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United States Mission to the United Nations

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Under Secretary for Civilian Security, Democracy and Human Rights (J)

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Educational and Cultural Affairs (ECA)
Assistant Secretary

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Comptroller, Global Financial Services (CGFS)
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European and Eurasian Affairs (EUR)
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Western Hemisphere Affairs (WHA)
Assistant Secretary

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Assistant Secretary

International Security and Nonproliferation (ISN)
Assistant Secretary

Global Public Affairs (GPA)
Assistant Secretary

Budget and Planning (BP)
Director

Human Resources (DGHR)
Director General of the Foreign Service and Director of Human Resources

Counterterrorism and Countering Violent Extremism (CT)
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Assistant Secretary

International Organizations (IO)
Assistant Secretary

Oceans and Int'l Environmental and Scientific Affairs (OES)
Assistant Secretary

Political-Military Affairs (PM)
Assistant Secretary

Consular Affairs (CA)
Assistant Secretary

Information Resource Management (IRM)
Chief Information Officer*

Democracy, Human Rights, and Labor (DRL)
Assistant Secretary

Near Eastern Affairs (NEA)
Assistant Secretary

Office of the Chief Economist (OCE)

Diplomatic Security (DS)
Assistant Secretary*

Bureau of Medical Services (MED)
Director

International Narcotics and Law Enforcement (INL)
Assistant Secretary

Office of the Science and Technology Adviser to the Secretary (STAS)

Foreign Service Institute (FSI)
Director

Overseas Buildings Operations (OBO)
Director

Population, Refugees and Migration (PRM)
Assistant Secretary

Office of Foreign Missions (M/OFM)
Director

Office of Management Policy, Rightsizing and Innovation (M/PR I)
Director

Office to Monitor and Combat Trafficking in Persons (TIP)
Ambassador-At-Large

Intelligence and Research (INR)
Assistant Secretary

Legislative Affairs (H)
Assistant Secretary

Office of the Legal Adviser (L)
Legal Adviser

Office of Inspector General (OIG)
Inspector General

Office of Policy Planning (S/P)
Director

Office of the Chief of Protocol (S/CPR)
Ambassador

Office of Civil Rights (S/OCR)
Director

Office of Global Women's Issues (S/GWI)
Ambassador-At-Large

Office of the U.S. Global AIDS Coordinator & Health Diplomacy (S/GAC)
Ambassador-At-Large

Special Envoys and Special Representatives

Office of Global Criminal Justice (GCJ)
Ambassador-At-Large

* The head of these organizations report directly to S for certain purposes



The Secretary's Policy Statement on Harassment

All employees are responsible for promoting a workplace free of discrimination, including harassment. Any conduct at the State Department, including in all facilities under chief of mission authority, that departs from the requirements established by the anti-harassment policies contained in 3 FAM 1525/26 may result in disciplinary action. Our workplace must uphold American values, respect our laws, allow all employees to reach their full potential, and enable the Department to carry out our mission.

Harassment comes in many forms, including words or actions that are unprofessional, painful, and demeaning. It unnecessarily distracts the team from the ability to focus on our mission and deprives the Department of talent, full engagement, and maximum productivity. It affects the mission and, more important, the *esprit de corps* of the Department.

Supervisors and other responsible Department officials must promptly report all allegations of harassment to S/OCR. Failure to report such incidents may result in discipline. The Department is committed to holding people accountable for discriminatory behavior and for not reporting such behavior.

I expect all managers to hold employees accountable for any misconduct, just as senior leaders will hold managers at all levels accountable for the same. Department leadership will not tolerate retaliation against individuals who participate in harassment inquiries or who oppose discrimination, including harassment.

If you feel you are being subjected to or witness workplace harassment, you should immediately report the behavior to your supervisor and/or a representative from the Office of Civil Rights (S/OCR), which has responsibility for investigating harassment. Officials from that office can explain your rights in pursuing a harassment inquiry or EEO complaint. Harassment should be reported to S/OCR no matter when it occurred.

As the world's best diplomatic corps, we must continue to support and look out for one another.

This Department is a family of professionals who work side-by-side every day to practice the crucial art of diplomacy. We owe it to each other to help ensure that the Department of State is a workplace free from harassment and discrimination.

A handwritten signature in black ink that reads "Michael R. Pompeo". The signature is written in a cursive style with a large, stylized initial "M".

Michael R. Pompeo



JOINT STRATEGIC PLAN FY 2018 - 2022

*U.S. Department of State
U.S. Agency for International Development*

FEBRUARY 2018





STATE-USAID JOINT STRATEGIC GOAL FRAMEWORK

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

1.1: Counter the Proliferation of Weapons of Mass Destruction (WMD) and their Delivery Systems

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

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

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

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

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

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

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

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

Goal 3: Promote American Leadership through Balanced Engagement

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

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

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

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

Goal 4: Ensure Effectiveness and Accountability to the American Taxpayer

4.1: Strengthen the effectiveness and sustainability of our diplomacy and development investments

4.2: Provide modern and secure infrastructure and operational capabilities to support effective diplomacy and development

4.3: Enhance workforce performance, leadership, engagement, and accountability to execute our mission efficiently and effectively

4.4: Strengthen security and safety of workforce and physical assets



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MESSAGE FROM THE SECRETARY

I am pleased to submit the Joint Strategic Plan of the U.S. Department of State and the United States Agency for International Development (USAID) for Fiscal Years 2018 to 2022. The Department and USAID share the goal of promoting and demonstrating democratic values and advancing a free, peaceful, and prosperous world on behalf of the American people. Together we work to advance America's interests by strengthening our allies and alliances, deepening our security relationships, and countering threats to the American people and our homeland. Our agencies cooperate closely to ensure that our foreign policy and development activities are successfully achieving the objectives of the National Security Strategy of the United States.

The United States faces a 21st century global environment that presents challenges to our national and economic security from traditional state actors, as well as unconventional threats from non-state actors. Regardless of the forms these threats take, or the methods they use, we must remain vigilant against those who would do harm to our nation, our people, and our way of life. We must leverage America's competitive advantages

to achieve sustained economic growth and job creation. We must promote American leadership through balanced engagement and principled realism to ensure the effectiveness of our mission and accountability to the American taxpayer. The Joint Strategic Plan (JSP) articulates these foreign policy and development priorities, thereby placing strategic clarity, operational effectiveness, and accountability to the American people. The JSP also identifies performance goals against which we will measure our progress.

Driven by our democratic principles, the Department of State and USAID will work to achieve the goals of the JSP. Doing so with the utmost effectiveness requires future-focused leadership, a closer alignment of resources with strategic priorities, and modernized tools and systems that allow us to better utilize our time and succeed in our mission. I have confidence our foreign policy and development goals will be accomplished through the efforts of our patriotic and dedicated Department of State and USAID personnel, who serve faithfully each day to ensure our citizens' right to life, liberty, and pursuit of happiness.



A handwritten signature in black ink that reads "Rex W. Tillerson".

Rex W. Tillerson
Secretary of State



MESSAGE FROM THE ADMINISTRATOR

For over half a century, the United States Agency for International Development (USAID) has played a critical role in furthering American interests around the globe. USAID is the world's leading development and humanitarian assistance agency, and an important contributor to the objectives of the National Security Strategy of the United States.

Our development assistance has helped countries increase educational attainment, boost life expectancy, reduce poverty, and transition from being aid recipients to become economic and security partners.

While America faces an unprecedented array of national security threats, USAID's international development efforts support the U.S. Government's response to counter and prevent them.

Our ultimate goal is a future in which foreign assistance is no longer needed. We are working toward a world of safe, prosperous, self-reliant, and economically integrated countries that work together to solve common problems. I believe that reaching the goals outlined in this Joint Strategic Plan (JSP) will move us closer to that day. USAID is committed to working hand-in-hand with the Department of State to achieve the strategic goals and objectives in the JSP.



Under this plan, USAID programs support broader efforts to counter the drivers of violence and instability; respond to the challenges caused by displacement and mass migration; and strengthen citizen-responsive governance, democracy, and human rights, to underpin global stability.

Our work will also support U.S. Government efforts to combat corruption, transnational crime, and extremism that threaten American citizens and our economy. It will help prevent global outbreaks and epidemics of infectious disease before they reach our borders, as part of the Global Health Security Agenda.

We will help create markets for American jobs and services by promoting inclusive economic growth and development abroad.

We will continue to project American values by responding to humanitarian crises, combatting human trafficking, working to end preventable child and maternal death, and halting the spread of HIV/AIDS as part of the President's Emergency Plan for AIDS Relief (PEPFAR).

We will do all of this while stressing our responsibility and accountability in managing taxpayer funds.

This JSP will ensure USAID remains an indispensable force of good in the world, a critical tool in the United States' national-security toolbox, and, perhaps most important, help create a world in which one day foreign assistance will no longer be needed.

Mark Green
USAID Administrator



OVERVIEW

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

- Leading and uniting the free world around American values to uphold liberty;
- Strengthening our allies and alliances;
- Deepening our security relationships and partnerships around the world;
- Countering threats and adversaries;
- Creating enduring advantages at home by opening markets abroad;
- Helping developing nations establish investment and export opportunities for American businesses; and
- Preserving peace through international cooperation on global security challenges such as nuclear proliferation, terrorism, human trafficking, and the spread of pandemics (including HIV), humanitarian crises, and narcotics trafficking.

As the U.S. Government's lead international development and humanitarian assistance agency, the United States Agency for International Development (USAID) helps societies realize their potential. USAID plans its development and assistance programs in coordination with the Department of State and collaborates with other U.S. government agencies, multilateral and bilateral

organizations, private companies, academic institutions, faith-based groups, and non-governmental organizations (NGOs). The Secretary of State and USAID Administrator are appointed by the President and confirmed by the Senate.

As the world's premier international development agency and a catalytic actor driving development results, USAID supports U.S. national security and economic prosperity, demonstrates American generosity, and promotes a path to self-reliance and resilience. USAID plays a critical role in our nation's efforts to ensure stability, prevent conflict and build citizen-responsive local governance. Through the Agency's work and that of its partner organizations, development assistance from the American people is transforming lives, communities, and economies around the world. USAID's investments in evidence-based programs are:

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

The Department of State and USAID are pleased to provide this Joint Strategic Plan (JSP) for Fiscal Years (FY) 2018 to 2022, which sets forth the Secretary of State's and USAID Administrator's vision and direction for both organizations in the coming years.

The JSP supports the policy positions set forth by President Trump in the National Security Strategy and presents how the Department and USAID will implement U.S. foreign policy and development assistance.

The JSP will be used by the Department and USAID as a management tool to define success in international diplomacy and development, and as the foundation against which we will measure progress made towards the goals and objectives set forth herein. The JSP is also the guiding document for the development of all bureau and mission strategic plans for FY 2018-2022.



MISSION STATEMENTS

Department of State Mission Statement

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

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

USAID Mission Statement

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

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

STAKEHOLDER ENGAGEMENT

The Joint Strategic Plan (JSP) is shaped by Presidential directives and policies, the December 2017 National Security Strategy, previous strategic planning efforts, and ongoing Department of State's Impact Initiative and USAID's ReDesign efforts aligned to the Office of Management and Budget's M-17-22 "Comprehensive Plan for Reforming the Federal Government and Reducing the Federal Civilian Workforce." The Department and USAID developed this JSP through a consultative process involving the senior leadership of the two agencies. Representatives from key bureaus at the Department and USAID developed

the strategic objectives based on guidance provided by senior leadership. To ensure equities were represented, all bureaus at both agencies were invited to provide input and feedback on the JSP. In addition, senior officials of the Department and USAID met with representatives from eighteen interagency partners¹ to analyze and discuss the strategic objectives of the FY 2018-2022 Joint Strategic Plan. The Department and USAID also engaged their Congressional oversight committees to explain the goals and objectives of this planning effort.

¹ Interagency partners include U.S. Departments of Commerce, Defense, Energy; Health and Human Services-Office of Global Affairs, Homeland Security, Justice, Labor, Treasury, Broadcasting Board of Governors, Export-Import Bank, Foreign Claims Settlement Commission, Intelligence Community, select Multilateral Development Banks, the Overseas Private Investment Corporation (OPIC), U.S. Institute of Peace (USIP), Millennium Challenge Corporation (MCC), Peace Corps; and the U.S. Trade and Development Agency.



USE OF EVIDENCE

The Department of State and USAID draw upon evidence from a host of internal and external sources to inform, guide, and implement this strategy. The Department and USAID review and assess current environments, our partners' capabilities and gaps, and ongoing U.S. and international programmatic and operational efforts to identify and achieve shared objectives. Evaluation findings, monitoring data, and other assessments measure how programs and projects benefit communities and groups; how changes in the contexts may affect the success of projects; and how interventions and diplomatic activities support host countries on their own journeys to build peace, self-reliance, and prosperity. Accountability Review Boards and timely third-party information and analysis from other U.S. government agencies, host country partners, other donor agencies, and NGOs also inform strategies, programs, and operations. Key sources of information include foreign government officials, local NGOs and businesses that the Department of State and USAID personnel in the field communicate with every day. This evidence is captured in diplomatic reporting and in publicly available reports such as annual country Investment Climate Statements.

Effectiveness, accountability, learning, and transparency are the central principles that drive our use of evidence and data to achieve this strategy. Over the long term, the Department and USAID will continue to collect evidence from a variety of sources, including monitoring and evaluation of operations and foreign assistance projects to assess whether programs, processes, and functions are performing as expected and why. Monitoring and evaluation assure accountability, identify best practices, assess return on investment, and inform policy and planning decisions. Once efforts to strengthen systems for collecting evidence on foreign assistance programs per the 2016 Foreign Aid Transparency and Accountability Act are fully implemented by the Department and USAID, evidence from monitoring and evaluation infor-

mation will be even more reliable for informing decisions to implement this strategy.

The Department and USAID are planning for future evidence building and have a number of evaluations planned across a diverse set of programs and activities. These evaluations will identify whether and why activities achieve desired outcomes, document the potential of innovative approaches, and assess customer satisfaction on service delivery.

USAID uses evaluation for many purposes and produces over 100 evaluation reports each year. The most common uses are to inform decisions about ongoing project management, the design of new projects or activities, and to judge project performance. USAID evaluations also influence decisions by host governments and other donors, document good practices and lessons learned, and inform country or sector strategies. Independent evaluations are required for all USAID projects, whether at the whole of project level or to examine a specific activity within a project, and therefore there are USAID evaluations spanning all programmatic areas.

To better understand the effectiveness of our programs, the Department will be evaluating programs in areas to include stabilization efforts, gender-based violence, trade projects, security sector, and criminal justice reform. Through implementing recommendations from these evaluations, the Department will improve program methodology, deployment strategies, service delivery, and the efficiency and effectiveness of resource allocation.

Additional information on the Department of State and USAID's use of evidence and evaluation is available in the Congressional Budget Justification (Annexes 1 and 2) and in the Annual Performance Plan (APP) and Annual Performance Report (APR).



GOAL 1:

PROTECT AMERICA'S SECURITY AT HOME AND ABROAD

Strategic Goal Overview

Protecting the security of all Americans is the Administration's highest priority. The United States will remain a global superpower that advances a stable and prosperous world built upon strong, sovereign, and resilient nations who respect each other's independence and work together to uphold international norms. Today, the United States and our allies face many threats, including rogue states seeking to acquire weapons of mass destruction; terrorists seeking to advance hateful ideologies; drug traffickers seeking to profit on weak borders; and cyber criminals seeking to exploit the openness of the Internet. We are committed to sustaining and strengthening America's longstanding alliances while forging new ones to counter these and other threats. The Department of State and USAID will oppose state and non-state rivals who seek to sow instability and uproot the security and prosperity of the United States and its allies. A stable and prosperous world depends upon strong, sovereign, and resilient nations who respect each other's independence and work together to uphold international norms.

The gravest threats to U.S. national security are the spread of weapons of mass destruction and terrorism. The threat of nuclear war remains a grim reality and must be countered. North Korea's unlawful nuclear and ballistic missile programs pose a direct threat to the foundations of international peace and security. Iran's aggressive development and testing of sophisticated ballistic missiles is in defiance of United Nations (UN) Security Council Resolutions. The Department will continue to marshal international efforts to isolate North Korea, Iran, and other states that seek to acquire weapons of mass destruction (WMD) unlawfully. The Department and USAID will advance the overall U.S. strategy to defeat the Islamic State of Iraq and Syria (ISIS) and other transna-

tional terrorist groups that threaten the American homeland.

The Department and USAID must address the conditions that enable these threats to persist. Through diplomacy and development, the Department and USAID work to reduce poor governance and weak institutions, lack of economic opportunity, corruption, and persistent human rights abuses, which otherwise contribute to transnational crime, illegal immigration, and the spread of pandemic diseases. We work together with countries to address significant challenges and crises such as natural disasters, water scarcity, and land degradation, which can exacerbate political instability and social unrest. The United States alone cannot solve these problems. We will use American influence and selectively target our resources to address instability in regions vital to U.S. strategic interests. We will press America's national and regional partners to take greater responsibility for directly addressing the underlying causes of violence, extremism, and fragility in their regions. While nations must chart their own paths, the United States will support those that seek to bolster the rights and democratic aspirations of their people and assist them along their journey to self-reliance, while recognizing that societies that empower women to participate fully in civic and economic life are more prosperous and peaceful.

America has long been a force for good in the world and a champion of effective and accountable democratic governance, rule of law, economic freedom, and resilience. American leadership, diplomacy and development are indispensable to prevent and mitigate unforeseen crises and deliver sustainable security and prosperity for the American people and the homeland, and preserve the American way of life.

At the same time, the Department will work to protect American citizens and interests overseas. Consular and infrastructure protection programs play a critical role in protecting American borders, transportation systems, and critical infrastructure. The Department will ensure robust consular policies and systems; strengthen borders to protect the homeland; and will work with partners to deny access to individuals who pose risks to U.S. national security.

Strategic Objective 1.1: Counter the Proliferation of Weapons of Mass Destruction (WMD) and their Delivery Systems

Strategic Objective Overview

Proliferant states and terrorist groups are acquiring or seeking to acquire increasingly dangerous weapons to threaten American interests or the U.S. homeland directly. North Korea recently developed an intercontinental ballistic missile (ICBM) with the stated objective of striking the United States. Its unlawful nuclear and ballistic missile programs pose an urgent threat to international security. Multiple countries possess clandestine chemical or biological programs in violation of international conventions or commitments, and the Syrian regime and ISIS have deployed chemical weapons. ISIS and other terrorist groups seek to use nuclear, radiological, chemical, and biological materials in terrorist attacks, including on the homeland. Iran is aggressively pursuing the development and testing of sophisticated ballistic missiles that may be capable of delivering nuclear weapons. Iran's proliferation of advanced missiles and missile technologies to its proxies and partners fuels local civil wars, destabilizes the region, and poses imminent threats to international shipping and our closest allies in the Middle East. A number of other countries of proliferation concern are also pursuing ballistic missile capabilities, relying on acquisition of equipment, components, and expertise from foreign suppliers, as well as developing indigenous capabilities. In fact, we recommit to ensuring Iran never acquires

a nuclear weapon or develops an ICBM, the latter of which was primarily designed to deliver a nuclear payload.

In addition to traditional WMD threats, emerging technologies blur the lines between materials and equipment that can be used either for commercial use or for conventional and nuclear weapons. Worldwide availability of chemical agents and dangerous pathogens, access to dual-use life science research, and individuals and networks that make use of geographic smuggling pathways and illicit business relationships to profit from WMD proliferation complicate this task. The United States must stop this spread of WMD and counter these threats to U.S. and international security.

Strategies for Achieving the Objective

The Department will pursue diplomatic solutions to proliferation challenges, and rally international support for sanctions against proliferant nations. The threat posed by North Korea's unlawful nuclear and ballistic missile programs requires immediate international attention and the Department continues to urge all countries to cut diplomatic, financial, economic, and military ties with North Korea. We will continue to lead efforts to impose and enforce sanctions – whether nationally, in conjunction with like-minded states, or through the UN Security Council – on principal sectors of the North Korean economy, or on entities and individuals supporting North Korea's proliferation programs.

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

The Department will continue to assess states' compliance with obligations and commitments, including the publication of a congressionally mandated Compliance Report detailing noncompliant activity annually. We will continue to lead multilateral efforts that urge noncompliant states to return to compliance with their obligations and to understand the challenges associated with future nuclear disarmament verification, in particular, through the International Partnership for Nuclear Disarmament Verification. We will work with the Congress and our European allies to fix the flaws in the Joint Comprehensive Plan of Action and continue to hold Iran strictly accountable to its agreed-upon commitments.

Cross-Agency Collaboration

The Department of State's own nonproliferation security assistance programs work to reinforce diplomatic engagement to counter WMD proliferation. The Department and USAID also work with the Department of Defense's Office of Cooperative Threat Reduction, the Department of Energy (DOE), especially the National Nuclear Security Administration (NNSA) and the National Laboratories, the Department of Homeland Security Container Security Initiative and other programs, the Department of Justice (DOJ), the Department of Treasury (DOT), and the Department of Commerce (DOC).

Risk

The United States relies on many international and multilateral organizations to help achieve our nonproliferation objectives. Because many of these organizations work by consensus, one state can refuse or delay prompt action or achievement of our immediate and longer-term nonproliferation objectives.

