,096
Unobligated balance	-	-	-	-	-	-	-	-	-	-
Uncommitted	-	-	-	-	-	-	-	325	435	760
Committed	1,929	364	283	350	360	290	760	-	-	4,336
St. Lucia										
Allocated	109	-	-	-	-	-	-	-	-	109
Unobligated balance	-	-	-	-	-	-	-	-	-	-
Uncommitted	-	-	-	-	-	-	-	-	-	-
Committed	109	-	-	-	-	-	-	-	-	109
St. Vincent and the Grenadines										
Allocated	1,850	364	983	345	360	290	520	350	250	5,313
Unobligated balance	-	-	-	-	-	-	-	-	-	-

**Appendix III: Status of Caribbean Basin
Security Initiative Foreign Military Financing
Account Funds**

Country	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	Total
Uncommitted	-	-	-	-	-	-	-	250	250	500
Committed	1,850	364	983	345	360	290	520	100		4,813
Suriname										
Allocated	351	500		300	320	-	-	-	-	1,471
Unobligated balance	-	-	-	-	-	-	-	-	-	-
Uncommitted	-	-	-	-	-	-	-	-	-	-
Committed	351	500	-	300	320	-	-	-	-	1,471
Trinidad and Tobago										
Allocated	331	500	240	400	300	300	300	1,281	600	4,252
Unobligated balance	-	-	-	-	-	-	-	-	-	-
Uncommitted	-	232	-	-	-	-	300	1,281	600	2,413
Committed	331	268	240	400	300	300	-	-	-	1,839
Regional Security System										
Allocated	735	200	-	-	200	225	385	260	200	2,206
Unobligated balance	-	-	-	-	-	-	-	-	-	-
Uncommitted	55	146	-	-	-	-	-	260	200	661
Committed	680	54	-	-	200	225	385	-	-	1,545
Regional Domain Awareness - Cooperative Situational Information Integration Initiative										
Allocated	1,600	1,725	-	-	-	-	-	-	-	3,325
Unobligated balance	-	-	-	-	-	-	-	-	-	-
Uncommitted	-	-	-	-	-	-	-	-	-	-
Committed	1,600	1,725	-	-	-	-	-	-	-	3,325
CBSI Technical Assistance Field Team										
Allocated	-	4,792	5,000	4,784	1,000	-	1,115	1,150	548	18,389
Unobligated balance	-	-	-	-	-	-	-	-	-	-
Uncommitted	-	-	-	-	-	-	-	1,150	548	1,698
Committed	-	4,792	5,000	4,784	1,000	-	1,115	-	-	16,691
Maritime Strategy										
Allocated	-	-	-	-	-	-	-	-	-	-
Unobligated balance	-	-	-	-	-	-	-	-	-	-
Uncommitted	-	-	-	-	-	-	-	-	-	-
Committed	-	-	-	-	-	-	-	-	-	-

Legend: CBSI = Caribbean Basin Security Initiative, FMF = Foreign Military Financing account

Source: GAO analysis of Department of State (State) data. | GAO-19-201

Notes: Data are as of November 2018.

Amounts have been rounded to the nearest thousand and therefore may not sum to totals.

**Appendix III: Status of Caribbean Basin
Security Initiative Foreign Military Financing
Account Funds**

Note 1: In this report, “uncommitted” amounts represent FMF obligations not yet committed for expenditure.

Note 2: In this report, “committed” amounts include FMF funding that has been committed but not yet disbursed and FMF funding that has been disbursed to a case.

Appendix IV: Comments from the Department of State



United States Department of State

Comptroller

Washington, D.C. 20520

December 31, 2018

Thomas Melito
Managing Director
International Affairs and Trade
Government Accountability Office
441 G Street, N.W.
Washington, D.C. 20548-0001

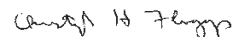
Dear Mr. Melito:

We appreciate the opportunity to review your draft report, "SECURITY ASSISTANCE: U.S. Agencies Should Establish a Mechanism to Assess Caribbean Basin Security Initiative Progress," GAO Job Code 102434.

The enclosed Department of State comments are provided for incorporation with this letter as an appendix to the final report.

If you have any questions concerning this response, please contact Michael Wautlet, Foreign Service Officer, Office of Caribbean Affairs, Bureau of Western Hemisphere Affairs at (202) 647-4719.

Sincerely,


Christopher H. Flagg

Enclosure:
As stated

cc: GAO – Jennifer Grover
WHA – Julie Chung
INL – James Walsh (Acting)
OIG - Norman Brown

Department of State Comments on GAO Draft Report

SECURITY ASSISTANCE: U.S. Agencies Should Establish a Mechanism to Assess Caribbean Basin Security Initiative Progress
(GAO-19-201, GAO Code 102434)

Thank you for the opportunity to comment on the GAO draft report, *U.S. Agencies Should Establish a Mechanism to Assess Caribbean Basin Security Initiative Progress*.