New technologies are being developed and practical applications for them are being devised at an astonishing pace. Lines are being blurred between chemical and biological agents; new organisms are being developed; there is worldwide access to dual-use life science research; and the internet

provides instructions on the production of chemical and biological weapons. The Department keeps abreast of technological change; engages with partner countries to update the control lists of the multilateral export control regimes; and is working to create new frameworks and norms to assess the benefits and risks of dual-use research in the life sciences.

Performance Goal 1.1.1

By 2022, strengthen U.S. national security through enhancements to the global arms control and nonproliferation regime, by strengthening its treaties, reducing WMD, and strengthening verification and compliance with arms control and nonproliferation obligations.

Performance Goal 1.1.2

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

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

Strategic Objective Overview

In his speech to the Arab Islamic American Summit in May 2017, the President outlined a shared goal with our international partners to conquer extremism and vanquish the forces of terrorism and the ideology that drives it.² In support of this effort, the United States and our partners have

² The President of the United States' remarks: <https://www.whitehouse.gov/briefings-statements/president-trumps-speech-arab-islamic-american-summit/>

accelerated the fight against ISIS, significantly degraded its safe havens in Iraq and Syria, and challenged its ability to operate around the world. However, ISIS continues adapting its tactics toward an insurgent and clandestine presence. ISIS continues to inspire and mobilize supporters and sympathizers through messaging, propaganda, and recruitment efforts. Al-Qa'ida (AQ) and its global network of affiliates remain determined to threaten U.S. interests. Regional and local terrorist groups also threaten U.S. citizens and our partners. Iran, the world's leading state sponsor of terrorism, provides training, equipment, and financing for terrorist groups such as Hizballah and Hamas. The country is developing new proxy militia forces, comprised of over 100,000 non-Iranian fighters, to extend its influence, co-opt local security forces, and conduct lethal operations on Iran's behalf across the Middle East.

The Department of State and USAID's overarching objective is to degrade global terrorism threats so local governments and security forces can contain them and restore stability. We will work to consolidate military gains against ISIS, AQ, and other terrorist organizations and stabilize liberated areas by supporting local partners that can reestablish the rule of law, manage conflict, and restore basic services. We believe that diplomatic engagement and targeted development assistance to stabilize affected areas will help prevent new recruitment, reduce levels of violence, promote legitimate governance structures that strengthen inclusion, and reduce policies that marginalize communities. As outlined by Secretary Tillerson in his remarks at the Hoover Institute in January 2018, we must deny ISIS and other terrorist organizations the opportunity to organize, raise funds, travel across borders, use communications technology to radicalize and recruit fighters, and to train, plan, and execute attacks.³

Strategies for Achieving this Objective

The Department and USAID will play a key role in implementing the President's plan to defeat ISIS, through leadership of the Global Coalition to Defeat ISIS. We will work multilaterally

through institutions such as the United Nations, G7, and Global Counterterrorism Forum to promote international norms and good practices, and sustain trans-regional cooperation to prevent and counter terrorism.

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

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

Cross-Agency Collaboration

The Department works with other federal agencies and our partner countries' defense, law enforcement, and justice sectors to build and

³ Secretary Tillerson's remarks: <https://www.state.gov/secretary/remarks/2018/01/277493.htm>

strengthen their institutional counterterrorism and other related capabilities, while reinforcing critical stabilization goals that make such efforts sustainable. We work closely with the Department of Defense to ensure coordinated security cooperation assistance.

USAID designs and delivers programs targeting specific regional and local vulnerabilities, with a focus on improving governance and the ability of partners to assume responsibility for their own prevention efforts. These programs respond to on-the-ground conditions using an array of interventions.

Risk

Enemies of the United States will continue to modify and adapt their techniques, requiring the Department and USAID to increase diplomatic and development action, adjust strategies and stabilization initiatives, approaches, and programs quickly to counter constantly changing threats. This requires a flexible approach and strong collaboration, both within the U.S. Government and with our partners, to ensure we keep pace with threats and protect our homelands. We must remain vigilant regarding the threat of terrorism in ungoverned spaces, especially in conflict zones, which remain ripe breeding grounds for ISIS and other terrorist organizations.

Performance Goal 1.2.1

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

Performance Goal 1.2.2

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

Performance Goal 1.2.3

By 2022, strengthen partner government and civil society capacity to utilize data-driven approaches to counter messaging.

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

Strategic Objective Overview

Violence and political instability affect nearly half the world's population⁴ and impose a staggering toll on human development, with an estimated cost of more than \$13 trillion per year.⁵ Transnational crime, with global revenues of approximately \$2 trillion annually,⁶ fuels corruption, finances insurgencies, and distorts markets. Transnational criminal organizations (TCOs) traffic in persons and wildlife, and contribute to the domestic opioid crisis by bringing heroin and synthetic opioids across U.S. borders, harming American communities through the drug trade and attendant violence. Environmental threats such as water scarcity and biodiversity loss can further fuel tensions over much-needed resources.

⁴ OECD States of Fragility Report, 2016: <http://www.oecd-ilibrary.org/docserver/download/4316101e.pdf?expires=1515085714&id=id&accname=guest&checksum=EDBA05A422FB7C733750B6F0545E57B3>
⁵ Institute for Economics and Peace, The Economic Cost of Violence Containment, <http://economicsandpeace.org/wp-content/uploads/2015/06/The-Economic-Cost-of-Violence-Containment.pdf>.
⁶ Global Financial Integrity, "Transnational Crime and the Developing World," March 2017, http://www.gfintegrity.org/wp-content/uploads/2017/03/Transnational_Crime-final.pdf

Crime and insecurity are often a consequence of weak democratic norms and institutions. TCOs and other illicit actors can exploit areas of weak governance to establish a safe haven to grow their enterprise. In areas of civic mobilization, some governments crack down rather than open up – ultimately undermining their own security as they lose public legitimacy and squander the public trust needed to combat crime. Globally, developing countries with ineffective government institutions, rampant corruption, and weak rule of law have a 30 to 45 percent higher risk of civil war and a heightened risk of criminal violence.⁷

As Secretary Tillerson stated in his remarks at Florida International University in June 2017, “Our international partners in this effort must work to reject intimidation, strengthen human rights, and increase the fight against criminal organizations within their own borders.”⁸ The Department and USAID will seize the opportunity to work with our international partners in this effort to counter instability, transnational crime, and violence through a range of programs, authorities, and diplomatic engagements. The United States has an array of varied interests across fragile and conflict-affected states, and the Department and USAID will selectively focus on those places posing the greatest threats and risks for U.S. interests.

Strategies for Achieving the Objective

Law enforcement capacity building programs are the bedrock on which we strengthen partnerships to counter TCOs. We seek to expand these programs and build the capacity of trustworthy foreign partners through rule of law and anticorruption assistance in order to facilitate law enforcement development and cooperation. In the Western Hemisphere, we seek to use these programs to target TCO leadership and their support networks, shut down illicit pathways to the United States, and enhance shared security. Globally, we will work with partners to cut financial lifelines for global terror and organized crime organizations, including those involved with human and wildlife trafficking. We will coordinate through regional and international bodies to develop and

advance international standards on drug control and hold partners accountable to burden sharing.

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

The Department and USAID will make early investments in preventing conflict, atrocities, and violent extremism before they spread. During conflict, we will promote civilian protection and increase support to peace processes. We will enhance partner countries’ self-sufficient peace operations, training, and deployment capabilities, and build the capacities of international and regional organizations to conduct peacekeeping missions. Following armed conflict, civilian agencies will lead in consolidating gains and promoting stabilization efforts, including supporting local efforts to manage conflict peaceably, restoring

⁷ World Bank, World Development Report, 2011: <http://web.worldbank.org/archive/website01306/web/early-findings.html>.

⁸ Secretary Tillerson’s remarks: <https://www.state.gov/secretary/remarks/2017/06/271960.htm>

public safety, holding perpetrators of atrocities accountable, and enabling disarmament, demobilization and reintegration of ex-combatants. The Department and USAID will provide short-term assistance to facilitate political transitions, along with assistance to address the governance challenges that are often the root cause of conflict. In tandem, host governments must increase burden sharing with international partners and develop the capability to coordinate their own security strategies.

Cross-Agency Collaboration

The Department and USAID engage bilaterally and through multilateral mechanisms with hundreds of external partners and stakeholders with an interest in reducing global violence and instability. We coordinate programs and strategies with relevant branches of the U.S. Government, including collaboration with the Department of Defense, the Department of Justice, and the Department of Homeland Security. We cultivate close relationships with UN organizations and non-governmental organizations active in this arena as well.

Risk

There are inherent risks in working with countries prone to instability, violence, and crime. Security risks in these environments can limit our agencies' footprint. Politically, fragile states rarely travel a predictable path, which can affect our ability to introduce enduring partnerships and programs.

Performance Goal 1.3.1

By 2022, improve the capacity of vulnerable countries to mitigate sources of fragility, instability, and conflict.

Performance Goal 1.3.2

By 2022, contribute to strengthened democratic governance through targeted assistance to improve citizen engagement, strengthen civil society, increase transparency, and protect human rights.

Performance Goal 1.3.3

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

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

Strategic Objective Overview

The ascent of authoritarianism, the re-emergence of great power competition, and the rise of hostile non-state actors have altered the strategic landscape and increased the vulnerability of well-established democratic nations and emerging democracies. China and Russia directly challenge an international order based on democratic norms, respect for human rights, and peace. Iran and North Korea seek to increase their regional influence through coercion and aggression, using their nuclear programs and support for malign non-state actors. State-supported and independent cybercriminals attack the interests of the United States and its allies through theft, extortion, and malicious efforts aimed at crippling infrastructure.

Russia conducts covert and overt campaigns to undermine core Western institutions, such as the North Atlantic Treaty Organization (NATO) and the European Union (EU), and weakens faith in the democratic and free-market system. Russia's predatory behavior extends to the political, security, informational, energy, and economic spheres. Recent subversive Russian actions threaten the energy markets in Europe and cause interference in domestic political affairs. The United States re-

mains committed to deterrence and the principle of common defense as enshrined in Article 5 of the Charter of the NATO, and continues to invest in transatlantic security.

China seeks to increase its influence in the Indo-Pacific region. China's actions, including the militarization of disputed territory in the South China Sea, transgression of norms in cyberspace, continued support for North Korea, disregard for human rights, and unfair trade and investment practices threaten to undermine the international rules-based order that has underpinned peace and prosperity in the Indo-Pacific region and beyond.

Iran remains the world's leading state sponsor of terrorism and provider of military training, equipment, and funding to Hizballah, Hamas, and other terrorist networks. Iran seeks to increase its regional influence through destabilizing activities across the Middle East. Tehran props up the murderous regime of Bashar al Assad in Syria, spreads sophisticated missiles and other advanced weapons to its partners and proxies, trains and arms large local militant groups to fight its wars across the Middle East, and openly calls for the destruction of some of our closest allies.

Cybersecurity and outer space are critical economic, security, and foreign policy concerns. Cyberattacks are relatively low cost and can be launched from anywhere, allowing adversaries to target systematically critical infrastructure, financial systems, and military installations worldwide. These cyberattacks can also be directed against civilian and business interests. Malicious state and non-state actors will continue to employ new strategies and tactics to pursue criminal or disruptive ends in cyberspace, and our cybersecurity policy must evolve at the cutting edge of technology to stay ahead of these changes. Outer space is increasingly challenging as it becomes congested with space debris and contested through potential adversaries' development of counter space capabilities.

The ability to address these challenges requires a collaborative effort, where cooperation means sharing responsibilities and burdens. Nations of the world must take a greater role in promoting secure and prosperous societies across their regions, thereby protecting the world against these common threats.

Strategies for Achieving the Objective

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

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

To mitigate efforts to undermine civil society and democratic norms, the Department and USAID will assist governments, non-governmental organizations (NGOs), and faith-based organizations that face coercion and malign influence. The United States will continue to champion long-standing, foundational values of freedom

and liberty. We will work with our partners to eliminate corruption and support the rule of law, strengthen civil society and democratic institutions, enhance energy security, support financial and trade reforms, support economic diversification, and foster independent, professional media.

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

In conjunction with allies, partners, and in multilateral fora, we will devise, implement, and monitor economic and energy sector sanctions. The Department will seek to increase cooperation with allies and partners to counter Iranian threats and destabilizing behavior; through sanctions, we will constrain Iran's ballistic missile program and degrade its support for terrorism and militancy.

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

Cross-Agency Collaboration

The Department of State provides foreign policy advice to Department of Defense programs, policies, and planning. The Department and USAID use Development Assistance and Economic Support Funds to support critical institutional capacity building and reform efforts. The Department uses Public Diplomacy funds to engage publics vulnerable to malign influence campaigns and counter disinformation.

Risk

This strategy requires that partners and allies have the political will and technical capacity to continue to stand against aggression and malign influence. However, some of these partners and allies may be beholden to the political influence of adversaries and potential competitors.

We will continue to be challenged with balancing foreign policy and national security concerns while building partner capacity and interoperability through responsibly managed arms transfers.

Performance Goal 1.4.1

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

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

Strategic Objective Overview

National security starts overseas and our aim is to create conditions that help secure U.S. borders and protect U.S. citizens abroad while facilitating

legitimate international travel that builds the U.S. economy, strengthens formal and informal international partnerships, and protects U.S. interests abroad. Information gathered in pursuit of terrorist threats results in the discovery of known and suspected terrorist identities that populate U.S. government watch lists used to vet and screen prospective travelers to the United States. The Department enables its partners to disrupt TCOs involved in human smuggling as far from our borders as possible, and deters and prevents illegal immigration into the United States. Strengthening civil societies and deterring aggression overseas creates a more secure environment for U.S. citizens traveling and residing abroad. Data legally gathered across all mission spaces inform the content of consular messages to U.S. citizens as well as other audiences. Finally, cyberspace allows state and non-state actors to avoid physical borders and threaten critical infrastructure, which represent some of the most pressing risks to national security, economic security, and public safety.

At home and abroad, the Department helps protect U.S. national borders through sharing of information within and between foreign governments by improving passport security and implementing effective visa adjudication processes that deny access to individuals who pose risks to U.S. national security. The Department's diplomatic engagement on counterterrorism and homeland security increases two-way information sharing on known and suspected terrorists, risk-based border management, and threat-based security and border screening at all land, air, and sea borders to protect partner nations and U.S. citizens in those locations and to deter terrorist travel, including to the United States. In order to achieve this objective, the Department maintains information sharing programs with partner nations and security programs to build capacity of foreign government law enforcement partners and enhance information sharing among foreign partners.

The Department works with international partners to increase their capacity to manage migra-

tory flows, recognizing that strong rule of law restricts the environment in which potential threat actors can operate.

Strategies for Achieving the Objective

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

The Department will continue to work with our international partners to exchange information on known and suspected terrorists and other threats to U.S. citizens at home and abroad. We will ensure that interagency and international arrangements are maintained and updated, providing the highest-possible degree of information sharing of terrorist and criminal identities.

The Department will strengthen our partners' abilities to provide security for Americans in their country by promoting increased cooperation with U.S. homeland security policies and initiatives. We will further refine safety and security information provided to U.S. citizens, which will help them to make more informed decisions about their travel and activities. The Department promotes information sharing and the widespread adoption of cybersecurity best practices to ensure all countries can implement the due diligence to reduce the risk of significant incidents from occurring.

The Department will work with interagency partners and the transportation industry to enhance global transportation security. We will inform foreign partners of non-imminent persistent

threats to spur international border and transportation security efforts, including implementation of international standards and recommended practices. We will continue to urge countries to employ threat-based border security and enhanced traveler screening; to improve identity verification and traveler documentation; and to use, collect, and analyze Advanced Passenger Information and Passenger Name Record data in traveler screening to prevent terrorist travel.

Cross-Agency Collaboration

The Department works closely with other U.S. government agencies, Congress, service organizations, advocacy groups, the travel industry, and state and local governments to advance the full range of consular and other activities in support of border protection. The following list highlights key external partners:

- U.S. government agencies including DHS, Justice, DOD, and the Intelligence Community
- Terrorist Screening Center
- American Chambers of Commerce
- Federal, state, and local governments
- Travel and Tourism Community
- Centers for Disease Control and Prevention

Risk

There may be a lack of adequate resources and cooperation to implement interagency initiatives.

Foreign partners may be unwilling to share information because of differences in legal systems, regulations on protection of national security information, and privacy concerns.

Performance Goal 1.5.1

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

Performance Goal 1.5.2

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

Performance Goal 1.5.3

Through 2022, continue to ensure vigilant, accurate, and timely passport services to U.S. citizens.

Performance Goal 1.5.4

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



GOAL 2:

RENEW AMERICA'S COMPETITIVE ADVANTAGE FOR SUSTAINED ECONOMIC GROWTH AND JOB CREATION

Strategic Goal Overview

American national security requires sustained economic prosperity. In an interconnected world, the Department of State and USAID must position the United States more advantageously to ensure the conditions for economic dynamism at home. As new challenges and opportunities emerge in a changing international landscape, our economic engagement with the world must be comprehensive, forward-looking, and flexible. The United States can advance its economic and security goals only through robust diplomacy, assertive trade and commercial policies, and broad-based engagement with governments and societies. Growth and economic security among U.S. allies and partners also build markets for U.S. goods and services and strengthens the ability to confront global challenges together. We must counter models promoted by other nations by offering a clear choice: The American approach is to help our partners prosper. Our economic diplomacy and development assistance are key tools in projecting this leadership to enhance security and prosperity at home.

American technology is pre-eminent, our workers are the most productive in the world, and U.S. exporters thrive in global markets when given a truly fair playing field in which to compete. In close partnership with the full range of U.S. Government agencies, the Department will fight aggressively for fairer trade policies across the world and a global economy free from currency manipulation to support a strong U.S. manufacturing base and well-paying jobs, especially in cutting-edge industries. Our engagement will advance more open markets and sensible regulatory systems abroad that provide confidence without stifling innovation. We will vigorously defend U.S. intellectual property rights, uphold America's position as the top destination for international investment, and develop new avenues for coor-

inating with countries and institutions to foster innovation and ensure that regulations on emerging industries do not create new barriers in areas of American strength. To further advance American leadership in international energy governance, the Department and USAID must leverage developments in the U.S. energy sector to pursue universal access to affordable and reliable energy and promote sustainable global energy markets.

Our economic diplomacy and development assistance are key tools in projecting this leadership to enhance security and prosperity at home. Development, transparency, and good governance in unstable regions are essential to fight poverty, isolate extremists, and improve humanitarian conditions. The Department and USAID will promote healthy, educated, and productive populations in developing countries to drive inclusive economic growth that opens markets for U.S. investments and counters violent extremism. Investing in women's economic empowerment has transformational effects for families and communities, and will be a key component of our approach. Confronting international environmental challenges requires robust American diplomacy and a more comprehensive deployment of U.S. environmental goods and services throughout the world. We will stand against corruption abroad, which undermines security, enables TCOs and disadvantages U.S. companies.

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

Strategic Objective Overview

A robust and secure U.S. economy that creates new American jobs depends on strong economic growth and promoting free, fair, and reciprocal trade relationships with countries around the world. American prosperity will also advance when we maintain and deepen relationships, encourage strong demand for U.S. exports in emerging and developing countries, and expand U.S. trade and investment opportunities in the global marketplace.

We will also strengthen property rights and contract enforcement, competition policies, sound commercial law, and the protection and enforcement of intellectual property rights around the world.

International institutions must do more to promote economic rules that enhance free, fair, and reciprocal trade and set transparent standards to create enabling environments for investment, innovation, and cooperation in science and technology and health. American prosperity also requires internationally agreed norms for access and operations in areas beyond national jurisdiction, including on the high seas and outer space.

Promoting entrepreneurship creates jobs and openings for U.S. businesses worldwide, strengthening global political stability and economic prosperity. In partnership with the Department of Commerce, the Department will expand its advocacy for U.S. commercial and defense products

and services abroad, as well as promote foreign direct investment to the United States.

The Department also collaborates with the Department of Commerce to advocate for U.S. companies bidding on foreign government tenders, to alert U.S. companies to new market opportunities, and to encourage investment in the United States. The Department leads negotiations on civil air transport agreements and telecommunications agreements, co-leads negotiations on investment treaties, produces annual country Investment Climate Statements, and participates in the Committee on Foreign Investment in the United States. Both the Department and USAID participate in interagency teams led by the United States Trade Representative (USTR) to develop and vet U.S. trade policy positions including revising and negotiating new trade agreements. The Department of State, with other agencies, actively negotiates and promotes the regulatory and policy environment that sustains and strengthens a dynamic and open digital economy.

Many of USAID's assistance programs focus on supporting the creation of business friendly regulatory regimes around the world. The Department's work on international environmental, oceans, science, health, and outer space supports hundreds of billions of dollars of economic activity in those sectors through efforts to negotiate rights and promote internationally agreed norms. Our engagement through international institutions and fora promotes agreement on technical standards and policies that drive the information technology and communications sectors. Our work with U.S. and foreign educational, non-profit, and private sectors promotes U.S. educational exports, and science fellows and science envoy programs enhance our science and technology outreach.

Strategies for Achieving the Objective

The Department will advocate on behalf of American workers by seeking to lower foreign trade and investment barriers and to attract new job-producing investment and legitimate foreign visitors and students to the United States. Through diplo-

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

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

Cross Agency Collaboration

Interagency partners include the Departments of the Treasury (DOT), Commerce (DOC), Transportation (DOT), Homeland Security (DHS),

Justice (DOJ), the United States Trade Representative (USTR), Overseas Private Investment Corporation (OPIC), Trade and Development Agency (USTDA), Millennium Challenge Corporation (MCC), Federal Communications Commission (FCC), Federal Aviation Administration (FAA), Federal Maritime Commission, Maritime Administration, Customs and Border Protection (CBP), the Department of Agriculture (DOA), Environmental Protection Agency (EPA), and the National Oceanic and Atmospheric Administration (NOAA). Other partners include American Chambers of Commerce overseas and the U.S. Chamber, foreign development assistance agencies, and multilateral development finance institutions.

Risk

Financial crisis and recession can trigger protectionist responses that make it more difficult to open foreign markets. A strong dollar can lead to fewer foreign visitors and students, and affect the competitiveness of U.S. exports.

Technological diffusion and the spread of economic activity to emerging markets, while positive overall, could reduce the ability of the United States to shape international institutions and economic developments outside our borders. Disruptive technologies could continue to present challenges as well as opportunities to traditional commerce.

State capitalism prevalent in some countries can distort markets and impede U.S. business opportunities, while corruption subverts open markets and impedes the ability of American companies to compete.

Performance Goal 2.1.1

By 2022, using 2017 baseline data, support increased exports of U.S. goods and services by increasing by 50 percent appropriate commercial advocacy for U.S. businesses.

Performance Goal 2.1.2

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

Performance Goal 2.1.3

By 2022, increase the number of partners engaged with the U.S. to promote and expand cooperation in science, technology and innovation to boost American prosperity.

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

Strategic Objective Overview

Political instability, unchecked crime, and the lack of essential services and economic opportunities in other countries have the potential to create global health crises, drive mass migration to the United States, and inflame violent extremism around the globe. The Department of State and USAID investments in global economic growth and development safeguard U.S. economic and strategic interests, and are visible expressions of U.S. values. Department of State and USAID programs help economies to grow, and countries to open their markets, become potential consumers of U.S. goods and services, and contribute to regional stability. U.S. security and prosperity are bolstered when other countries achieve economic

and political stability, resilience, and self-reliance through investments in areas such as food and water security, energy security, good governance, health, education, and economic growth.

Economic growth, particularly in developing and transitional economies, serves to strengthen and expand our base of partners, bolster economic opportunities, and build future markets for U.S. exports in the fastest growing regions of the world. Likewise, the United States is made stronger and more secure through Department and USAID programs that connect people, especially women and minorities, to the global economy; build resilience to economic and social stresses in conflict-prone societies; educate and empower citizens; and save children from disease and preventable death.

Host country governments, local civil society partners, faith-based organizations, bilateral donors, multilateral organizations, the private sector, and international organizations are committed to achieving results through partnerships, collaboration, and coordination that are more effective. Strong collaboration will optimize resource allocation and reduce fragmentation. Clear host country ownership and priorities, including national or sub-national education plans, enable targeted investments from development partners. A collaborative development approach is critical, especially in cases of acute or protracted crises, widespread displacement, and chronic instability. The Department and USAID will rapidly respond to crises as they arise and coordinate with the ongoing development efforts of other donors.

Strategies for Achieving the Objective

The Department of State and USAID will support foreign governments, international organizations, and private sector partners to increase access to quality education as a smart development strategy in order to improve economic conditions around the world. To reinforce the educational foundation of growing societies in our partner countries, we will fund programs to ensure crisis-affected children and youth are accessing quality educa-

tion that is safe, relevant, and promotes social cohesion. We will also fund programs to ensure children are reading and gaining basic skills that are foundational to future learning and success; young people are learning the skills they need to lead productive lives, gain employment, and positively contribute to society; and higher education institutions are supporting development progress across sectors. We will remain champions of girls' education and target the underlying causes of gender gaps in education attainment. Closing the gender gap in secondary education has a direct and robust association with economic development, as a 1 percent increase in female secondary education raises the average GDP by 0.3 percent, and raises annual GDP growth rates by 0.2 percent.

The Department and USAID will foster inclusive economic growth in which all members of society share in the benefits of growth, reducing poverty, building resilience and expanding opportunity, and by reducing political turmoil and conflict. We will help developing and transitional countries improve their policies, laws, regulations, entrepreneurial skills and professional networks to boost private sector productivity, ensure equal opportunities for women and marginalized groups, and spur diversified and sustainable economic growth.

We will support capacity building of private-sector entities that can link the poor to markets, including international ones, through effective and economically sustainable systems and relationships. Through implementing the U.S. Global Food Security Strategy, we will continue our global leadership to advance inclusive and sustainable agricultural-led economic growth, strengthen resilience among people and systems, and improve nutrition, especially among women and children, to enhance human potential, health, and productivity. We will strive to alleviate the burden of gender-based violence, which affects women's ability to thrive and succeed.

The Department and USAID will encourage improvements to corporate governance, sharing new

technology, supporting capital formation and strong, abuse-resistant financial systems to bolster the business capacity of small business and high growth-potential entrepreneurs to help grow and integrate domestic and international markets. By strengthening property rights and land/resource tenure, U.S. engagement will support women's economic empowerment, youth employment, conflict prevention, and other development objectives. We will promote the use of U.S. pollution control technologies, combat environmental crimes and marine debris, and support innovative approaches to climate resilience. In furtherance of the U.S. Global Water Strategy's goal of a more water secure world, the Department and USAID will also work to increase the availability and sustainable management of safe water and sanitation.

We will foster transparency in environmental governance in partner countries, support the modernization of power grids, improve energy security, help partner countries make investments in their own development agenda, and improve their capability to track and report financial flows. We will foster the ability of countries and communities to take on the responsibility for building resilience and managing risks from shocks and stresses by helping countries more effectively harness their domestic resources as well as private sector capital.

Cross Agency Collaboration

In addition to engaging bilaterally and through multilateral fora, partner agencies include the Departments of Commerce (DOC), Treasury (DOT), Health and Human Services (HHS), Energy (DOE), Interior (DOI), the Centers for Disease Control (CDC), the Environmental Protection Agency (EPA), the Trade and Development Agency, and the Peace Corps.

Risk

The ability of the Department of State and USAID to advance economic development and growth in partner countries, and thereby advance American economic objectives, is affected by external risk

factors, including the degree of partner country leadership and political will to enact major reforms; lack of domestic resources and investments; corruption and mismanagement; and increased incidence of conflict, crisis and natural disaster.

Global economic security and development also face risks from the disruption caused by natural disasters. Economic losses from hazards such as storms, earthquakes, and pandemics are both drivers and symptoms of state fragility. Investments in improving governance, including building social trust, increasing accountability of policymaking, and improving capacity of administrations to deliver quality services to citizens of both sexes and all demographic groups, have been shown by experience to improve resilience in the face of major disruptions.

Performance Goal 2.2.1

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

Performance Goal 2.2.2

By 2022, achieve parity in participation between women and men in programs that are designed to increase access to economic resources.

Performance Goal 2.2.3

By 2022, increase the number of people reached by U.S. government-funded interventions providing gender-based violence (GBV) services (with 2016 as the baseline).

Performance Goal 2.2.4

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

Performance Goal 2.2.5

By 2022, increase sales and employment of 25,000 firms through technical assistance to improve business performance.

Performance Goal 2.2.6

By 2022, partner institutions and individuals adopt sustainable environmental practices, resulting in improved health and economic outcomes.

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

Strategic Objective Overview

America's prosperity, which underwrites our national security, depends on maintaining a fair, open, and stable international economy that guarantees reliable access to affordable energy for the United States and our allies, and well-governed trading partners. As the United States is an increasingly dominant energy producer, the Department of State and USAID have the opportunity to forge a market-based international energy policy that strengthens the energy security of the U.S. and our allies. Maintaining market access for U.S. energy products, technologies and services, and

ensuring sustainable, transparent, and predictable international energy markets for our partners and ourselves is crucial to our security. However, lack of access to energy creates conditions for political instability, migration, and the proliferation of extremist organizations. Non-competitive behavior, such as monopolies, sole suppliers, and cartels that use energy as a political and economic weapon threaten global energy security. We also work to deny terrorists and rogue nations access to funds derived from energy production. These are threats not only to the economic and national security of American allies and partners, but also of the United States itself.

Transparency shines a light on corruption and makes foreign publics more invested in their governments, while also protecting American citizens and companies operating abroad. The United States has long played an international leadership role promoting the adoption of international best practices in order to perpetuate the rules-based economic system upon which our prosperity is predicated, and to help ensure a free and fair arena where U.S. companies can compete.

Strategies for Achieving the Objective

To advance the President's National Security Strategy and the America First Energy Plan, the Department promotes energy security for the United States, our partners and allies by promoting diverse global energy supplies from all energy sources. The Department of State works to defeat ISIS and other transnational terrorist organizations by preventing the groups' ability to exploit energy resources they control. The Department works to open markets and remove barriers to energy trade and development while promoting U.S. energy exports globally, including U.S. liquefied natural gas (LNG). The Department and USAID coordinate with governments and companies to pursue energy diversification and increased access to affordable and reliable energy (particularly to electric power) and to develop efficient and sustainable energy policies abroad through technical assistance and public-private partnerships. We work through the global Extractive Industries Transparency Initiative (EITI) to promote trans-

parency abroad, improve energy resource governance, and reduce corruption.

The Department and USAID work with partner countries to promote a culture of integrity to prevent corruption before it starts and to strengthen detection and enforcement efforts. This includes encouraging countries to meet multilateral standards and political commitments. We work with partners to develop and implement international standards to combat the bribery of foreign officials, based on the Organization for Economic Cooperation and Development (OECD) Anti-Bribery Convention. The Department and USAID focus on recovering the ill-gotten lucre of corruption by working bilaterally and multilaterally to strengthen the capacity of foreign governments to investigate and prosecute public and private sector corruption. We provide a comprehensive range of assistance to help countries in developing and sustaining an array of governmental reforms that contribute to fighting corruption. The Department manages the Global Anti-Corruption Consortium in partnership with USAID and partner governments. The Department's comprehensive anti-corruption programs build the capacity of foreign law enforcement to combat corruption, including kleptocracy, and strengthen international standards and political will to implement needed reforms.

The Department and USAID promote a wide array of policy and legislative reforms to remove barriers to doing business, encourage transparency, promote fiscal responsibility, and protect investor and intellectual property rights. Two important vehicles for convening partners are the G7 and G20 summits, which bring together member countries to enhance government transparency and accountability. The Department leads U.S. participation in bilateral and multilateral energy task forces that recommend solutions to energy problems affecting our partners around the world. The agencies work through bilateral and multilateral engagement, and regional initiatives such as Power Africa and Connecting the Americas 2022 to expand electrical interconnections.

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

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

Cross Agency Collaboration

The Department and USAID work with partner governments on regulatory reform and multilateral institutions to push for sound macroeconomic fundamentals. In addition to engaging bilaterally and through multilateral fora, partner agencies include the U.S. Departments of Commerce (DOC), Energy (DOE), Interior (DOI), Treasury (DOT), Justice (DOJ), the Securities and Exchange Commission (SEC), the Overseas Private Investment Corporation (OPIC), the Trade and Development Agency, the Federal Energy Regulatory Commission (FERC), and the Export-Import Bank of the United States.

Risk

The combination of political instability in major energy producers and disruption of global trade at a major chokepoint such as the Strait of Hormuz threaten global energy security. Dependence on a single or major supplier for energy imports leaves countries vulnerable to external pressure from countries that use energy as a geopolitical weapon. Competition for energy can lead to conflicts, and terrorists and rogue regimes could seek to exploit energy resources to fund violence and destabilizing activities. U.S. companies and citizens involved in energy projects abroad can face security threats and corruption. Pressure from relentless demand increases in Asia combined with a prolonged disruption in either supply or availability of energy commodities on the global market could put untenable stress on the institutional frameworks that have prevented a major global energy crisis for the past quarter-century.

The continuing allure of closed economic systems as alternative models remains a risk to good governance and global prosperity. If leading developing countries pull back on anti-corruption and market reform efforts, other governments may be tempted to de-prioritize these critical initiatives.

Performance Goal 2.3.1

By 2022, promote an increase in U.S. energy exports and achieve for the United States, its allies, and partners increased energy security and access to diversified, affordable, and reliable energy sources.

Performance Goal 2.3.2

Through 2022, prevent and combat corruption and its role in related criminal activity by strengthening other countries' commitment and capacity to address it through increased anti-corruption training and anti-corruption measures.

Performance Goal 2.3.3

By 2022, through assistance to central governments or non-governmental organizations, improve fiscal transparency in at least five countries assessed as not meeting the minimum requirements under the fiscal transparency review process.



GOAL 3:

PROMOTE AMERICAN LEADERSHIP THROUGH BALANCED ENGAGEMENT

Strategic Goal Overview

America First does not mean America alone. The United States is a beacon of liberty, freedom, and opportunity. Since the conclusion of the Second World War, the United States has led the development of a rules-based international order that allows nations to compete peacefully and cooperate more effectively with one another. We worked together with allies and partners to build the institutions and structures to defend the sovereignty, self-governance, security, and prosperity of all nations and peoples. Yet past successes alone cannot ensure this system will continue indefinitely without being renewed, rejuvenated, and made to be truly reciprocal. As the President stated in his remarks at the 72nd session of the United Nations General Assembly, “We are guided by outcomes, not ideology. We have a policy of principled realism, rooted in shared goals, interests, and values.”⁹ The ability to ensure peace, security, and prosperity requires a more principled and balanced approach to our engagement with our allies and partners: balanced between opportunity and responsibility; between shared goals, interests, and values; and between assistance and enforcement.

U.S. foreign policy must first serve Americans and our national interests, with the United States as a leader and integrated member of the global community. Through alliances and partnerships, the United States promotes mutual security and economic interests in cooperation with like-minded countries. The United States moreover continues to play a leading role in international and multilateral organizations, presenting opportunities to build consensus around American values, advancing American national security, economic, and development goals; and rallying collective action with American leadership. However, no one nation should have to bear a disproportionate share of the burden of responsibility to protect against common threats.

The United States will continue to be the global leader in preventing the spread of disease, promoting protections for human dignity and rights, and facilitating humanitarian efforts around the world -- projecting American values as we stand shoulder to shoulder with people in their hour of need. It is who we are as Americans.

The Department and USAID will continue to pay our fair share but will not commit to invest without returns. The Department of State and USAID must encourage, prepare, and support our allies and partners to meet their obligations. We are committed to maximizing the impact of American taxpayer dollars and ensuring that the foreign assistance the agencies invest in lead to sustainable results.

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

Strategic Objective Overview

U.S. foreign assistance aims to foster inclusive economic growth, reduce poverty, strengthen democratic governance, and enhance peace and security, while helping countries progress beyond needing assistance. The Department of State and USAID will ensure partner countries demonstrate their tangible commitment to achieving these objectives while maximizing the impact of American taxpayer dollars. U.S. assistance will not be provided in perpetuity. The Department and USAID will measure the impact of our assistance by how it helps countries move from assistance recipients to enduring diplomatic, economic, and security partners.

⁹ The President of the United States’ remarks at the 72nd session of the United Nations General Assembly: <https://www.whitehouse.gov/briefings-statements/remarks-president-trump-72nd-session-united-nations-general-assembly/>

Strategies for Achieving the Objective

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

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

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

Cross Agency Collaboration

The Department and USAID work closely with the Departments of Defense, Treasury, Agriculture, Energy, Environmental Protection, Justice, Commerce, and Health and Human Services. The Millennium Challenge Corporation provides assistance to partner countries to meet threshold indicators on democracy, anti-corruption, and rule of law. Regional associations such as the As-

sociation of Southeast Asian Nations (ASEAN), the European Union (EU), Economic Community of West African States (ECOWAS), the Organization of American States (OAS), the Organization of Economic Cooperation and Development (OECD), and others are key stakeholders advocating for common standards and global partnerships. UN agencies and bilateral donors provide project expertise and funding complementing U.S. assistance.

Risk

Risks include negative changes in the economic and political context; malign influence from state and non-state actors; large scale population movements resulting from conflict and instability in neighboring countries that strain public services, infrastructure, and integration services in receiving countries; corruption; and the risk of natural disasters (floods, droughts, tsunamis, earthquakes, and other extreme weather events).

Performance Goal 3.1.1

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

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

Strategic Objective Overview

International organizations present opportunities to build consensus around American values; advance American national security, economic, and development goals; and rally collective action with American leadership. Multilateral organizations set norms that support political stability, personal liberty, economic prosperity, public health, social

development, and that address forced displacement and international migration. By working through these fora, the United States can more effectively make our citizens safe, our businesses prosperous, and our future promising. Active engagement in multilateral fora allows the United States to exercise its leadership to shape the rules and norms of the international order and to prevent malign actors from advancing ideas and policies that are contrary to our interests.

The United States makes assessed contributions to 44 international organizations, including the UN and NATO. U.S. contributions include support to international peacekeeping activities, the International Organization for Migration (IOM), the World Health Organization (WHO), and the United Nations High Commissioner for Refugees (UNHCR). In all of these cases, the U.S. government strives to ensure equitable burden sharing among donors and to leverage a broader international donor base. American representatives serving on governing boards of international organizations contribute significantly to the policies and standards set by these bodies.

Strategies for Achieving the Objective

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

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

We must hold others accountable for sharing the financial burden while supporting collective ac-

tion. Many recipients of U.S. assistance play critical roles as partners in countering transnational terrorist and criminal groups and as contributors to peace operations. We will engage with new donors willing to contribute expertise and funds such that our mutual efforts and shared costs align with the Department and USAID's respective comparative advantages.

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

Cross Agency Collaboration

Cooperation across the U.S. Government is essential to achieving more equitable burden sharing. This cooperation is also necessary to align positions on organizational reform, contributions to and maintenance of high fiduciary, social and environmental standards in multilateral development banks. In addition, filling senior positions in international organizations with Americans is a priority to enable advancement of U.S. values and interests.

Risk

As other nations increase their relative financial contributions and participation in multilateral fora, it could decrease U.S. influence in achieving key policy objectives in specific cases as well as blunt broader organizational reform, leaving the door open to adversaries exerting greater influence in shaping the international order. This would limit the agencies' ability to advance the U.S. foreign policy agenda and could result in setbacks on key policies that promote and protect American interests.

Performance Goal 3.2.1

By 2022, U.S. contributions as a percentage of total funding support for international organizations are reduced below 2017 levels.

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

Strategic Objective Overview

The United States cannot accomplish effective diplomacy and development alone. Strategic partnerships across the public, private, faith-based, and nonprofit sectors help the United States connect with communities and civil society to create shared value, purpose, and vision, and are critical to achieving our national security objectives. Because decision-making is dispersed among state and non-state actors, cultivating relationships is vital.

USAID's Global Development Alliance (GDA) builds partnerships with local and international companies and a range of other partners based on principles of shared interest and value focused on market-based solutions. Working with financial institutions, companies, and other financial providers, USAID facilitates greater private investment to support development objectives in energy, agriculture, and health. USAID works with partners to tackle barriers to investment and to provide technical expertise and tools.

Digital engagement, visitor and exchange programs, and local community efforts led by U.S. program alumni help build partnerships that positively influence foreign publics in pursuit of U.S. interests. More than 650 public engagement facilities ("American Spaces") worldwide enable English language learning, people-to-people programs, and youth leadership networks like the

Young African Leaders Initiative. The Department of State and USAID will facilitate access for and collaborate with U.S. companies and foundations that invest in workforce skills development for foreign populations, expand digital literacy and access, and foster entrepreneurship ecosystems that support U.S. interests.

Strategies for Achieving the Objective

The Department and USAID will engage civil society and NGOs, along with the private sector, to maximize our ability to affect positive change, including protecting ethnic and religious minorities and other marginalized populations; promoting religious and ethnic tolerance; and providing emergency assistance to human rights defenders and survivors of abuse.

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

Cross Agency Collaboration

Our strategic partnerships represent a diverse network of organizations, including for-profit businesses, civil society, academic institutions, philanthropic foundations, and diaspora groups. Partners include state and local law enforcement agencies; American and foreign universities; media organizations and journalist advocacy groups; cultural; sports; and youth organizations; religious leaders and religious communities; faith-based organizations; and schools.

Risk

Shrinking democratic spaces make programs more costly, dangerous, restrictive, or illegal. The Department and USAID use rigorous program reviews to maintain transparency while protecting the security of our partners. Lastly, significant drops in a population’s trust of the United States may constrain willingness to work with the Department and USAID as partners.

Performance Goal 3.3.1

By 2022, increase partnerships with the private and public sectors in order to promote shared goals, leverage resources, and utilize expertise for more sustainable results.

Performance Goal 3.3.2

By 2022, increase approval of United States government policies among influential foreign publics.

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

Strategic Objective Overview

Health crises, disease, conflicts, water scarcity, land degradation, and natural disasters displace tens of millions of people each year, and can destabilize societies and political systems. We will stand with the world’s people when disaster strikes or crisis emerges, because that is who we are as Americans. As the world’s leaders in humanitarian assistance, food security and health, the Department and USAID demonstrate the best of American leadership and compassion around the world. Strengthening the resilience of assis-

tance recipients enables U.S. humanitarian assistance to lay the groundwork for long-term political, economic, and social advancements, which will consolidate and protect American investments, produce new opportunities, and project American values and leadership.