The Department of State strives to ensure foreign assistance supports U.S. national security priorities, and programs are accountable to the purposes for which Congress appropriated the funds. In support of the security pillar of the U.S.-Caribbean 2020 strategy, the Caribbean Basin Security Initiative (CBSI) partners with Caribbean governments to improve citizen security, reduce illicit drug trafficking, strengthen the rule of law, prevent youth crime and violence, and improve the effectiveness and longevity of CBSI efforts. Transnational crime and illicit trafficking continue to have an increasingly destabilizing effect on Caribbean countries, where well-funded transnational criminal elements take advantage of weak national and regional law enforcement and security systems and exploit porous maritime and land borders. The geographic reach and small size of the majority of Caribbean nations present unique challenges to combined efforts to counter illicit trafficking. CBSI reflects an expanding rule of law partnership between the United States and the nations of the Caribbean to combat illicit trafficking and other transnational crime that threaten U.S. security.

Recommendation 1: The Secretary of State should, in consultation with the U.S. Agency for International Development (USAID) and other stakeholders as appropriate, create an initiative-wide planning and reporting mechanism for CBSI that includes the ability to monitor, evaluate, and report the results of their collaborative efforts.

The Department accepts this recommendation.

CBSI programming draws upon the resources and expertise of various offices within the Department of State, including the Bureau of Western Hemisphere Affairs (WHA), the Bureau of International Narcotics and Law Enforcement Affairs (INL), and the Bureau of Political Military Affairs (PM), as well as USAID and other agencies for an integrated approach. WHA's Office of Caribbean Affairs (CAR) will coordinate with stakeholders all CBSI activities and engagement. CAR will work with WHA's Office of Policy Planning and Coordination (PPC) on strategy development and the selection and funding of CBSI activities. PPC in coordination with CAR and other stakeholders will oversee the monitoring and evaluation of CBSI activities, as well as developing an updated CBSI Results Framework. This mechanism will leverage CBSI-wide monitoring and evaluation information and provide the basis for initiative-wide planning and reporting. In October 2018, WHA/CAR initiated a process to coordinate all security-related programs, activities, and engagement by U.S. departments and agencies in the Caribbean.

Recommendation 2: The Secretary of State should ensure that the Bureau of International Narcotics and Law Enforcement Affairs (INL) Office of Western Hemisphere Programs develops and implements a data management system for centrally collecting reliable

program monitoring data for all INL-funded CBSI activities through its current program monitoring contract or by some other means.

The Department accepts this recommendation.

INL's Office of Western Hemisphere Programs is working through its existing monitoring and evaluation contract to improve centralized data collection and is developing plans for an enhanced data management system that will facilitate the collection and management of both strategic and implementer-reported data. INL is also developing complementary bureau-wide monitoring and evaluation guidance and procedures to ensure the consistency and reliability of collected data across INL programs, which include CBSI activities.

Appendix V: Comments from the U.S. Agency for International Development



January 29, 2019

Jennifer Grover
Director, International Affairs and Trade
U.S. Government Accountability Office
441 G Street, N.W.
Washington, D.C. 20548

Re: SECURITY ASSISTANCE: U.S. Agencies Should Establish a Mechanism to Assess Caribbean Basin Security Initiative Progress (GAO-19-201)

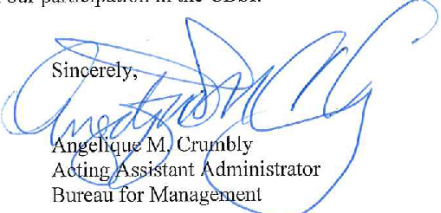
Dear Ms. Grover:

I am pleased to provide the formal response of the U.S. Agency for International Development (USAID) to the draft report of the U. S. Government Accountability Office (GAO) entitled, "*SECURITY ASSISTANCE: U.S. Agencies Should Establish a Mechanism to Assess Caribbean Basin Security Initiative Progress*" (GAO-19-201). USAID worked closely with the U.S. Department of State, as part of the interagency effort to formulate the formal response to this draft report.

USAID concurs with the GAO's recommendation to the Department of State to create an initiative-wide planning and reporting mechanism for the Caribbean Basin Security Initiative (CBSI) that includes the ability to monitor, evaluate, and report the results of our collaborative efforts. USAID will cooperate fully in this process. USAID's Bureau for Latin American and Caribbean Affairs currently tracks the progress of our programs under the CBSI through the indicator data we collect from each Mission in preparation for inputs to the Department of State's Performance Plan and Report (PPR). We take monitoring, evaluating, and reporting very seriously, and fully support updating the CBSI Results Framework and developing an initiative-wide mechanisms for planning and reporting. We look forward to drawing upon the practices we already have in place, such as compiling indicator data from each of our Missions, to contribute to the implementation of the GAO's report recommendation.