The U.S. President’s Emergency Plan for AIDS Relief (PEPFAR), active in more than 60 countries, catalyzes a global response to control the HIV/AIDS epidemic. Innovative programs in nutrition and women’s health support USAID’s efforts in preventing maternal and child deaths. In addition, the Global Health Security Agenda (GHSA) serves as a multilateral and multi-sectoral approach to strengthen capacities to prevent, detect, and respond to infectious threats and public health emergencies of international concern, and to enable national governments to fulfill their obligations under the International Health Regulations (IHR).

Strategies for Achieving the Objective

The Department and USAID will take the lead on humanitarian assistance globally through policies, multi-sectoral programs, and funding in order to provide protection and ease suffering. We will work through multilateral systems to build global partnerships and ensure compliance with international norms and standards. Additionally, we will promote best practices in humanitarian response, ensuring that humanitarian principles are supporting broader U.S. foreign policy goals. Collaboration with donors and host countries will help identify solutions to displacement, protect people at risk, promote disaster risk reduction, and foster resilience. The Department and USAID will give particular attention to mitigating gender-based violence in emergency contexts.

Through efforts in family planning, malaria, HIV/AIDS, and nutrition, the agencies’ health programs will work to strengthen child and maternal health, a cornerstone of public health, to reduce deaths, preempt pandemics and the spread of diseases, and foster prosperity and stability. These programs will concentrate on countries with the

highest need, demonstrable commitment, and potential to leverage resources from the public and private sectors.

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

Cross Agency Collaboration

In order to achieve this objective, we will collaborate with the our interagency partners including the Departments of Treasury, Defense, Commerce, Agriculture, Health and Human Services, Labor, Peace Corps, and the Millennium Challenge Corporation. Other partners include the American Chambers of Commerce, foreign development assistance agencies, multilateral development finance institutions, and NGOs.

Risk

The risks to this objective include insufficient transparency and accountability in partner countries and implementing partners, strains that could lead to instability in refugee-hosting nations, and nations that seek to subvert U.S. leadership or otherwise seek to promote their own interests. Other risks to our efforts include reluctance of partner governments to comply with IHR and contribute their fair share, economic downturns, natural disasters, and conflict.

Performance Goal 3.4.1

By September 30, 2019, U.S. global leadership and assistance to prevent child and maternal deaths will annually reduce under-five mortality in 25 maternal and child health U.S. Government-priority countries by an average of 2 deaths per 1000 live births per year as compared to 2017. (APG)

Performance Goal 3.4.2

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

Performance Goal 3.4.3

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

Performance Goal 3.4.4

By 2022, USAID increases its systematic response to gender-based violence in emergencies by increasing the percentage of proposals it receives from non-governmental organizations that include protection mainstreaming to 95 percent.

Performance Goal 3.4.5

Through 2022, timely contributions to emergency appeals ensure humanitarian international organizations respond rapidly to the urgent needs of refugees and other populations of concern by maintaining the percentage of UNHCR Supplementary Appeals and ICRC Budget Extension Appeals the U.S. commits funding to within three months.

Performance Goal 3.4.6

By 2022, the United States will increase the timeliness and effectiveness of responses to U.S. government-declared international disasters, responding to 95 percent of disaster declarations within 72 hours and reporting on results.

Performance Goal 3.4.7

By 2019, the United States will identify and pursue key changes by major implementing partners the U.S. believes are required to improve accountability and effectiveness, and create operational and managerial costs savings in humanitarian responses as outlined in the Grand Bargain.



GOAL 4:

ENSURE EFFECTIVENESS AND ACCOUNTABILITY TO THE AMERICAN TAXPAYER

Strategic Goal Overview

The Federal Government can and should operate more effectively, efficiently, and securely. As such, the Administration will set goals in areas that are critical to improving the Federal Government's effectiveness, efficiency, cybersecurity, and accountability. This includes taking an evidence-based approach to improving programs and services; reducing the burden of compliance activities; delivering high performing program results and services to citizens and businesses through effective and efficient mission support services; and holding agencies accountable for improving performance.

In support of these aims, this goal guides the management of our people, programs, information, and capital assets. It requires pursuing efficiencies at all levels, streamlining the Department of State and USAID's organizations without undermining their effectiveness; using data-driven analysis for decisions; making risk-based investments in safety and security; diversifying and reorienting the foreign assistance portfolio toward innovation and sustainability; and developing a more flexible, highly skilled workforce.

The Department and USAID will optimize operations and resource allocations to execute our diplomatic and development objectives in a secure, strategic, well-coordinated manner. To better serve the mission and employees, as well as achieve operational efficiencies, we will use a range of service delivery models, including outsourcing, shared services, local delivery, and globally managed centers of excellence. We will realize greater returns on investment by using public-private partnerships and more adaptive and flexible procurement mechanisms to complement more traditional models for implementing foreign assistance. The Department and USAID will maintain an agile workforce structure that

ensures the agencies have the right people at the right time with the right expertise domestically and abroad. Flexible physical workplaces, state-of-the-art technology and use of cloud technologies will enable secure access to information technology anytime, anywhere. Integrated data platforms will improve knowledge sharing, collaboration and data-driven decision making by leaders and staff. To maintain safe and secure operations, we will continue to assess facilities and numbers of people at all overseas missions, adjusting where needed, and conduct annual reviews of high threat, high risk posts.

The Department and USAID consistently seek to maximize taxpayers' return on investment and improve operational efficiency; one important means is by addressing the management objectives cited in the JSP. Strategies contained in this goal's management objectives address several of the management and performance challenges identified by the Department and USAID Offices of Inspector General (OIG) in the Department¹¹ and USAID's¹² recent Agency Financial Reports and by the U.S. Government Accountability Office (GAO). The Department and USAID will track progress towards successful completion of strategic objective performance goals across this goal in the Annual Performance Plan and Annual Performance Report.

Strategic Objective 4.1: Strengthen the effectiveness and sustainability of our diplomacy and development investments

Strategic Objective Overview

To be good stewards of American taxpayer dollars, achieve lasting results, and advance U.S. foreign policy objectives, the Department and USAID will ensure sound strategic planning and

¹¹ Department of State's Agency Financial Report: <https://www.state.gov/documents/organization/274977.pdf>

¹² USAID's Agency Financial Report: <https://www.usaid.gov/sites/default/files/documents/1868/USAIDFY2017AFR.pdf>

program management are in place and invest our resources based on evidence. Our agencies work in countries with rapidly evolving political and economic contexts and complex challenges. By adopting more innovative and flexible approaches to program design, and continuously learning throughout program implementation, we will be able to respond nimbly and adapt to lessons learned.

Disciplined planning and design processes help ensure the Department and USAID understand the local country context, assess what we need to do, and set meaningful performance milestones and targets to achieve diplomatic and development objectives. Robust monitoring and evaluation processes enable our agencies to learn what is working and how best to adapt programs to achieve results. Ultimately, the purpose of foreign assistance is to end its need for existence, by supporting countries in leading their own development journey.

The Department and USAID will invest in cutting-edge approaches to find new and better ways to address the problems we are trying to solve. We will collaborate with the private sector and other non-traditional actors that can bring new resources and ideas, leverage new technologies or innovations that can accelerate our efforts, and strengthen the capacity of local partners to ensure the long-term sustainability and success of Department and USAID programming.

Strategies for Achieving the Objective

The Department of State's Managing for Results Framework (MfR) and the USAID Program Cycle are foundational to making diplomatic engagement activities and development investments effective, efficient, and sustainable. These frameworks for strategic planning, budgeting, and program management set the stage for strategic alignment of resources and evidence-based diplomacy and development.

The Department and USAID conduct joint strategic planning for regional bureaus, which in turn informs country level strategic planning. Each Department of State functional bureau develops a strategic plan for coordination across regions and countries. All embassies have an Integrated Country Strategy (ICS) in place, and as of 2017, USAID operating units completed 63 Country Development Cooperation Strategies (CDCS), representing the majority of USAID missions.¹³ The sustainability of our investments depends on results produced and valued by partner countries. Therefore, we will give precedence to local priorities and local implementers in regional and country strategic planning that align with American interests.

The Department and USAID will evaluate programs to learn what is working well and where there is a need to adapt to maximize effectiveness. All foreign assistance evaluation reports will continue to be publicly available on USAID¹⁴ and Department¹⁵ websites. Ancillary to these efforts is the creation of USAID's Development Information System (DIS), a unified portfolio management system designed to better manage USAID's data, facilitate evidence-based decision-making, and enable USAID to improve reporting on the results of its activities.

The Department and USAID will develop training and provide guidance to enable bureaus and overseas missions to define more clearly their programmatic goals, describe how our investments will help achieve them, and conduct robust monitoring and evaluation to determine the results and strengthen accountability. This guidance will be available online and will communicate to the public the processes in place to ensure good management of taxpayer resources.¹⁶

We will increase the efficiency and effectiveness of procuring services through contracts and support partners with grants and cooperative agreements, and increase our use of innovative and flexible instruments that allow for co-creation

¹³ Country Development Cooperation Strategies <https://www.usaid.gov/results-and-data/planning/country-strategies-cdcs>

¹⁴ Development Experience Clearinghouse: <https://dec.usaid.gov/dec/home/Default.aspx>

¹⁵ Foreign Assistance Evaluations: <https://dec.usaid.gov/dec/home/Default.aspx>

¹⁶ State: <https://www.state.gov/f/tools/> and USAID: <https://usaidlearninglab.org/mel-toolkits>

and payment for performance. The Department and USAID will streamline acquisition and assistance processes, deploy the State Assistance Management System (SAMS) across the Department, and create innovative approaches to improve core operations, increase stakeholder engagement, and enhance the capabilities of our workforce. Existing grant management systems will be improved to include performance management capabilities, streamlined communication, oversight, and coordination with grant recipients.

Cross Agency Collaboration

The Department and USAID collaborate with government institutions, private sector partners, national and international aid transparency and oversight groups, and civil society organizations in partner countries to gain valuable external perspectives and new ideas about how we conduct our work. We meet with Congressional stakeholders to discuss proposed budgets and approaches to delivering on our missions as well as on the status of pending legislation and our implementation of new laws affecting effectiveness and efficiency.

Risk

While risk is inherent to the Department and USAID's work, planning, managing, and monitoring projects in non-permissive environments poses specific challenges. These include finding qualified contractors and grantees willing to work in these environments, vetting partners, providing security for and periodically evacuating overseas agency personnel, and gaining access to local partners and project locales for appropriate project design and monitoring.

Greater engagement of local implementers can also pose risk. USAID will continue to use a Non-U.S. Organization Pre-Award Survey to determine the risks involved in the selection of local implementing partners and develop special award conditions to mitigate identified risks. Building local capacity can, however, take time, be more resource intensive up front, and may slow the rate of achieving specific development objectives. As

a result, development impact may take additional time as local partner capacity is strengthened in the short term.

Performance Goal 4.1.1

By 2022, increase the use of evidence to inform budget, program planning and design, and management decisions.

Performance Goal 4.1.2

By 2022, increase engagement with local partners to strengthen their ability to implement their own development agenda.

Performance Goal 4.1.3

By September 30, 2019, USAID will have increased the use of collaborative partnering methods and co-creation within new awards, measured by dollars and percentage of procurement actions (to be determined after baselines established in FY2018). (APG)

Performance Goal 4.1.4

By September 30, 2019, meet or exceed Federal targets for Best-In-Class (BIC) contract awards. (APG)

Strategic Objective 4.2: Provide modern and secure infrastructure and operational capabilities to support effective diplomacy and development

Strategic Objective Overview

The Department of State and USAID coordinate closely to achieve U.S. foreign policy objectives. Mission execution is supported by multiple operational platforms with minimal leveraging of shared services. Harmonizing mission support functions for both agencies will leverage economies of scale, improve process visibility, enhance technology integration, and improve the quality and the speed with which the agencies deliver support services.

The Administration's support for benchmarking results, as well as staff perceptions shared during the Secretary's listening tour, emphasized the need for the Department and USAID to improve the efficiency and effectiveness of management support functions, including the global logistics and supply chain. This includes improving staff's customer satisfaction with mission support services while also reducing costs. This will entail more consistent evaluation of support services results to ensure the Department's global supply chain meets or exceeds established service standards.

Our geographically dispersed staff requires technological tools to work and collaborate from anywhere at any time using any mobile or fixed device. For staff to work more efficiently, data and information technology (IT) security policies and procedures must be aligned to support the conduct of diplomacy and development assistance. The Department and USAID's IT risk management approaches should also be clear and flexible enough to allow for the expeditious testing and piloting of emergent tools. Connecting the agencies' infrastructure and services will reduce the complexity and long-term costs of the agencies' IT systems. We will pursue a collaborative approach to improving IT and data governance

processes to adopt interoperable processes, standards, and tools.

Both agencies are committed to accomplishing IT goals in order to better support overarching diplomacy and development strategies. For the Department, this commitment is outlined in the IT Strategic Plan objective "Modernizing IT Infrastructure," which states that the Department will "deploy a modernized IT infrastructure that enables seamless access to information resources." In turn, in USAID's IT Strategic Plan, its Goal 2 "Secure Operations Excellence" states that "IT operations and information security is improved, and the infrastructure supporting all of our IT services is reliable, efficient, and meets their service level agreements."

The Department of State's Impact Initiative and USAID's ReDesign will contribute to achieving this objective. Enhancement of the Department's Integrated Logistics Management System has been ongoing since 2015, and will continue into the foreseeable future. In addition, the Department and USAID's respective efforts to implement action plans to comply with the Federal Information Technology Acquisition Reform Act (FITARA), Federal Information Security Management Act (FISMA), and Federal IT modernization efforts will also substantively contribute to a modern and secure technology infrastructure.

Strategies for Achieving the Objective

The Department and USAID will promote and share services where appropriate to deliver cost effective and customer focused services and products. Informed by analysis grounded in data, the agencies will consolidate where appropriate and improve logistics. Improving the quality of data will be a priority. We will increase data quality assurance measures, such as enforcing enterprise data standards, conducting periodic data quality audits to assess data validity, and mitigating root causes of systemic errors.

The Department and USAID will prioritize cloud-based tools for collaboration and web-

based systems that improve the accessibility of timely, relevant data to staff and decision makers. Wireless access to data will enhance productivity within agency offices. To facilitate centralized control of IT resources, the Department will improve the governance processes to ensure its Chief Information Office (CIO) is positioned to meet legislative requirements for control over Department-wide IT spending and systems -- an effort that has already occurred at USAID. Tiered trust security will allow access to data based on the level of trust established by user identification, device, and location. The Department and USAID will modernize legacy systems and software, which will include efforts to reduce the number of disjointed data warehouses. Employing business intelligence tools will allow the aggregation, analysis, research, and evidence-based assessment of U.S. foreign policy and development work for data scientists.

The Department will continue to expand and improve its global supply chain platform, the Integrated Logistics Management System (ILMS). We will train more staff at posts to use ILMS to reduce their use of resources, monitor for fraud, and streamline logistics and procurement processes. The Department may develop new ILMS modules to expand posts' capabilities further, for example by producing new types of reports that analyze different data. Other agencies have shown interest in using this logistics platform. We will encourage them to participate in this shared service, which would reduce costs to each agency. However, the inability to conduct pilot tests, site visits, and training could potentially hinder the Department's ability to expand the ILMS platform and gain the efficiencies that come from it.

Cross Agency Collaboration

The Office of Management and Budget (OMB), House Oversight and Government Reform (HOCR) Committee, Foreign affairs agencies that operate under Chief of Mission authority overseas, and the American public and businesses that rely on accurate Department and USAID data.

Risk

Modernizing legacy systems and training staff on these systems present risks to the agencies. Additionally, this will likely have higher costs up front, but the initial investment will lead to long-term payoffs and cost savings. There may be a risk in spending money to maintain old services rather than investing in newer cost saving technology.

Performance Goal 4.2.1

By 2022, provide USAID staff access to integrated and accurate foreign assistance portfolio data to better assess performance and inform decision-making.

Performance Goal 4.2.2

By 2022, establish a plan to expand and leverage analytics capabilities of the Department's integrated global logistics systems to drive data-informed decisions, efficiencies, and/or improved accountability in the supply chain.

Performance Goal 4.2.3

By 2022, improve or maintain the agencies' Megabyte Act grades to A to realize cost savings and efficiencies.

Performance Goal 4.2.4

By September 30, 2019, the Department will improve its IT service delivery by reducing the average time associated with providing new IT capabilities by 20 percent (baseline to be determined in FY 2018), managing 100 percent of workforce digital identities through a central Enterprise Identity Management solution, from a baseline of zero, and increasing workforce access to cloud-based email and business data from any device from 10 percent to 100 percent. (APG)

Strategic Objective 4.3: Enhance workforce performance, leadership, engagement, and accountability to execute our mission efficiently and effectively

Strategic Objective Overview

The Secretary's Listening Report found that at both the Department of State and USAID, people are inspired by being of service and making a difference, and are passionate about the mission to serve humanity. In both cases, people are inspired by those with whom they work. The Report also identified human resource (HR) issues that the Department and USAID could each improve. Some of the findings for our agencies included distributed delivery of burdensome, duplicative transactions; redundant HR systems; and minimal quality assurance mechanisms to ensure accuracy and validity of data. The Department and USAID will each create nimble and data-informed decision making processes that lead to greater employee engagement with HR services. We will bolster programs to hire, develop, assess, and align technical, managerial, and leadership talent (especially at the senior ranks) specific to each agency. By focusing on the issues identified above, the Department and USAID will maximize

the impact of our foreign policy objectives while further diversifying and empowering an agile workforce.

Strategies for Achieving the Objective

The Department and USAID seek to improve flexibility, cost effectiveness, and strategic human capital support at each agency. As such, the Department's Impact Initiative and USAID's ReDesign as well as the Human Resources Transformation Initiatives will be important in achieving this objective. We will establish consistent, measurable standards for HR processes and procedures, performance goals, and continuous improvement initiatives where needed. We will review and enhance service level agreements that better enable customers to focus on the core business/mission. In addition, we will expand or create specialized work teams and processes for complex inquiries.

The Department and USAID will review HR functions and staff within each agency and recommend internal consolidation and outsourcing where appropriate to enhance flexible service delivery and provide global service and support to multiple bureaus more uniformly. Centralizing, consolidating, and automating transactions will allow HR staff at both agencies to provide more strategic human capital support. USAID will continue to advance implementation of its HR Transformation Objectives to strengthen HR operations.

The Department and USAID will develop an integrated approach to talent management that maximizes transparency and employee engagement, motivation, and accountability. We will close the gap between current and desired workforce capabilities by adopting effective workforce planning tools and hiring programs with best practice metrics and targets. We will develop talent management platforms tailored to each individual agency to better align personnel with positions and streamline workforce strategic planning. USAID will complete implementation of its HR Transformation Objectives related to workforce planning and deployment of staff. The Department will

complete and implement its TalentMap system and create full service websites for managers.

The Department and USAID will emphasize professional development and empower leadership at all levels. Our approach will promote diversity and inclusion and will help increase employee wellness. We will enhance performance management tools that enable frequent and substantive discussions, including multisource feedback, tied to performance expectations. Increasing leadership and diversity classes will contribute to these outcomes. To ensure greater employee and management accountability, we will better align performance objectives to measurable criteria, and we will enforce mandatory training requirements. The Department and USAID will identify promising leaders and invest in their growth.

Cross Agency Collaboration

The Office of Management and Budget (OMB) and Office of Personnel Management (OPM) guidance is instrumental in achieving this objective. The Department and USAID meet with Congressional stakeholders to discuss proposed budgets and approaches to delivering on our missions as well as on the status of pending legislation and our implementation of new laws affecting effectiveness and efficiency.

Risk

Consolidating HR functions within each individual organization while ensuring they are compliant with legislative requirements will be expensive and time consuming. The Department of State and USAID must demonstrate that centralization will increase efficiency and ultimately save money.

Centralization will challenge traditional HR structures and practices of the Department, particularly within regional bureaus. The Department and USAID must also ensure staffing levels align with the Department's Impact Initiative and USAID's ReDesign organizational structure and clearly communicate expectations for staff. As we implement new workforce planning tools

and databases, there must be standard operating procedures that preserve the data quality of employee records. Finally, efforts to improve talent management within a merit-based system require sustained leadership within the Department and support from Congress and unions.

Performance Goal 4.3.1

By 2022, the Department of State will reduce the costs of HR service delivery by 14 percent.

Performance Goal 4.3.2

By 2022, the Department of State and USAID will achieve a 5.08 overall satisfaction score in the Human Capital function of GSA's Customer Satisfaction Survey.

Performance Goal 4.3.3

By 2022, the Department of State will increase its FEVS calculated Employee Engagement Index to 72 percent.

Strategic Objective 4.4: Strengthen security and safety of workforce and physical assets

Strategic Objective Overview

Crime, terrorist attacks, civil disorder, health, and natural disasters threaten U.S. government personnel, their family members, and U.S. government facilities around the world. The Department of State and USAID aim to ensure its people and assets are safe by strengthening security programs, protective operations, and physical building infrastructure.

The Department and USAID will secure U.S. foreign affairs activity in all operating environments by providing safe, secure, functional, and sustainable facilities. Department and USAID facilities must comply with stringent security, protective, health, safety, environmental, and building code requirements, while ensuring a level of openness and accessibility that enables diplomatic priorities.

Diplomatic Security's International Program (DS/IP) and High Threat Program (DS/HTP) Directorates will help to achieve this objective through risk-based analysis and recommendations. The USAID Space Matters Program and the Department of State's Impact Initiative and USAID's Re-Design will also contribute to this objective.

Strategies for Achieving the Objective

The Department and USAID must proactively assess risks and strengthen the ability to respond. Achieving this requires strategies in priority areas, which includes fulfilling the Department's key responsibilities of developing and ensuring compliance with security standards, being a leader in protective security operations, and ensuring operationally safe facilities that adhere to occupational health and safety standards. This will require yearly review of all high threat, high risk posts by senior Department leadership using the Post Security Program Review (PSPRs) process and Program Management Review (PMRs) process to ensure adherence to Overseas Security Policy Board (OSPB) policy and compliance with procedures. Each year, the Department will review and validate our continued, or new, presence at all high threat, high risk posts using the Senior Committee on Overseas Risk Evaluation (SCORE) process.

The Department and USAID will establish and institutionalize an "Expeditionary Platform Working Group" in instances when foreign policy goals dictate a diplomatic or development presence in new or non-traditional operating environments. This Working Group would incorporate subject matter experts from appropriate Department of

State bureaus. Relevant representation from USAID and the Department of Defense should also be included to reflect an approach that encompasses defense, diplomacy, and development.

Staff plays a vital role in strengthening the security posture for both the Department and USAID. We will promote efforts to improve staff proficiency in mitigating organizational and individual staff security. We will emphasize a risk profile that balances risk and operational effectiveness and prepare people to operate wherever our work takes us, including in increasingly complex, unstable, and risky environments. The Department and USAID will centralize lessons learned with respect to both risk management and security concerns, thus making it easy to search and data mine security-related information to improve the institutionalization of corrective actions and create a true learning organization. We will also develop a mission analysis and policy planning process that is consistent, credible, and actionable, and that balances risk and resources.

Finally, the Department and USAID will codify our cooperation with other agencies (for example, Department of Defense, allied forces, United Nations, NGOs, etc.) by establishing standing authorities, protocols, and global mechanisms to improve operational effectiveness overseas, especially in non-permissive environments.

Cross Agency Collaboration

We will collaborate with the Department of Defense (DoD), United States Marine Corps (USMC), Intelligence Community, Overseas Security Policy Board (OSPB) members, private sector (architecture and engineering firms, construction firms, etc.), Office of Management and Budget (OMB), General Services Administration (GSA), and Congress to achieve this objective.

Risk

The Department and USAID have increased diplomatic presence in dangerous places to accomplish U.S. foreign policy and development

objectives. In those environments, it is harder to protect our people and to build and operate safe facilities.

Political behavior that destabilizes existing governance structures or distribution of power complicates our ability to negotiate with government officials and obtain the support needed for our security programs and construction of facilities. Events in countries where we maintain presence, such as war, terrorism, and civil disturbance, have impacts that could range from temporarily disrupting operations to threatening the physical safety of our employees, especially local employed staff.

Certain countries and property owners are unable or unwilling to provide full site transparency, which stifles fair pricing and access to preferential locations that provide a safer and more secure environment for our operations and staff. Such constraints are exacerbated by our need to assess and operate under a variety of complicated local construction conditions, environments, laws, and regulations.

Performance Goal 4.4.1

By 2022, ensure that Diplomatic Missions reviewed through the Post Security Program Review (PSPRs) process receive a 95-100 percent rating.

Performance Goal 4.4.2

By 2022, Department of State will move overseas U.S. government employees and local staff into secure, safe, and functional facilities at a rate of 3,000 staff per year.

Performance Goal 4.4.3

By 2022, domestically, USAID will improve safety and efficiency by consolidating scattered smaller spaces into more efficient larger locations.



3 FAM 1525 ANTI-SEXUAL HARASSMENT POLICY

(CT:PER-567; 09-22-2005)

(State)

(Foreign Service and Civil Service Employees)

- a. The Department of State is committed to providing a workplace that is free from sexual harassment. Sexual harassment in the workplace is against the law and will not be tolerated. When the Department determines that an allegation of sexual harassment is credible, it will take prompt and appropriate corrective action.
- b. All Department employees, including but not limited to staff, supervisors, and senior officials, are required to comply with this policy. Employees are expected to behave professionally and to exercise good judgment in work-related relationships, whether with fellow employees, business colleagues, or members of the public with whom they come in contact in the course of official duties. Further, all employees are expected to take appropriate measures to prevent sexual harassment. Unwelcome behavior of a sexual nature should be stopped before it becomes severe or pervasive and rises to a violation of law.

3 FAM 1525.1 What Is Sexual Harassment?

(CT:PER-567; 09-22-2005)

(State)

(Foreign Service and Civil Service Employees)

- a. Unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitute sexual harassment when:
 - (1) An employment decision affecting that individual is made because the individual submitted to or rejected the unwelcome conduct; or
 - (2) The unwelcome conduct unreasonably interferes with an individual's work performance or creates an intimidating, hostile, or abusive work environment.
- b. Certain behaviors, such as conditioning promotions, awards, training, or

other job benefits upon acceptance of unwelcome actions of a sexual nature, are always wrong.

- c. Unwelcome actions such as the following are inappropriate and, depending on the circumstances, may in and of themselves meet the definition of sexual harassment or contribute to a hostile work environment:
 - (1) Sexual pranks, or repeated sexual teasing, jokes, or innuendo, in person or via e-mail;
 - (2) Verbal abuse of a sexual nature;
 - (3) Touching or grabbing of a sexual nature;
 - (4) Repeatedly standing too close to or brushing up against a person;
 - (5) Repeatedly asking a person to socialize during off-duty hours when the person has said no or has indicated he or she is not interested (supervisors in particular should be careful not to pressure their employees to socialize);
 - (6) Giving gifts or leaving objects that are sexually suggestive;
 - (7) Repeatedly making sexually suggestive gestures;
 - (8) Making or posting sexually demeaning or offensive pictures, cartoons, or other materials in the workplace; and
 - (9) Off-duty, unwelcome conduct of a sexual nature that affects the work environment.
- d. A victim of sexual harassment can be a man or a woman. The victim can be of the same sex as the harasser. The harasser can be a supervisor, co-worker, other Department employee, or a nonemployee who has a business relationship with the Department.

3 FAM 1525.2 Responsibilities and/or Rights

3 FAM 1525.2-1 The Department's Responsibilities

(CT:PER-631; 12-14-2010)

(State)

(Foreign Service and Civil Service Employees)

- a. If the Department receives an allegation of sexual harassment, or has reason to believe sexual harassment is occurring, it will take the

necessary steps to ensure that the matter is promptly investigated and addressed. If the allegation is determined to be credible, the Department will take immediate and effective measures to end the unwelcome behavior. The Department is committed to taking action if it learns of possible sexual harassment, even if the individual does not wish to file a formal complaint.

- b. The Office of Civil Rights (S/OCR) is the main contact point for questions or concerns about sexual harassment. S/OCR has responsibility for investigating or overseeing investigations of alleged sexual harassment. S/OCR is committed to ensuring that all investigations of sexual harassment are conducted in a prompt, thorough, and impartial manner.
- c. Supervisors and other responsible Department officials who observe, are informed of, or reasonably suspect incidents of possible sexual harassment must immediately report such incidents to S/OCR, which will either initiate or oversee a prompt investigation. Failure to report such incidents to S/OCR will be considered a violation of this policy and may result in disciplinary action. S/OCR will provide guidance as needed on investigating and handling the potential harassment. Supervisors should take effective measures to ensure no further apparent or alleged harassment *occurs* pending completion of an investigation.
- d. The Department will seek to protect the identities of the alleged victim and harasser, except as reasonably necessary (for example, to complete an investigation successfully). The Department will also take the necessary steps to protect from retaliation those employees who in good faith report incidents of potential sexual harassment. It is a violation of both Federal law and this policy to retaliate against someone who has reported possible sexual harassment. Violators may be subject to discipline.
- e. Employees who have been found by the Department to have subjected another employee to unwelcome conduct of a sexual nature, whether such behavior meets the legal definition of sexual harassment or not, will be subject to discipline or other appropriate management action. Discipline will be appropriate to the circumstances, ranging from a letter of reprimand through suspensions without pay of varying lengths to separation for cause. A verbal or written admonishment, while not considered formal discipline, may also be considered.

3 FAM 1525.2-2 Employee's Rights and Responsibilities

(CT:PER-631; 12-14-2010)

(State)

(Foreign Service and Civil Service Employees)

- a. Any employee who believes he or she has been the target of sexual harassment is encouraged to inform the offending person orally or in writing that such conduct is unwelcome and offensive and must stop.
- b. If the employee does not wish to communicate directly with the offending person, or if such communication has been ineffective, the employee has multiple avenues for reporting allegations of sexual harassment and/or pursuing resolution.
- c. Employees are encouraged to report the unwelcome conduct as soon as possible to a responsible Department official. It is usually most effective—although it is not required—that the official be within the employee's supervisory chain. Responsible Department officials include first- or second-line supervisors, the offending person's supervisor, the post's management officer, the bureau's executive director, or the Office of Civil Rights (S/OCR).
- d. In addition to reporting sexual harassment concerns to a responsible Department official, employees who believe they have been subjected to sexual harassment may elect to pursue resolution in several ways, including:
 - (1) **Mediation:** Mediation is an informal way to resolve office problems using a trained mediator who facilitates communication between the parties to the dispute. If an employee chooses to attempt resolution through mediation, management is obligated by Department policy to send a representative to the table. If a resolution is not reached, the parties may continue to pursue their rights in any other appropriate forum. Employees may ask for the assistance of a mediator by contacting S/OCR;
 - (2) **Grievances:** Civil servants who are not covered by a negotiated grievance procedure cannot bring grievances on EEO matters. Civil Service employees who are covered by a negotiated grievance procedure may only file a grievance alleging sexual harassment or other EEO matters if permitted by the governing collective bargaining agreement. Members of the Foreign Service may file

grievances on EEO matters; however, pursuant to 3 FAM 4428, they must elect to file either a grievance or a formal EEO complaint. If a Foreign Service employee elects to file a grievance, the Grievance Staff (HR/G) will investigate the allegations and recommend a resolution to the Deputy Assistant Secretary responsible for rendering the agency decision on grievances. The employee may appeal to the Foreign Service Grievance Board;

- (3) **EEO processes:** All employees working in the United States and U.S. citizens working for the Department *abroad* can file an Equal Employment Opportunity (EEO) complaint with the Department. An employee who wishes to file a complaint under EEO procedures **must** consult an EEO counselor within 45 days of the alleged incident. A list of EEO counselors is available on S/OCR's Web site. It is not necessary for an employee to complain to his *or* her supervisor before approaching an EEO counselor, nor to attempt informal resolution through mediation or other means. (**NOTE:** Some contractors cannot, by law, bring EEO complaints against the Department; contractors may contact S/OCR for guidance); *and*
 - (4) **Processes for Foreign Service nationals (FSNs):** Issues raised by FSNs are handled at post consistent with post-established procedures for FSN discrimination complaints and guidance available on the S/OCR Web site. FSNs with questions about post procedures should contact the post's senior management officer and/or designated EEO counselor. FSNs may also contact S/OCR for guidance.
- e. More information about the resolution and complaint processes is available on the S/OCR's Web site.

3 FAM 1526 DISCRIMINATORY HARASSMENT POLICY

(CT:PER-631; 12-14-2010)

(State)

(Foreign Service and Civil Service Employees)

- a. The Department of State is committed to providing a workplace that is free from discriminatory harassment. Employees must not harass anyone because of race, color, gender, national origin, religion, physical or

mental disability, sexual orientation, or because the person is 40 years old or older. Employees also must not harass someone for opposing discrimination or for participating in the discrimination complaint process.

- b. Sexual harassment is addressed separately in 3 FAM 1525, *Anti-Sexual Harassment Policy*.
- c. All Department employees, including but not limited to staff, supervisors, and senior officials, must comply with this policy. All employees are also expected to take appropriate measures to prevent discriminatory harassment. Employees who believe they are being harassed for one of the reasons listed above or who witness potential harassment are encouraged to report the offending conduct so that it can be stopped before it becomes severe or pervasive and rises to a possible violation of law.

3 FAM 1526.1 What Is Discriminatory Harassment?

(CT:PER-567; 09-22-2005)

(State)

(Foreign Service and Civil Service Employees)

- a. Discriminatory harassment is verbal or physical conduct that denigrates or shows hostility toward an individual because of his or her race, color, gender, national origin, religion, age (40 or over), physical or mental disability, sexual orientation, or because of his or her opposition to discrimination or his or her participation in the discrimination complaint process. In general, harassment is against the law when it creates an intimidating, hostile, or offensive working environment, or when it interferes with an individual's work performance.
- b. Some examples of conduct that might constitute harassment include:
 - (1) Racial epithets, "jokes," offensive or derogatory comments, or other verbal or physical conduct based on an individual's race/color;
 - (2) Ethnic slurs, workplace graffiti, or other offensive conduct directed towards an individual's birthplace, ethnicity, culture, or foreign accent;
 - (3) Verbal or physical abuse, "jokes," or offensive comments based on an individual's age, gender, disability, or sexual orientation; and
 - (4) Making, posting, e-mailing, or circulating demeaning or offensive

pictures, cartoons, or other materials in the workplace that relate to race, ethnic origin, gender, or one of the other protected categories listed above, or using U.S. Government equipment to circulate such materials.

- c. The harasser can be a supervisor, co-worker, other Department employee, or a nonemployee who has a business relationship with the Department.

3 FAM 1526.2 The Department's Responsibilities Under This Policy

(CT:PER-631; 12-14-2010)

(State)

(Foreign Service and Civil Service Employees)

- a. If the Department receives an allegation of discriminatory harassment, or has reason to believe such harassment is occurring, it will take the steps necessary to ensure that the matter is promptly investigated and addressed. If the allegation is determined to be credible, the Department will take immediate and effective measures to end the unwelcome behavior. The Department is committed to taking action if it learns of possible discriminatory harassment, even if the individual does not wish to file a formal complaint.
- b. The Office of Civil Rights (S/OCR) is the main contact point for questions or concerns about discriminatory harassment. S/OCR is responsible for investigating or overseeing investigations of alleged discriminatory harassment. S/OCR is committed to ensuring that all investigations are conducted in a prompt, thorough, and impartial manner.
- c. Supervisors and other responsible Department officials who observe, are informed of, or reasonably suspect incidents of possible discriminatory harassment must immediately report such incidents to S/OCR, which will either initiate or oversee a prompt investigation. Failure to report such incidents to S/OCR will be considered a violation of this policy and may result in disciplinary action.
- d. S/OCR will provide guidance as needed on investigating and handling the potential harassment. Supervisors should take effective measures to ensure no further apparent or alleged harassment *occurs* pending completion of an investigation.

- e. The Department will seek to protect the identities of the alleged victim and harasser, except as reasonably necessary (for example, to complete an investigation successfully). The Department will also take the necessary steps to protect from retaliation those employees who in good faith report incidents of potential discriminatory harassment. It is a violation of both Federal law and this policy to retaliate against someone who has reported unlawful harassment. Violators may be subject to discipline.
- f. Employees who have been found by the Department to have discriminatorily harassed others may be subject to discipline or other appropriate management action. Discipline will be appropriate to the circumstances, ranging from a letter of reprimand to suspensions without pay to separation for cause. A verbal or written admonishment, while not considered formal discipline, may also be considered.

3 FAM 1526.3 Employee's Rights and Responsibilities Under This Policy

(CT:PER-631; 12-14-2010)

(State)

(Foreign Service and Civil Service Employees)

- a. Any employee who believes he or she has been the target of discriminatory harassment is encouraged to inform the offending person orally or in writing that such conduct is unwelcome and offensive and must stop.
- b. If the employee does not wish to communicate directly with the offending person, or if such communication has been ineffective, the employee has multiple avenues for reporting allegations of discriminatory harassment and/or pursuing resolution.
- c. Employees are encouraged to report the unwelcome conduct as soon as possible to a responsible Department official. It is usually most effective, although it is not required, that the official be within the employee's supervisory chain. Responsible Department officials include first- or second-line supervisors, the offending person's supervisor, the post's management officers, the bureau's executive director, and the Office of Civil Rights (S/OCR).
- d. In addition to reporting harassment concerns to a responsible

Department official, employees who believe they have been subjected to discriminatory harassment may choose to pursue resolution in several other ways, including:

- (1) **Mediation:** Mediation is an informal way to resolve office problems using a trained mediator who facilitates communication between the parties to the dispute. If an employee chooses to attempt resolution through mediation, management is obligated by Department policy to send a representative to the table. If a resolution is not reached, the parties may continue to pursue their rights in any other appropriate forum. Employees may ask for the assistance of a mediator by contacting S/OCR;
- (2) **Grievances:** Civil Service employees who are covered by a negotiated grievance procedure may have the option to file a grievance alleging discriminatory harassment if permitted by the governing collective bargaining agreement. Civil servants who are not covered by a negotiated grievance procedure generally may not bring grievances alleging discriminatory harassment. Members of the Foreign Service may file grievances on EEO matters; however, pursuant to 3 FAM 4428, they must elect to file either a grievance or a formal EEO complaint. If a Foreign Service employee elects to file a grievance, the Grievance Staff (HR/G) will investigate the allegations and recommend a resolution to the deputy assistant secretary responsible for rendering the agency decision on grievances. The employee may appeal to the Foreign Service Grievance Board;
- (3) **EEO processes:** All U.S. citizen employees or U.S. citizen applicants for employment may file an Equal Employment Opportunity (EEO) complaint with the Department. Individuals who wish to file an EEO complaint **must** consult a Department of State EEO counselor within 45 days of the most recent harassing incident. A list of EEO counselors is available on S/OCR's Web site at socr.state.gov. It is recommended, but it is **not** necessary, for an employee to complain to his *or* her supervisor or other responsible official before approaching an EEO counselor. (**NOTE:** Personal services contractors and third-party contractors may not, depending on the circumstances, be able to pursue an EEO claim against the Department; they may contact S/OCR for guidance);
- (4) **Processes for Foreign Service nationals (FSNs):** Issues raised

by FSNs are handled according to complaint processing procedures established at post and guidance available on the S/OCR Web site. FSNs with questions about post procedures should contact the post's senior management officer and/or designated EEO counselor. FSNs may also contact S/OCR for guidance; and

- (5) **Complaints of discrimination or harassment based on sexual orientation:** The Department has prohibited sexual orientation discrimination as a matter of policy and has established a comprehensive complaints process for such situations, even though such discrimination is not prohibited in the Federal workplace as a matter of law. The process is explained in 3 FAH-1 H-1520. Alternatively, Foreign Service employees may also raise claims of sexual orientation discrimination in the Foreign Service grievance process. That process is explained in 3 FAM 4400. Civil Service employees may also be able to use a negotiated grievance procedure, or appeal to the Merit Systems Protection Board or the Office of Special Counsel.

3 FAM 3670

REASONABLE ACCOMMODATIONS FOR INDIVIDUALS WITH DISABILITIES

(CT:PER-915; 08-17-2018)
(Office of Origin: HR/OAA/DRAD)

3 FAM 3671 OVERVIEW

3 FAM 3671.1 Policy

(CT:PER-644; 07-07-2011)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

- a. It is the policy of the U.S. Department of State to comply fully with the reasonable accommodation requirements of the Rehabilitation Act of 1973, as amended, 29 U.S.C. 791 et seq. Under this law, together with the Americans with Disabilities Act Amendments Act of 2008, that is incorporated into Federal regulations at 29 CFR 1630 governing the Equal Employment Opportunity Commission, Federal agencies must provide reasonable accommodation to qualified employees and applicants for employment with disabilities, with limited exceptions including, but not limited to, business necessity, undue hardship, and direct threat.
- b. This subchapter implements Executive Order 13164 that requires each Federal agency to establish effective written procedures for processing requests for reasonable accommodation by qualified employees and applicants with disabilities.
- c. Nothing in this subchapter is to be interpreted to constrain a manager, in accordance with existing policies or procedures, from taking appropriate measures to address poor job performance or misconduct by an employee with disabilities if similar performance or misconduct would not be acceptable by other employees.

3 FAM 3671.2 Authorities and References

(CT:PER-644; 07-07-2011)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

The authorities and references for this subchapter are:

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- (1) The Rehabilitation Act of 1973, as amended, 29 U.S.C. 791 et seq.;
- (2) The Americans with Disabilities Act of 1990, 42 U.S.C. 12101 et seq.;
- (3) The Americans with Disabilities Act Amendments Act of 2008, Public Law 110-325;
- (4) The Family and Medical Leave Act of 1993, 5 U.S.C. 6381 through 5 U.S.C. 6387;
- (5) E.O. 13163 (July 26, 2000): Increasing the Opportunity for Individuals with Disabilities to be Employed in the Federal Government;
- (6) E.O. 13164 (July 26, 2000): Requiring Federal Agencies to Establish Procedures to Facilitate the Provision of Reasonable Accommodation;
- (7) 29 CFR 630, 29 CFR 825, 29 CFR 1614, and 29 CFR 1630;
- (8) The Foreign Service Act of 1980, as amended, 22 U.S.C. 3901, et seq.;
- (9) The Privacy Act of 1972, as amended, 5 U.S.C. 552a;
- (10) EEOC Enforcement Guidance: Reasonable Accommodation and Undue Hardship under the Americans with Disabilities Act (October 17, 2002), available on the EEOC's Web site;
- (11) EEOC Enforcement Guidance: Disability-Related Inquiries and Medical Examinations of Employees under the Americans with Disabilities Act (ADA) (July 27, 2000), available on the EEOC's Web site; and
- (12) EEOC Policy Guidance on Executive Order 13164: Establishing Procedures to Facilitate the Provision of Reasonable Accommodation (October 20, 2000), available on the EEOC's Web site.