I am transmitting this letter and the enclosed USAID comments for inclusion in GAO's final report. Thank you for the opportunity to respond to the draft report, and for the courtesies extended by your staff while conducting this engagement. We appreciate the opportunity to participate in the complete and thorough evaluation of our participation in the CBSI.

Sincerely,


Angelique M. Crumbly
Acting Assistant Administrator
Bureau for Management

Enclosure: a/s

**COMMENTS BY THE U. S. AGENCY FOR INTERNATIONAL DEVELOPMENT ON
THE DRAFT REPORT PRODUCED BY THE U. S. GOVERNMENT
ACCOUNTABILITY OFFICE (GAO) ENTITLED, “*SECURITY ASSISTANCE: U.S.
Agencies Should Establish a Mechanism to Assess Caribbean Basin Security Initiative
Progress*” (GAO-19-201)**

The U. S. Agency for International Development (USAID) would like to thank the GAO for the opportunity to provide comments in response to its draft report. We appreciate the extensive work of the GAO engagement team.

Under the leadership of the Department of State, USAID participates in the Caribbean Basin Security Initiative (CBSI) to decrease threats to the safety of U.S. citizens and the region. USAID concurs with the GAO’s recommendation to the Department of State to create an initiative-wide mechanism for planning and reporting for CBSI that includes the ability to monitor, evaluate, and report the results of our collaborative efforts. USAID will cooperate fully in this process.

We appreciate the acknowledgment that USAID sets strategic goals and priorities with CBSI partner countries by using our Country Development Cooperation Strategies as the basis for planning our activities under the CBSI in each country, and by using the CBSI Results Framework as guidance. We also appreciate the acknowledgment that USAID and our implementing partners have established objectives and performance indicators for our CBSI activities, and have been measuring and reporting on their progress.

Appendix VI: GAO Contact and Staff Acknowledgments

GAO Contact:

Jennifer Grover, (202) 512-7141, or groverj@gao.gov

Staff

Acknowledgments:

In addition to the contact named above, Thomas Costa (Assistant Director), Jennifer Young, Martin Wilson, Peter Choi, Debbie Chung, Benjamin Licht, Martin de Alteriis, Neil Doherty, and Mark Dowling made key contributions to this report.

GAO's Mission

The Government Accountability Office, the audit, evaluation, and investigative arm of Congress, exists to support Congress in meeting its constitutional responsibilities and to help improve the performance and accountability of the federal government for the American people. GAO examines the use of public funds; evaluates federal programs and policies; and provides analyses, recommendations, and other assistance to help Congress make informed oversight, policy, and funding decisions. GAO's commitment to good government is reflected in its core values of accountability, integrity, and reliability.

Obtaining Copies of GAO Reports and Testimony

The fastest and easiest way to obtain copies of GAO documents at no cost is through GAO's website (<https://www.gao.gov>). Each weekday afternoon, GAO posts on its website newly released reports, testimony, and correspondence. To have GAO e-mail you a list of newly posted products, go to <https://www.gao.gov> and select "E-mail Updates."

Order by Phone

The price of each GAO publication reflects GAO's actual cost of production and distribution and depends on the number of pages in the publication and whether the publication is printed in color or black and white. Pricing and ordering information is posted on GAO's website, <https://www.gao.gov/ordering.htm>.

Place orders by calling (202) 512-6000, toll free (866) 801-7077, or TDD (202) 512-2537.

Orders may be paid for using American Express, Discover Card, MasterCard, Visa, check, or money order. Call for additional information.

Connect with GAO

Connect with GAO on [Facebook](#), [Flickr](#), [Twitter](#), and [YouTube](#).
Subscribe to our [RSS Feeds](#) or [E-mail Updates](#). Listen to our [Podcasts](#).
Visit GAO on the web at <https://www.gao.gov>.

To Report Fraud, Waste, and Abuse in Federal Programs

Contact:

Website: <https://www.gao.gov/fraudnet/fraudnet.htm>

Automated answering system: (800) 424-5454 or (202) 512-7700

Congressional Relations

Orice Williams Brown, Managing Director, WilliamsO@gao.gov, (202) 512-4400, U.S. Government Accountability Office, 441 G Street NW, Room 7125, Washington, DC 20548

Public Affairs

Chuck Young, Managing Director, youngc1@gao.gov, (202) 512-4800, U.S. Government Accountability Office, 441 G Street NW, Room 7149, Washington, DC 20548

Strategic Planning and External Liaison

James-Christian Blockwood, Managing Director, spel@gao.gov, (202) 512-4707, U.S. Government Accountability Office, 441 G Street NW, Room 7814, Washington, DC 20548



Please Print on Recycled Paper.