3 FAM 3671.3 Applicability

(CT:PER-644; 07-07-2011)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

These procedures apply to all qualified employees and employment applicants, as defined by law, of the U.S. Department of State, excluding foreign nationals employed outside the territorial limits of the United States. The procedures of this section are separate and apart from the medical clearance process governed by 16 FAM 200. Special procedures for extenuating circumstances in certain situations are described in 3 FAM 3673.5.

3 FAM 3671.4 Definitions

(CT:PER-644; 07-07-2011)

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(Applies to Foreign Service and Civil Service Employees)

Disability: A physical or mental impairment that substantially limits one or more of the major life activities of an individual; a record of such an impairment; or being regarded as having such an impairment.

Essential functions: This term means job duties of the employment position. "Essential function" does not include marginal functions. A function may be "essential" if, among other things:

- (1) The position exists specifically to perform that function;
- (2) There are a limited number of other employees who could perform the function; or
- (3) The function is specialized and the individual is hired based on his or her ability to perform it.

Qualified individual with a disability: An individual with a disability who:

- (1) Satisfies the skill, experience, education, and other job-related requirements of the position; and
- (2) Can perform the essential functions of the position, with or without reasonable accommodation.

Reasonable accommodation: Reasonable accommodation is a change in the work environment or in the application process that would enable a person with a disability to enjoy equal employment opportunities.

Undue hardship: An action requiring significant difficulty or expense to the employer. Factors to be considered include:

- (1) The nature and net cost of the accommodation needed;
- (2) The financial resources of the Department as a whole; and
- (3) The impact of the accommodation upon the operation of the Department's mission, including the impact on the ability of other employees to perform their duties and to conduct business.

NOTE: The definitions in the applicable statutes and regulations will govern in the event of a conflict.

3 FAM 3671.5 Disability-Related Inquiries

(CT:PER-832; 10-20-2016)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

- a. A Department employee should generally refrain from asking an employee or applicant for employment:
 - (1) Whether such an individual has a disability;

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- (2) If the individual has a disability, the nature and severity of the disability; and
 - (3) The nature of the reasonable accommodation an individual may require, unless such individual has made a request for reasonable accommodation or the individual has a known or obvious disability.
- b. Exceptions:
- (1) Supervisors and managers may be informed regarding necessary restrictions on the work or duties of the employee and necessary accommodations;
 - (2) First aid and safety personnel may be informed, when appropriate, if the disability might require emergency treatment; and
 - (3) Government officials investigating compliance with this part must be provided relevant information on request.
- c. When an individual requests a reasonable accommodation, the Disability/Reasonable Accommodation Division (HR/OAA/DRAD) will ascertain whether the individual has a disability and the nature, severity, and projected duration of such a disability.

3 FAM 3672 MAKING A REQUEST FOR A REASONABLE ACCOMMODATION

3 FAM 3672.1 Timing the Request for Reasonable Accommodation

(CT:PER-644; 07-07-2011)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

An individual may request a reasonable accommodation whenever he or she chooses. However, generally, the Department has no obligation to provide a reasonable accommodation until the individual makes a request for one. The individual does not have to wait until the disability or medical condition is having an effect on work performance to make a request for reasonable accommodation.

3 FAM 3672.2 Recipients of Requests from Employees

(CT:PER-832; 10-20-2016)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

- a. An employee assigned to a position in the United States may present an oral or written request for reasonable accommodation to the employee's supervisor; a

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supervisor or manager in the employee's immediate chain of command; the employee's bureau executive director; or the Disability/Reasonable Accommodation Division (HR/OAA/DRAD).

- b. An employee assigned to a position outside the United States may present an oral or written request for reasonable accommodation to the employee's supervisor; a supervisor or manager in his or her chain of command; the post's management officer; or HR/OAA/DRAD.
- c. An applicant for a Civil Service position in the United States may present an oral or written request for reasonable accommodation to the employing bureau's personnel officer or HR/OAA/DRAD.
- d. A U.S. citizen applicant for a position outside the United States may present an oral or written request for reasonable accommodation to the office that advertises the position or the post's management officer.
- e. Foreign Service applicants should make a request for any accommodation that will be needed during either the written or oral segments of the Foreign Service exam either at the time of registration for the written portion of the Foreign Service Examination; at the time of scheduling the oral portion of the Foreign Service Examination; or at the earliest opportunity during any alternative application process to the Foreign Service.
- f. Individuals requiring reasonable accommodation during a training assignment to the Foreign Service Institute (FSI) at the George P. Shultz National Foreign Affairs Training Center (Shultz NFATC) should submit a request for reasonable accommodation to HR/OAA/DRAD, the FSI Office of the Registrar, and to the instructor and/or coordinator of the FSI course(s) the individual plans to attend. For further instruction on procedures for submitting such a request to FSI, please consult the FSI Office of the Registrar's Web site.

3 FAM 3672.3 Initiating Requests for Reasonable Accommodation

(CT:PER-832; 10-20-2016)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

- a. A request for a reasonable accommodation may be oral or written.
- b. An oral request must be followed by a written confirmation of the request. If the request is oral, the Department employee or office receiving the request should give the applicant Form DS-5053, Reasonable Accommodation Request. If the employee or applicant for employment making the request asks for assistance in completing the report, the Department employee or office receiving the request should provide such assistance.
- c. Special wording is not required. A request for reasonable accommodation should let the Department know that an adjustment or change at work is

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needed for a reason related to a medical condition. The request does not, however, have to use any special words such as "reasonable accommodation," "disability," or "Rehabilitation Act."

- d. Processing of an oral request for accommodation should begin before written confirmation is received. While the written confirmation should be made as soon as possible following an oral request, it is generally not in and of itself a requirement for having the Department take action on the request. The employee or office that receives an oral request should generally begin processing the request after it is made, whether or not written confirmation has been provided, by completing Form DS-5053 (see 3 FAM 3673).
- e. Requesting an accommodation on a recurring basis: Usually, a written confirmation of a request for reasonable accommodation is needed only for the first instance of an accommodation needed on a recurring basis for a permanent condition that will not change, such as the need for a reader or a sign language interpreter. For subsequent instances of the need for a recurring accommodation, generally, the only requirement is adequate advance notice to the Disability/Reasonable Accommodation Division (HR/OAA/DRAD) of the need for the accommodation to be provided.
- f. A representative may make a request on behalf of someone else. A family member, health professional, or other representative acting on the Department of State employee's or employment applicant's behalf may request an accommodation. If the Department receives a request from a representative, it should seek confirmation from the person who needs the accommodation that the representative has authority to interact with the Department on the person's behalf.

3 FAM 3673 PROCESSING REQUESTS FOR REASONABLE ACCOMMODATION

3 FAM 3673.1 Decision Maker

(CT:PER-832; 10-20-2016)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

- a. The Disability/Reasonable Accommodation Division (HR/OAA/DRAD) is the Department's designated decision-maker on all reasonable accommodation requests.
- b. The Under Secretary for Management or designee must approve all denials of reasonable accommodation based on undue hardship.

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3 FAM 3673.2 Time Frame for Forwarding the Request

(CT:PER-832; 10-20-2016)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

A Department official who receives a request for reasonable accommodation should forward it promptly. If the request was not made in writing and the requestor has not completed Form DS-5053, Reasonable Accommodation Request, the Department official should fill out the form to the extent possible and forward it to the Disability/Reasonable Accommodation Division (HR/OAA/DRAD).

3 FAM 3673.3 Time Frame to Process the Request

(CT:PER-832; 10-20-2016)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

- a. The Disability/Reasonable Accommodation Division (HR/OAA/DRAD) will process requests for reasonable accommodation and deliver the accommodation promptly. The time necessary to process a request is dependent on numerous factors including, but not limited to the nature of the accommodation requested; whether it is necessary to obtain supporting information such as medical documentation; procurement processes; hiring processes; and other circumstances. For examples of extenuating circumstances, see 3 FAM 3673.5.
- b. In the case of newly hired employees or employees being assigned to a new position, the Department will try to have the reasonable accommodation in place when the employee first reports to duty. However, this may not always be possible.
- c. HR/OAA/DRAD and individuals with disabilities may consult the resources listed in 3 FAM Exhibit 3673.3 in order to identify and evaluate potential reasonable accommodation options.
- d. When necessary, the Department will make an effort to ensure expedited processing of a request for an accommodation. Expedited processing might be necessary where the accommodation is needed to apply for a position or to participate in a specific activity that is scheduled to occur shortly.

3 FAM 3673.4 The Interactive Process

(CT:PER-832; 10-20-2016)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

- a. The interactive process is a back-and-forth communication between the person desiring the accommodation, or his or her representative, and a Department of

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State employee to clarify the workplace barrier the individual is experiencing; the disabling condition at issue; and the proposed accommodation. The obligation to initiate the interactive process, in most circumstances, lies with the individual requiring the accommodation, or his or her representative.

- b. The individual requesting the accommodation and the Disability/ Reasonable Accommodation Division (HR/OAA/DRAD) should engage in the interactive process to discuss the request for reasonable accommodation if, for example:
 - (1) It is not evident that the individual has a disability;
 - (2) It is not clear whether there is an effective accommodation; or
 - (3) There is more than one possible accommodation.
- c. On receiving a request for reasonable accommodation, HR/OAA/DRAD should explain to the individual that HR/OAA/DRAD will be making the decision on the request in consultation with other Department of State employees as needed, including, but not limited to the Office of Medical Services (MED); the Office of the Legal Adviser (L); and the employee's bureau and/or post; and will describe what will happen in the processing of the request.
- d. When the request for accommodation is made by a third party, HR/OAA/DRAD must, if possible, confirm with the job applicant or employee with a disability that he or she wants a reasonable accommodation and authorizes the third party to discuss the need for reasonable accommodation with the Department, before proceeding. It may not be possible to confirm the request if the individual has, for example, been hospitalized. In this situation, HR/OAA/DRAD will process the third party's request and will consult directly with the individual needing the accommodation as soon as it is practicable to do so.
- e. HR/OAA/DRAD, in consultation with MED and L, as appropriate, will determine whether an individual has a disability within the meaning of the Rehabilitation Act. HR/OAA/DRAD may request medical documentation about the individual's disability in accordance with 3 FAH-1 H-3671 via Form DS-6546, Medical Questionnaire for Assessment of Disability/Reasonable Accommodation. An employee's or applicant's (or his or her representative's) failure to respond to requests for documentation identified as necessary in order to consider a request for reasonable accommodation, or to cooperate in the Department's efforts to obtain such documentation, may result in a denial of a reasonable accommodation request.
- f. HR/OAA/DRAD, in consultation with the supervisor and other offices as appropriate, will determine whether the individual is a qualified individual with a disability who is able to perform the essential functions of the job with or without accommodation.
- g. HR/OAA/DRAD will identify possible accommodations, in consultation with the individual requesting the accommodation, the supervisor and other Department offices, as appropriate.

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- h. The individual requesting the accommodation must help, to the extent possible, to identify an effective accommodation. While the individual does not have to be able to specify the precise accommodation, he or she does need to describe the problems posed by the workplace barrier(s).

3 FAM 3673.5 Extenuating Circumstances

(CT:PER-832; 10-20-2016)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

- a. The following nonexhaustive list provides examples of extenuating circumstances that may lengthen the time needed to make a decision about and/or provide a reasonable accommodation:
- (1) There is an outstanding initial or follow-up request for medical information, or Office of Medical Services Occupational Health Division of Domestic Programs (MED/DASH/DP) is evaluating medical information which has been provided;
 - (2) The purchase of equipment takes longer than anticipated due to delays by the vendor, nonavailability of equipment, requirements of Department regulations (e.g., the requirement for randomized procurement), or travel/shipping delays;
 - (3) The individual needs to use the equipment on a trial basis to ensure it is effective before a purchase decision can be made;
 - (4) New staff needs to be hired or contracted for;
 - (5) An accommodation involves the removal of architectural barriers;
 - (6) The requested accommodation raises security concerns, and the Bureau of Diplomatic Security (DS) needs time to evaluate the request and consider other options; and
 - (7) The accommodation to be provided is a reassignment and the Department needs to search all available job vacancies to see if there is a position for which the requesting employee is qualified.
- b. Where extenuating circumstances exist, the Disability/Reasonable Accommodation Division (HR/OAA/DRAD) should notify the individual of the reason for the delay and the approximate date on which a decision or provision of the reasonable accommodation is expected.

3 FAM 3673.6 Providing Interim Relief Measures

(CT:PER-832; 10-20-2016)

(State Only)

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(Applies to Foreign Service and Civil Service Employees)

- a. The Disability/Reasonable Accommodation Division (HR/OAA/DRAD) may decide that interim relief measures are appropriate if:
 - (1) They do not interfere with the operations of the agency; and
 - (2) The individual is informed clearly that the measures are being provided only on a temporary/interim basis, while awaiting either the provision of reasonable accommodation or a decision on whether the accommodation request will be granted.
- b. If an interim relief measure is appropriate, HR/OAA/DRAD will work with the individual's supervisory chain of command to ensure that temporary measures are provided to the individual.

3 FAM 3673.7 Notification of Decision

(CT:PER-832; 10-20-2016)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

- a. The Disability/Reasonable Accommodation Division (HR/OAA/DRAD) will inform the individual requesting an accommodation or his or her representative whether the requested accommodation will be granted; whether an alternative accommodation will be provided; or that the request is denied.
- b. If HR/OAA/DRAD grants the requested accommodation or an effective alternative accommodation, the notice will state what the accommodation is and when it will be provided.
- c. If HR/OAA/DRAD denies the requested accommodation, the notice will include the reason for denial.

3 FAM 3674 DENIAL OF REQUESTS FOR REASONABLE ACCOMMODATION

3 FAM 3674.1 Grounds for Denial

(CT:PER-832; 10-20-2016)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

The following grounds for denial is a nonexhaustive list of reasons why the Disability/Reasonable Accommodation Division (HR/OAA/DRAD) may deny a request for reasonable accommodation:

- (1) The employee or applicant does not have a disability. If the individual requesting accommodation does not provide adequate documentation or

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other evidence indicating that he or she has a disability within the meaning of the Rehabilitation Act, he or she does not have a legal right to a reasonable accommodation;

- (2) The requested accommodation would require the removal of an essential function of the job: An employer is never required to remove an essential function of a job as a reasonable accommodation;
- (3) There is no accommodation that would permit the employee or applicant to perform the essential functions of the job. If the requested accommodation would not be effective, HR/OAA/DRAD will engage in an interactive and investigatory process to determine whether any accommodation would enable the employee or applicant to perform the essential functions of the position in question. If no accommodation would be effective to allow the employee or applicant to perform the essential functions of the current job, HR/OAA/DRAD will consider if reassignment to a vacant position is an available accommodation;
- (4) The requested accommodation does not relate to the individual's ability to perform his or her functions. The purpose of reasonable accommodation is generally to enable an employee with a disability to perform his or her job functions, not to provide additional convenience; enhance one's overall quality of life; or achieve a more desirable balance between family and work commitments;
- (5) The requested accommodation would constitute an undue hardship for the Department. Even if a requested accommodation would be effective, and is necessary to enable an employee to perform the essential functions of his or her position, it generally can be denied if granting the request would constitute an undue hardship for the Department. The Undersecretary for Management (M) or designee must approve undue hardship determinations; or
- (6) Granting the requested accommodation would violate other laws, regulations, or collective bargaining agreements. The Department may not be required to grant a reasonable accommodation if it would violate Federal laws, regulations, or collective bargaining agreements.

3 FAM 3674.2 Appeal of a Reasonable Accommodation Denial

(CT:PER-740; 07-01-2014)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

An individual whose request for reasonable accommodation is denied may pursue an appeal of that denial by submitting information, in writing, to the Director General of the Foreign Service and Director of Human Resources (DGHR) within 10

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business days of receipt of the written decision denying reasonable accommodation.

3 FAM 3675 RELATION OF REASONABLE ACCOMMODATION POLICY TO PROCEDURES FOR STATUTORY AND COLLECTIVE BARGAINING

(CT:PER-686; 10-31-2012)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

- a. The policy set forth in this subchapter is in addition to statutory and collective bargaining protections for persons with disabilities and the remedies they provide for the denial of requests for reasonable accommodation.
- b. Making a request for reasonable accommodation under this subchapter does not initiate a claim under statutory and collective bargaining procedure, and does not affect the time frames for filing such claims.
- c. An individual who chooses to pursue statutory or collective bargaining remedies for denial of reasonable accommodation must:
 - (1) For an EEO complaint: Contact a Department EEO counselor or the Office of Civil Rights (S/OCR) within 45 calendar days of the date of receipt of the written notice of denial of the request for reasonable accommodation or, if appealed, within 45 calendar days of the notice of denial of the appeal;
 - (2) For a collective bargaining claim: File a written grievance in accordance with the provisions of the appropriate Collective Bargaining Agreement;
 - (3) For a claim before the Foreign Service Grievance Board (FSGB): Follow the processes enumerated in 3 FAM 4400, 22 CFR 9;
NOTE: Under Section 1109(b) of the Foreign Service Act, an employee may file a grievance or an EEO complaint alleging employment discrimination, but not both. Filing one forever precludes filing another. The time limit for filing a grievance alleging discrimination is 180 days; and
 - (4) For an appealable adverse action as defined in 5 CFR 1201.3: Initiate an appeal to the Merit Systems Protection Board (MSPB) within 30 days of the adverse action.

3 FAM 3676 SPECIAL PROCEDURES FOR CERTAIN TYPES OF REASONABLE ACCOMMODATION REQUESTS

3 FAM 3676.1 Requests for Time Off

(CT:PER-644; 07-07-2011)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

- a. If an employee requests time off work due to a medical condition that might qualify as both a disability under the Rehabilitation Act and as a serious medical condition under the Family and Medical Leave Act (FMLA) (see 3 FAM 3530), the Department generally will consider the request for time off as both a request for reasonable accommodation and as a request for FMLA leave.
- b. A supervisor receiving such a request should ensure that materials concerning FMLA rights have been made available to the individual in accordance with 29 CFR 825.300 and 3 FAM 3530.
- c. If an employee requests leave under the FMLA for a serious health condition, the employee must fill out the medical questionnaire for FMLA leave, Form WH-0380-E, Certification of Health Care Provider for Employee's Serious Health Condition (Family and Medical Leave Act). A supervisor is not violating the Rehabilitation Act by asking for the information in the FMLA certification form if the individual is or might be invoking rights under the FMLA.
- d. The Department may require periodic updates when an employee is on extended leave, including when on leave because of a serious medical condition, if the employee's request for leave did not specify a return date, or if the employee needs continued leave beyond what was initially granted. The individual's failure to provide documentation within a reasonable period after being requested may result in having the Department issue the individual an order to return to duty.

3 FAM 3676.2 Requests for Sign Language Interpreter or Reader

(CT:PER-832; 10-20-2016)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

- a. Sign language interpretation services are available through the Disability/Reasonable Accommodation Division (HR/OAA/DRAD) for work-related duties, meetings, presentations, training, interviews, briefings, press conferences, Department events, or other official business functions whether during or outside of regular duty hours at the regular duty station or another location. Readers are available for persons with visual disabilities through HR/OAA/DRAD. Sign language interpreters and readers will generally only be provided if another effective accommodation is not available such as captioning or software to assist those with visual disabilities.
- b. A request for sign language interpretation or a reader must be made to

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HR/OAA/DRAD and must contain the following information:

- (1) Time: Beginning and ending;
- (2) Location: Building, room number;
- (3) Date;
- (4) Type of assignment (staff meeting, open forum, one-on-one meeting, etc.);
- (5) Any pertinent materials such as agenda, names of speakers, or any other background information;
- (6) Contact person (person making the request); and
- (7) Phone number or extension, e-mail, or other contact information for communicating with the person making the request.

This information will make it possible for HR/OAA/DRAD to schedule the correct number of interpreter(s); prepare the interpreter(s) for the assignment; and ensure quality interpreting or reading services. For additional information, email: signlanguageinterpreterservices@state.gov.

3 FAM 3676.3 Review of Assistive or Adaptive Technology for Compliance with Security Requirements

(CT:PER-644; 07-07-2011)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

The Technical Evaluation Branch Chief who heads the Office of Countermeasures, Security Technology, Countermeasures Program in the Bureau of Diplomatic Security (DS/C/ST/CMP) or his or her designee generally will review all reasonable accommodation requests involving assistive or adaptive technology, except for certain pre-approved items, to determine whether providing the requested reasonable accommodation would pose a security risk.

3 FAM 3676.4 Requests for Accessible Parking

(CT:PER-832; 10-20-2016)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

- a. In cases of requests for accessible parking at Department of State Metropolitan Washington, DC buildings and facilities, the Disability/Reasonable Accommodation Division (HR/OAA/DRAD) works with the Special Services Division, General Services Management, Office of Operations (A/OPR/GSM/SS) in responding to such requests. (See 6 FAM 1040, 6 FAM 1044.1, and 6 FAM 1045.2.)
- b. In cases of requests for accessible parking at other domestic facilities, the

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recipient of such a request should forward it to HR/OAA/DRAD along with a statement of the facility's ability or inability to grant the request and any proposed alternatives.

- c. In cases of requests for accessible parking at Foreign Service posts, the recipient of such a request should forward it to HR/OAA/DRAD along with a copy of post's published policy and procedures on assignment of parking spaces, a statement of the facility's ability or inability to grant the request and any proposed alternatives.

3 FAM 3676.5 Reassignment as a Reasonable Accommodation

(CT:PER-832; 10-20-2016)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

- a. Generally, reassignment is a reasonable accommodation of last resort. An employee who because of a disability can no longer perform the essential functions of the position he or she holds, either with or without reasonable accommodation, may receive an offer of reassignment to an existing, vacant position for which the employee is qualified as a reasonable accommodation.
- b. In considering whether there are positions available for reassignment, the Disability/Reasonable Accommodation Division (HR/OAA/DRAD) will work with the individual requesting the accommodation and with either the individual's bureau executive director's office for Civil Service employees seeking a Civil Service position, or the Office of Career Development and Assignments (HR/CDA) for Foreign Service employees seeking another Foreign Service position. The Department will first seek a position that is equivalent to the employee's current job with regard to pay, status, geographic location, and other relevant factors. HR/OAA/DRAD will consult with the affected employee as necessary to determine if there are limits on the search the employee would like the Department to conduct; if the individual is qualified to perform the essential functions of an identified vacant position; and what if any reasonable accommodation the employee would require in the new position.
- c. The Department will identify:
 - (1) Vacant positions within the Department for which the employee may be qualified, with or without reasonable accommodation;
 - (2) Positions that based on current knowledge reasonably may become vacant over the next 60 business days and for which the employee may be qualified; and
 - (3) Vacant lower-graded positions for which the individual is qualified, in the event there is no vacant position at an equivalent grade.
- d. Reassignment may be made only to a bona fide vacant position. The

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Department will not move another employee from his or her job in order to create a vacancy for an individual needing accommodation.

- e. Reassignment is available only to employees, not to applicants.
- f. A Foreign Service employee whose overseas assignment is curtailed because he or she has a medical condition that the Office of Medical Clearances (MED/CS/MC) has determined cannot be adequately treated or managed at that location per 16 FAM 200 is not necessarily disabled or entitled to "reasonable accommodation" in the form of a reassignment. Generally, Foreign Service employees whose medical conditions restrict their ability to serve at overseas posts can and should obtain subsequent overseas assignments with the assistance of HR/CDA and in accordance with normal bidding procedures governing the Foreign Service open assignments system.
- g. Reassignment may be made to a vacant position outside of the employee's commuting area if the employee is willing to relocate.
- h. When considering reassignment as a reasonable accommodation, the Department will examine whether the accommodation conflicts with a controlling collective bargaining agreement.

3 FAM 3677 PROHIBITION AGAINST REPRISAL FOR MAKING A REQUEST FOR REASONABLE ACCOMMODATION

(CT:PER-740; 07-01-2014)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

The Department of State prohibits reprisal against an individual because he or she has made a request for reasonable accommodation. See also 3 FAM 1550, EEO Retaliation/Reprisal.

3 FAM 3678 FUNDING

(CT:PER-832; 10-20-2016)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

- a. Generally, funding for reasonable accommodations will be provided by the Disability/Reasonable Accommodation Division (HR/OAA/DRAD). Salaries for sign language interpreters and readers, and funds for the purchase of assistive technology will be provided by HR/OAA/DRAD.
- b. If special software has been purchased for the employee, the license should be assigned, if appropriate, to the employee so that it may be used in successive

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assignments unless procurement or other issues make this inadvisable.

3 FAM 3679 UNASSIGNED

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3 FAM Exhibit 3673.3

Resources for Individuals with Disabilities

(CT:PER-915; 08-17-2018)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

U.S. Equal Employment Opportunity Commission (EEOC)

1801 L Street, N.W.
Washington, DC 20507
(202) 419-0700
1-800-800-3302 (TTY)

Further information on the EEOC is available on their Web site. The EEOC's Publication Center has many free documents on the Title I employment provisions of the Americans with Disabilities Act, including both the statute, 42 U.S.C. 12101 et seq., and the regulations, 29 CFR 1630. In addition, the EEOC has published a great deal of basic information about reasonable accommodation and undue hardship. See also the EEOC's Web site for enforcement guidance related to disability issues.

Center for IT Accommodations

1800 F Street, NW
Washington, DC 20405
Direct: (202)208-4134
quentis.scott@gsa.gov

Information concerning the Center for IT Accommodations is available through the GSA Web site. The mission is to be the recognized U.S. Government-wide policy resource for information on the accessibility of electronic and information technology, and in the use of assistive technologies.

Computer/Electronic Accommodations Program, Department of Defense

Main Office
511 Leesburg Pike, Suite 810
Falls Church, VA 22041
Direct: (703)681-8813
TTY: (703)681-0881
Fax: (703)681-9075
cap@tma.osd.mil

Information regarding the Computer/Electronic Accommodations Program, Department of Defense (CAP) can be found through the TRICARE website. CAP is the U.S. Government's centrally funded accommodations program, providing assistive technology solutions at no cost to the requesting agency.

Job Accommodation Network (JAN)

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1-800-526-7234 (Voice)

1-877-781-9403 (TTY)

For information, *access* the Job Accommodation Network (JAN) website. JAN is a free consulting service that provides information about job accommodations, the Americans with Disabilities Act (ADA), and the employability of people with disabilities.

Registry of Interpreters for the Deaf

333 Commerce Street

Alexandria, VA 22314

(703) 838-0030 (Voice)

(703) 838-0459 (TTY)

The Registry of Interpreters for the Deaf website offers information on locating and using interpreters and transliteration services.

3 FAH-1 H-3670

PROCEDURES FOR REASONABLE ACCOMMODATION

(CT:POH-187; 03-22-2017)
(Office of Origin: HR/OAA/DRAD)

3 FAH-1 H-3671 MEDICAL DOCUMENTATION IN SUPPORT OF THE REASONABLE ACCOMMODATION REQUEST

3 FAH-1 H-3671.1 General Provisions Governing Requesting Medical Documentation

(CT:POH-187; 03-22-2017)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

- a. If an employee or applicant requests a reasonable accommodation, the Department is entitled to know that an employee or applicant has a covered disability that requires a reasonable accommodation. It may, therefore, request appropriate medical information related to the functional impairment and the requested accommodation where the disability and/or need for accommodation is not obvious or already known. For purposes of these FAH provisions and corresponding FAM provisions, the Department has designated the Office of Medical Services Occupational Health Division of Domestic Programs (*M/MED/CP/OHW/DP*) as its medical expert. *M/MED/CP/OHW/DP* may, in its discretion, choose to have the medical information reviewed by a medical professional at the Department's expense.
- b. The Bureau of Human Resources Office of *Accessibility and Accommodations* Disability/Reasonable Accommodation Division (*HR/OAA/DRAD*) may request appropriate medical information related to the functional impairment at issue in conjunction with a reasonable accommodation request if *HR/OAA/DRAD*, in consultation with *M/MED/CP/OHW/DP*, deems the medical information necessary to determine if the individual is disabled or to evaluate a request for reasonable accommodation. No other Department office should initiate such a request. The request may be made to the individual or a third party (see 3 FAM 3672.3, *paragraph f*) making the reasonable accommodation request on behalf of the individual.
- c. *HR/OAA/DRAD* will instruct all individuals requesting accommodation to submit responsive medical documentation directly to *M/MED/CP/OHW/DP* for review

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and consideration.

- d. *HR/OAA/DRAD* will request only the documentation that is needed to establish that the person has a disability and that the disability necessitates a reasonable accommodation. The request should specify what types of information are needed regarding the disability, its functional limitations, and the need for reasonable accommodation. A request for medical documentation should also describe the nature of the employee's position, the functions the individual is expected to perform, and any other relevant information.
- e. Individuals may be asked to complete a Form DS-6546, Medical Questionnaire for Assessment of Disability/Reasonable Accommodation, and to submit the completed form directly to the Chief of Domestic Programs in the Office of Medical Services (*M/MED/CP/OHW/DP*).
- f. While MED assists *HR/OAA/DRAD* in interpreting the medical information, MED recommendations as to whether any particular accommodation request should be granted are advisory only and do not constitute a decision on behalf of the Department as to whether the request for reasonable accommodation will or will not be granted.

3 FAH-1 H-3671.2 Sufficient Medical Documentation

(CT:POH-187; 03-22-2017)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

- a. Documentation is sufficient if it:
 - (1) Describes the nature, severity, and duration of the individual's impairment; the activity or activities that the impairment limits; and the extent to which the impairment limits the individual's ability to perform the activity or activities; and
 - (2) Substantiates why the individual requires either a reasonable accommodation in general or a specific accommodation, and how the specific accommodation requested would permit the individual to perform the essential functions of the job or enjoy a benefit of the workplace.
- b. The Department may request only the information that is relevant to making a decision about reasonable accommodation.
- c. The Department should provide the following information to the employee, the Bureau of Human Resources Office of *Accessibility and Accommodations* Disability/Reasonable Accommodation Division (*HR/OAA/DRAD*), and the Office of Medical Services Occupational Health Division of Domestic Programs (*M/MED/CP/OHW/DP*):
 - (1) The nature of the job;
 - (2) The essential functions of the job the individual will be expected to

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perform; and

- (3) Any other information that is relevant to evaluating the request.

3 FAH-1 H-3671.3 Insufficient Medical Documentation

(CT:POH-187; 03-22-2017)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

a. Documentation is insufficient if:

- (1) It does not clearly explain the nature of the disability;
- (2) It does not explain the need for the reasonable accommodation;
- (3) It does not otherwise clarify how the requested accommodation will assist the individual to perform the essential functions of the job or to enjoy the benefits and privileges of the workplace;
- (4) The health care professional does not have the expertise to give an opinion about the individual's medical condition and the limitations imposed by it; or
- (5) Other factors indicate that the information provided is not credible or is fraudulent.

b. If the information provided by the individual and the individual's representative and/or health professional is insufficient to enable the Bureau of Human Resources Office of *Accessibility and Accommodations* Disability/Reasonable Accommodation Division (*HR/OAA/DRAD*) to determine whether an accommodation is appropriate, *HR/OAA/DRAD* may ask for further information. However, *HR/OAA/DRAD* should explain to the individual why the information is insufficient; what additional information is needed; and why it is necessary. *HR/OAA/DRAD* and the Office of Medical Services Occupational Health Division of Domestic Programs (*M/MED/CP/OHW/DP*) can determine what information is necessary. The individual requesting the accommodation can also sign a limited release allowing *M/MED/CP/OHW/DP* to communicate directly with the individual's health care professional.

c. If there is insufficient information to demonstrate that the individual has a disability and needs a reasonable accommodation, *HR/OAA/DRAD* may request that the individual be examined by a physician chosen by the Department. If this course of action is taken, *HR/OAA/DRAD* must pay for the examination.

d. Until sufficient documentation is provided, *HR/OAA/DRAD* may decline to provide the requested reasonable accommodation.

3 FAH-1 H-3671.4 Confidentiality of Medical

Information

3 FAH-1 H-3671.4-1 Legal Authorities

(CT:POH-148; 07-07-2011)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

Medical information maintained by the Department is subject to confidentiality requirements. These include, inter alia:

- (1) The Rehabilitation Act of 1973: Under the Rehabilitation Act of 1973, medical information the Department receives in connection with the reasonable accommodation process must be safeguarded from unauthorized disclosure. Any Department of State employee receiving information in connection with a request for reasonable accommodation may share that information with other agency employees if, and only if, those employees have a genuine and official need to know in order to assess or implement the reasonable accommodation request; and
- (2) The Privacy Act of 1974, as amended; 5 U.S.C. 552a et seq.; and Federal regulations at 29 CFR 1611. The Department's requirements to comply with the Privacy Act, with regard to all personal information gathered by the Department, are discussed at 5 FAM 460.

3 FAH-1 H-3671.4-2 Confidentiality Obligations

(CT:POH-148; 07-07-2011)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

- a. Records pertaining to a request for reasonable accommodation, whether in paper or electronic format, may not, absent other legal authority, become part of an employee's personnel file.
- b. Under the Rehabilitation Act of 1973, medical information obtained in connection with the reasonable accommodation process must be safeguarded from disclosure. The following limited exceptions permit disclosure of such confidential medical information to:
 - (1) Supervisors and managers where they need medical information in order to abide by an employee's work restrictions;
 - (2) First aid and safety personnel if an employee would need emergency treatment or require some other assistance (such as help during an emergency evacuation) because of a disabling condition;
 - (3) U.S. Government officials or other authorized individuals investigating compliance with the Rehabilitation Act and with similar State and local laws; and

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- (4) To a State's workers compensation office in order to evaluate a claim pursuant to workers compensation laws, or for insurance purposes.
- c. Relevant laws and regulations should be consulted before any release of medical information occurs. Whenever medical information is disclosed, the individual disclosing the information should inform the recipients of the confidentiality requirements that attach to it.

3 FAH-1 H-3672 INFORMATION TRACKING AND REPORTING

3 FAH-1 H-3672.1 Retention of Medical Information Supplied in Connection with a Request for Reasonable Accommodation

(CT:POH-187; 03-22-2017)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

The Office of Medical Services Occupational Health Division of Domestic Programs (*M/MED/CP/OHW/DP*) will maintain all records of medical information obtained in the course of reasonable accommodation requests, for the duration of the requesting individual's employment.

3 FAH-1 H-3672.2 Retention of All Non-Medical Information Supplied in Connection with a Request for Reasonable Accommodation

(CT:POH-187; 03-22-2017)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

The Bureau of Human Resources Office of *Accessibility and Accommodations* Disability/Reasonable Accommodation Division (*HR/OAA/DRAD*) will maintain all other records pertaining to reasonable accommodation requests for 3 years after employee separation from the agency or all appeals are concluded, whichever is later. *HR/OAA/DRAD's* records will include any nonmedical documentation of the individual's disability or need for reasonable accommodation, as well as information about the disposition of that individual's accommodation request.

3 FAH-1 H-3672.3 Collection of Statistical Information Related to Requests for Reasonable Accommodation

(CT:POH-187; 03-22-2017)

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(Applies to Foreign Service and Civil Service Employees)

The Bureau of Human Resources Office of *Accessibility and Accommodations* Disability/Reasonable Accommodation Division (*HR/OAA/DRAD*) will maintain documentation, for at least a revolving 5-year period, sufficient to ascertain the following information:

- (1) Number and types of reasonable accommodations that have been requested during the course of application for a Foreign Service or Civil Service position and whether those requests have been granted or denied;
- (2) Jobs (occupational series, grade level, and agency component) for which reasonable accommodations have been requested;
- (3) Types of reasonable accommodations that have been requested for each of those jobs;
- (4) Number and types of reasonable accommodations for each job, by agency component, that have been approved, and the number and types that have been denied;
- (5) Number and types of requests for reasonable accommodations that relate to the benefits or privileges of employment, and whether those requests have been granted or denied;
- (6) Reasons for denial of requests for reasonable accommodation;
- (7) Amount of time taken to process each request for reasonable accommodation; and
- (8) Sources of technical assistance that have been consulted in trying to identify possible reasonable accommodations.

HR/OAA/DRAD will make such information available to the Equal Employment Opportunity Commission (EEOC) upon request. Upon request, relevant and available information may also be provided to the exclusive representative for bargaining unit employees they represent.

3 FAH-1 H-3672.4 Periodic Review of Statistical Information Related to Requests for Reasonable Accommodation

(CT:POH-187; 03-22-2017)

(State Only)

(Applies to Foreign Service and Civil Service Employees)

- a. The Office of Civil Rights (S/OCR) will engage in a periodic review of the data compiled by the Bureau of Human Resources Office of *Accessibility and Accommodations* Disability/Reasonable Accommodation Division (*HR/OAA/DRAD*) to ascertain, inter alia, the following:

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- (1) How long, on average, it takes the Department to respond to requests for different types of reasonable accommodations;
 - (2) Whether there are particular types of reasonable accommodations that the Department has been unable to provide;
 - (3) Whether there are identifiable trends in denying requests for reasonable accommodations; and
 - (4) What the reasons for denial have been.
- b. Following the periodic review, the Director of S/OCR may provide conclusions and recommendations to the Director General (DGHR) regarding strengths and weaknesses in the Department's reasonable accommodation program and make suggestions for improving the program. Such documentation will be retained in S/OCR for 3 years.

3 FAH-1 H-3673 THROUGH H-3679 UNASSIGNED

PERSONAL ASSISTANCE SERVICES (PAS) POLICY

(Applies to Foreign Service and Civil Service Employees)

Obligation to Provide Personal Assistance Services

- a. It is the policy of the U.S. Department of State (the Department) to provide Personal Assistance Services (PAS) to an employee who requires such services due to a “targeted disability.” The U.S. Equal Employment Opportunity Commission (EEOC)¹ defines PAS as follows (*See* 29 C.F.R. § 1614.203(a)(5)): “The term *personal assistance services* means assistance with performing activities of daily living that an individual would typically perform if he or she did not have a disability, and that is not otherwise required as a reasonable accommodation, including, for example, assistance with removing and putting on clothing, eating, and using the restroom.” The employee or independent contractor whose primary job functions include provision of personal assistance services is referred to as the PAS Provider.
- b. Under no circumstance is a PAS Provider to perform any of the employee’s essential job duties. The PAS Provider is only able to provide access to otherwise inaccessible aspects of the job or personal care. Services provided may include pushing a wheelchair or assisting an individual to get into or out of a vehicle at the worksite. Services do not include helping individuals perform their specific job functions, unlike sign language interpreters who provide services for employees who are deaf to facilitate communication. Employees who receive PAS may not direct the provider to perform tasks unrelated to personal assistance services. Any change in services must be approved in advance by the Disability/Reasonable Accommodation Division (HR/OAA/DRAD). Under no circumstance may the performance of other tasks result in failure to provide personal assistance services required under paragraph (d)(5)(i) of 29 C.F.R. § 1614.203.
- c. Eligible employees may receive PAS during work hours, for job-related travel, and to participate in employer sponsored events. Work hours include time that an employee is teleworking, whether the telework is part of an agency telework program available to all employees or is being provided as a reasonable accommodation.
- d. NOTE: A personal services contractor (PSC) may be covered by the Department’s Reasonable Accommodation and/or Personal Assistance Services procedures, if the PSC shares an employer-employee relationship with the Department. A PSC may contact his or her supervisor and/or HR/OAA/DRAD to discuss his or her coverage under these procedures.

¹ *See* 29 C.F.R. 1614.203(a)(9) (“The term *targeted disability* means a disability that is designated as a ‘targeted disability or health condition’ on the Office of Personnel Management’s Standard Form 256 or that falls under one of the first 12 categories of disability listed in Part A of question 5 of the Equal Employment Opportunity Commission’s Demographic Information on Applicants form.”)

Definitions:

(Applies to Foreign Service and Civil Service Employees)

- a. The legal definitions of key terms relating to Personal Assistance Services are found in the EEOC's Final Rule on Affirmative Action for Individuals with Disabilities in Federal Employment, Fed. Reg. Vol. 82, No. 1 (Jan. 3, 2017) and 29 C.F.R. § 1614.203(a). The Department includes definitions of certain terms here, for the convenience of employees and applicants, and employees and applicants are also encouraged to review the legal definitions found in the authorities listed above.
- b. Personal assistance services: Assistance with performing activities of daily living that an individual would typically perform if he or she did not have a disability, and that is not otherwise required as a reasonable accommodation, including, for example, assistance with removing and putting on clothing, eating, and using the restroom.
- c. Personal assistance services (PAS) provider: The employee or independent contractor whose primary job functions include provision of personal assistance services.
- d. Targeted disability: A disability that is designated as a "targeted disability or health condition" on the Office of Personnel Management's Standard Form 256 or that falls under one of the first 12 categories of disability listed in Part A of question 5 of the Equal Employment Opportunity Commission's Demographic Information on Applicant form.
- e. Undue hardship: An action requiring significant difficulty or expense to the employer. Factors to be considered include:
 - 1) The nature and net cost of PAS needed;
 - 2) The financial resources of the Department as a whole; and
 - 3) The impact of PAS upon the operation of the Department's mission, including the impact on the ability of other employees to perform their duties and to conduct business.

Recipients of Requests from Employees:

(Applies to Foreign Service and Civil Service Employees)

- a. An employee assigned to a position in the United States may make an oral or written request for PAS to the employee's supervisor; a supervisor or manager in the employee's immediate chain of command; the employee's bureau executive director; or the Disability/Reasonable Accommodation Division (HR/OAA/DRAD).
- b. An employee assigned to a position outside the United States may make an oral or written request for PAS to his or her supervisor; a supervisor or manager in his or her chain of command; the post's management officer; or HR/OAA/DRAD.

- c. Individuals requiring PAS during a training assignment to the Foreign Service Institute (FSI) at the George P. Shultz National Foreign Affairs Training Center (Shultz NFATC) should submit a request for PAS, orally or in writing, to HR/OAA/DRAD.

Initiating Requests for PAS:

(Applies to Foreign Service and Civil Service Employees)

- a. An employee may request PAS through Disability/Reasonable Accommodation Division (HR/OAA/DRAD) at any time, orally or in writing.
- b. A representative may make a request on behalf of someone else. A family member, health professional, or other representative acting on the Department of State employee's or employment applicant's behalf may request PAS. If the Department receives a request from a representative, HR/OAA/DRAD will seek confirmation from the employee.

Processing Requests for PAS:

- a. When an employee makes a request for PAS, the interactive process is initiated. If clarification is necessary to determine eligibility for PAS, based on disability status, the Disability/Reasonable Accommodation Division (HR/OAA/DRAD) will consult with the Bureau of Medical Services (MED).

Decision Maker:

(Applies to Foreign Service and Civil Service Employees)

- a. The Disability/Reasonable Accommodation Division (HR/OAA/DRAD) is the Department's designated decision maker on all requests for Personal Assistance Services (PAS).
- b. The Under Secretary for Management or designee must approve all denials of PAS based on undue hardship.

Time Frame for Processing Requests and Providing PAS:

(Applies to Foreign Service and Civil Service Employees)

Generally

- a. The Disability/Reasonable Accommodation Division (HR/OAA/DRAD) will process requests for PAS and deliver the services promptly. The time necessary to process a request is dependent on numerous factors including, but not limited to, whether it is necessary to obtain supporting information such as medical documentation; procurement

processes; hiring processes; and other circumstances. For examples of extenuating circumstances, see “Extenuating Circumstances” section in this document.

- b. The time frame for processing a request (including providing PAS, if approved) is as soon as possible but no later than 30 business days from the date the request is made orally or in writing. The time frame begins when a request for PAS is made, and not necessarily when it is received by HR/OAA/DRAD. Therefore, everyone involved in processing a request should respond as quickly as possible. This includes referring a request to HR/OAA/DRAD and providing technical assistance to HR/OAA/DRAD regarding issues raised by a request.
- c. This 30-day period includes the two day time frame in which supervisors/managers should forward requests to HR/OAA/DRAD. Employees who request PAS should communicate directly with HR/OAA/DRAD regarding the processing and time frame of their request for PAS. HR/OAA/DRAD must contact the requestor as soon as possible after a request for PAS is made.
- d. The Department will process requests and, where appropriate, provide PAS in as short a period of time as reasonably possible. The time frame above indicates the maximum amount of time it should generally take to process a request and provide PAS. HR/OAA/DRAD will strive to process the request and provide PAS sooner, if possible.
- e. In the case of newly hired employees or employees being assigned to a new position, the Department will try to have PAS in place when the employee first reports to duty. However, this may not always be possible.
- f. If HR/OAA/DRAD must request medical information or documentation from a requestor’s medical care provider, the time frame will stop on the day that HR/OAA/DRAD makes a request to the individual to obtain medical information or sends out a request for information/documentation. The time frame will resume on the business day that the information/documentation is received by HR/OAA/DRAD.
- g. If the targeted disability is obvious or already known to HR/OAA/DRAD, if it is clear why PAS is needed, and if PAS can be provided quickly, then HR/OAA/DRAD should not require the full 30 business days to process the request.
- h. When a delay occurs in processing or providing PAS, HR/OAA/DRAD must notify the individual of the reason for the delay as soon as possible. To review how HR/OAA/DRAD may work with the employee to provide interim PAS solutions, see the “Providing Interim Relief Measures” section in this document.

Expedited Processing of a Request:

- a. When necessary, the Department will make an effort to ensure expedited processing of a request for PAS. Expedited processing might be necessary where PAS is needed to

participate in a specific activity that is scheduled to occur shortly. This includes where PAS is needed:

- 1) To enable an employee to attend a last minute meeting or other office related event.
- 2) To enable an employee to participate in work-related travel, both domestic and abroad.

The Interactive Process:

(Applies to Foreign Service and Civil Service Employees)

- a. The interactive process is a back-and-forth communication between the individual desiring PAS, or his or her representative, and a Department of State employee, such as a Disability/Reasonable Accommodation Division (HR/OAA/DRAD) Reasonable Accommodation Analyst and/or a member of management, to clarify the workplace barrier the individual is experiencing; the disabling condition at issue; and the proposed solution. The obligation to initiate the interactive process, in most circumstances, lies with the individual requesting PAS, or his or her representative.
- b. The individual requesting PAS and HR/OAA/DRAD will engage in the interactive process to discuss the request if, for example:
 - 1) It is not evident that the individual has a targeted disability;
 - 2) It is not clear whether there is an effective PAS solution; or
 - 3) There is more than one possible solution in order to provide PAS.
- c. Communication is a priority throughout the entire process. On receiving a request for PAS, HR/OAA/DRAD will explain to the individual that HR/OAA/DRAD will be making the decision on the request in consultation with other Department of State subject matter experts, as needed.
- d. When the request for PAS is made by a third party, HR/OAA/DRAD must, if possible, confirm with the employee with a targeted disability that he or she wants PAS and authorizes the third party to discuss the need for PAS with the Department, before proceeding. It may not be possible to confirm the request if the individual has, for example, been hospitalized. In this situation, HR/OAA/DRAD will process the third party's request and will consult directly with the individual needing PAS as soon as it is practicable to do so.
- e. HR/OAA/DRAD, in consultation with Office of Medical Services (MED) and the Office of the Legal Advisor (L), as appropriate, will determine whether an individual has a targeted disability within the meaning of the Rehabilitation Act. Additional medical documentation about the individual's disability may be requested.
- f. Per the Department's policy on the "Confidentiality of Medical Information, Legal Authorities" (3 FAH-1 H-3671.4-1), the Bureau of Medical Services (MED) is required

to comply with the Privacy Act and the Rehabilitation Act.

- g. An employee's (or his or her representative's) failure to respond to requests for documentation identified as necessary in order to consider a request for PAS, or to cooperate in the Department's efforts to obtain such documentation, may result in a delay or denial of a PAS request.
- h. HR/OAA/DRAD will identify possible PAS solutions, in consultation with the individual requesting PAS, the immediate supervisor, manager, the Bureau's Executive Director's Office, and/or Departmental subject matter experts, as appropriate.
- i. The individual requesting PAS must help, to the extent possible, to identify an effective PAS solution. While the individual does not have to be able to specify the precise solution, he or she does need to describe the problems posed by the workplace barrier(s).
- j. Any delays by Department personnel may result in the agency's failure to meet the Department's obligations to provide PAS. The Department expects that all agency personnel will give a high priority to responding quickly to HR/OAA/DRAD's request for information or assistance.

Confidentiality Requirements:

- a. Under the Rehabilitation Act, medical information obtained in connection with the PAS process must be kept confidential. This means that all medical information that the Department obtains in connection with a request for PAS must be kept in files separate from the individual's personnel file. This includes the fact that PAS has been requested or approved. It also means that any Department employee who obtains or receives such information is bound by these confidentiality requirements.
- b. When the Disability/Reasonable Accommodation Division (HR/OAA/DRAD) deems it necessary to share information with select Department personnel to make appropriate determinations regarding a PAS request, HR/OAA/DRAD will inform the recipient of these confidentiality requirements. The information disclosed will be no more than is necessary to process the request. In certain situations, HR/OAA/DRAD will not necessarily need to reveal the name of the requestor and/or the office in which the requestor works, or even the type of disability.
- c. Current and relevant medical information is required to properly assess and address the needs of the individual. In addition, the Department's policy on "Insufficient Medical Documentation" (3 FAH-1 H-3671.3) states that medical subject matter professionals are the best qualified to review requests for a proper determination.

Extenuating Circumstances:

(Applies to Foreign Service and Civil Service Employees)

- a. The following non-exhaustive list provides examples of extenuating circumstances that may lengthen the time needed to make a decision about and/or provide PAS:
 - 1) There is an outstanding request for medical information, or the Bureau of Medical Services (MED) is evaluating medical information which has been provided;
 - 2) The individual needs to use the PAS solution on a trial basis to ensure it is effective;
 - 3) New staff needs to be hired or contracted for;
 - 4) The requested PAS raises security concerns, and additional time may be needed to evaluate the request and consider other options; and/or
 - 5) The requestor does not need the accommodation within the 30 day time frame, for example, due to the an employee's expected date of Entry on Duty (EOD), transfer, or assignment.
- b. Where extenuating circumstances exist, the Disability/Reasonable Accommodation Division (HR/OAA/DRAD) should notify the individual of the reason for the delay and the approximate date on which a decision or provision of PAS is expected.

Providing Interim Relief Measures:

(Applies to Foreign Service and Civil Service Employees)

- a. The Disability/Reasonable Accommodation Division (HR/OAA/DRAD) may decide that interim relief measures are appropriate if:
 - 1) They do not interfere with the operations of the agency; and
 - 2) The individual is informed in writing that the measures are being provided only on a temporary/interim basis, while awaiting either the provision of PAS or a decision on whether the PAS request will be granted.
- b. If an interim relief measure is appropriate, HR/OAA/DRAD will continue the interactive process and ensure that interim, or temporary, solutions are provided to the individual.

Notification of Decision:

(Applies to Foreign Service and Civil Service Employees)

- a. The Disability/Reasonable Accommodation Division (HR/OAA/DRAD) will inform the individual requesting PAS or his or her representative whether the requested PAS solution will be granted; whether an alternative PAS solution will be provided; or that the request is denied. The notification of decision will be provided in writing by HR/OAA/DRAD.
- b. If HR/OAA/DRAD grants the requested PAS solution or an effective alternative solution, the notification will describe the solution being offered as well as when it will be

provided. A decision to provide a solution other than the one specifically requested will be considered a decision to grant PAS. The notification will explain why the Department believes that the chosen solution will be effective.

- c. If HR/OAA/DRAD denies the PAS request, the notice will include the reason for denial. The Department cannot simply state that a PAS request is denied because of “undue hardship” or because it would be “ineffective.” Rather, the notification will specifically state why the PAS solution would result in undue hardship or why it would be ineffective.
- d. In order to ensure the implemented PAS solution continues to be effective, HR/OAA/DRAD has the right to reassess its effectiveness. In addition, the employee may ask for HR/OAA/DRAD to review its effectiveness throughout the duration of the implemented PAS solution.

Denial of Requests for PAS:

Grounds for Denial:

(Applies to Foreign Service and Civil Service Employees)

The following grounds for denial are a non-exhaustive list of reasons why the Disability/Reasonable Accommodation Division (HR/OAA/DRAD) may deny a request for PAS:

- a. The employee does not have a targeted disability. If the individual requesting PAS does not provide adequate documentation or other evidence indicating that he or she has a targeted disability within the meaning of the Rehabilitation Act, he or she does not have a legal right to a PAS;
- b. There is no PAS solution that would permit the employee to receive assistance with performing activities of daily living that an individual would typically perform if he or she did not have a disability;
- c. The requested PAS solution would constitute an undue hardship for the Department. Even if a requested PAS solution would be effective, and is necessary to receive assistance with performing activities of daily living, it generally can be denied if granting the request would constitute an undue hardship for the Department. The Under Secretary for Management (M) or designee must approve undue hardship determinations; or
- d. Granting the requested PAS solution would violate other laws, regulations, or collective bargaining agreements. The Department may not be required to grant a PAS solution if it would violate Federal laws, regulations, or collective bargaining agreements.

Reconsideration of Request Previously Denied:

An individual whose request for PAS is denied may request reconsideration by the Disability/Reasonable Accommodation Division (HR/OAA/DRAD) within 10 business days of receipt of the written decision denying PAS or may appeal the decision in accordance with the “Appeal of a PAS Denial” section in this document.

Appeal of a PAS Denial:

(Applies to Foreign Service and Civil Service Employees)

An individual whose request for PAS is denied may appeal that denial by submitting information, in writing, to the Director General of the Foreign Service and Director of Human Resources (DGHR) within 10 business days of receipt of the written decision denying PAS.

Right to File a Complaint:

- a. Pursuant to 29 C.F.R. § 1614.203(d)(3)(iii)(D) and 29 C.F.R. §1614.105, if an individual requesting PAS believes he or she has been subjected to discrimination, harassment, and/or reprisal for prior protected activity or opposition to illegal discrimination, the right to file a complaint will be lost unless the employee initiates contact with an EEO Counselor or the Office of Civil Rights (S/OCR) within 45 calendar days of denial, regardless of whether the employee participates in an informal dispute resolution process. This action will also preserve the right to file a formal complaint of discrimination with S/OCR.
- b. Contact with S/OCR or an EEO Counselor is the first step in the EEO process. Contact S/OCR at: (202) 647-9295 or General Email at: SOCR_Direct@state.gov. To request EEO Counseling email: SOCRCounselorChannel@state.gov. S/OCR is located at: 2201 C Street, NW, Suite 7428, Washington, DC 20520.
- c. The names of EEO Counselors are often listed on the EEO bulletin boards and/or EEO SharePoint sites maintained by specific posts/offices. If an individual is unable to locate an EEO Counselor, he or she can contact S/OCR directly. S/OCR maintains a roster of State’s EEO Counselors and can assign an available EEO Counselor.

Right to Alternative Dispute Resolution Process:

All employees of the Department of State who file EEO complaints of discrimination will have the opportunity to elect Alternative Dispute Resolution (ADR). ADR is available in both the informal and formal EEO processes.

Participation in the EEO/ADR process is at the discretion of the Aggrieved/Complainant. Management’s participation in the EEO/ADR process is mandatory. Final authority for granting access to the ADR process rests with S/OCR.

No Adverse Action/Prohibition Against Reprisal for Making a Request for PAS

(Applies to Foreign Service and Civil Service Employees)

The Department of State prohibits reprisal against an individual because he or she has made a request for PAS. See also the section on the “Right to File a Complaint” in this document and/or the “EEO Retaliation/Reprisal” policy in 3 FAM 1550.

Funding and Payment for PAS:

(Applies to Foreign Service and Civil Service Employees)

- a. Funding for PAS will generally be provided by the Disability/Reasonable Accommodation Division (HR/OAA/DRAD).
- b. The Department is permitted to compensate a family member for PAS that are provided in the workplace regardless of whether or not that family member also performs PAS off the job without compensation. If that family member is hired as a professional PAS provider at the Department, the Department must compensate the family member as either a contractor or federal employee.

Selection of Personal Assistance Services Providers

(Applies to Foreign Service and Civil Service Employees)

- a. When selecting someone who will provide personal assistance services to a single individual, the Department will give primary consideration to the individual’s preferences to the extent permitted by law.
- b. Disability/Reasonable Accommodation Division (HR/OAA/DRAD) will coordinate the procurement of the PAS and provide the employee and supervisor with instructions for scheduling and canceling services as needed.
- c. The PAS Provider will meet with the employee and HR/OAA/DRAD to go over specifics of the individual’s needs, the tasks to be performed, and the manner in which tasks are to be performed. Any change in services must be approved in advance by HR/OAA/DRAD. The PAS Provider will document specific needs to deliver quality care, restricting personal health information only to HR/OAA/DRAD.
- d. In the event that the PAS Provider has concerns that what is being asked by the employee with a targeted disability falls outside of the Department’s written contract/agreement or the employee with a targeted disability has concerns that they are not receiving appropriate services, both parties must immediately contact HR/OAA/DRAD. HR/OAA/DRAD will work with the employee and the Contractor/PAS Provider to address any concerns.

Security Escorts for Contract Personal Assistance Services Providers:

(Applies to Foreign Service and Civil Service Employees)

- a. While security policies vary somewhat from one Department of State location to another, in general Department security policy requires that visitors be escorted by the person they are visiting at all times. The person who “signs for” the visitor at the guard desk is responsible for that visitor at all times until the visitor leaves.
- b. Disability/Reasonable Accommodation Division (HR/OAA/DRAD) does not provide escorts for PAS Providers who are here to provide service to Department employees. Escorting the PAS Provider is the responsibility of the person who requests the service.

PAS Providers on Official Travel:

(Applies to Foreign Service and Civil Service Employees)

- a. An employee who travels for work and who the Disability/Reasonable Accommodation Division (HR/OAA/DRAD) determines requires the services of a PAS Provider is not personally responsible for covering the additional, necessary costs incurred as a direct result of the travel. HR/OAA/DRAD will work with the employee and manager to determine whether a PAS Provider will be provided to travel with the employee, or whether the service will be provided at the destination only. HR/OAA/DRAD can explore both of these options even if the employee indicates a preference.
- b. HR/OAA/DRAD may request justification to determine if the request is reasonable.
- c. When an employee with a disability makes a new request for PAS for approved and official travel, the interactive process is initiated. If needed, a disability determination must be made, an analysis completed, and a solution identified.



S/OCR'S EEO/ADR STANDARD OPERATING PROCEDURES (SOPs)

Informal EEO/ADR Process

- Informal Step 1** **The Administrative process and ADR is offered to the Aggrieved on the 1st day of initial contact. If the Aggrieved elects ADR (the following steps apply).**
- Informal Step 2** **The EEO Counselor provides the Aggrieved with the ADR Election form to complete.**
- Informal Step 3** **Within two (2 days) of the Aggrieved's signature on the ADR Election form the EEO Counselor should forward via e-mail to a Manager of the EEO Counselor Program.**
- Informal Step 4** **Within two (2 days) of receiving the signed ADR Election form, the EEO/ADR Assistant/Specialist should send an acknowledgement letter via e-mail to the Aggrieved.**
- Informal Step 5** **EEO/ADR Assistant/Specialist should add Aggrieved's name and provided relevant information to the EEO ADR roster, add a folder with Aggrieved's name to the ADR library (if an Aggrieved's folder does not exist) and add case with provided relevant information in the I-Complaints.**
- Informal Step 6** **Within three (3 days), from the date the Aggrieved signs the ADR Election form, the EEO Counselor should submit the EEO Counselor's Report to a designated EEO Counselor Program Manager.**
- Informal Step 7** **Within three (3 days), from the date EEO/ADR Specialist receives the EEO Counselor's Report, the EEO/ADR Specialist and/or Chief will determine appropriateness for the Department's EEO/ADR Program. Determining factors include the following:**
- a.) the complaint should state a claim and a basis(es) as prescribed within CFR. 1614. (Preferred but not required)
 - b.) the complaint should be within the required 90 day time frame.

- **Also, the Administrative Dispute Resolution Act of 1996 provided guidelines for determining if ADR may not be appropriate:**
 - A definitive and authoritative decision is needed as a precedent
 - The matter involves significant issues of government policy that require procedural development and ADR will not assist policy development
 - Maintaining and establishing policy and or avoiding variations in a decision are of special importance.
 - The matter significantly affects non-parties
 - A full public record of the proceeding or resolution is importance; or
 - The Agency must maintain continuing jurisdiction over the matter with the right to alter the resolution as circumstances demand.

- **Other consideration that may render ADR use inappropriate:**
 - **Fraud** – If a party to a proposed ADR attempt is under criminal investigation for conduct related to the dispute to be submitted to ADR, the ADR use is inappropriate.
 - **Injunctive relief required:** Matters in which injunctive relief is required are not appropriate for ADR.
 - **Inspector General Investigations:** Agency personnel should be careful to coordinate with all appropriate offices when using ADR to resolve matters that they believe are the subject of an Agency Inspector General Investigation.
 - **Denied Medical Clearance**
 - **Applicants and Contractors (case by case)**

Informal Step 8 **Aggrieved will be notified via e-mail regarding if request to participate in the EEO/ADR Program has or has not been approved.**

Informal Step 9 **If NOT approved, EEO/ADR Specialist will advising that the Aggrieved’s request is denied for processing through the Department’s EEO ADR Program with the appropriate rationale for denial.**

- Informal Step 10** EEO/ADR Specialist notifies the Aggrieved via e-mail that their request to participate in the EEO/ADR Program is denied, provide rational for denial, issue the Notice of Right to File (NRF) a formal EEO complaint and update i-Complaints to reflect the closure. The issuance of the NRF, officially closes the informal EEO case.
- Informal Step 11** If Approved, EEO/ADR Specialist will identified the Responding and Resolving Officials, framed the allegations in date sequence order, list remedies, determine if mediation participants are local, Washington, DC area and request dates of availability for briefing and mediation.
- Informal Step 12** If mediation participants are Not local, EEO/ADR Specialist will make the necessary arrangements for the mediation to be conducted via video or telephone conference depending on available technology. The necessary arrangements include obtaining the name and contact information for the non-local state or post video conference technician. Send an e-mail to SES-EX CommoStaff to request assistance from a video conference technician for a test prior to the scheduled mediation and to set up the video conference mediation.
- Informal Step 13** EEO/ADR Specialist MUST request the assignment of a L/EMP Attorney via e-mail if the Aggrieved is represented by an attorney and/or has identified disability as a basis and/or alleged denial of a reasonable accommodation. Also, provide allegations, requested remedies, and proposed mediation dates.
- Informal Step 14** EEO/ADR Specialist MUST inform HR/DG of ADR cases involving personnel matters and provide allegations, requested remedies, and proposed mediation dates via e-mail for their participation in the EEO ADR mediation.
- Informal Step 15** EEO/ADR Chief and/or Specialist conducts the EEO/ADR briefings via telephone or in person with the Aggrieved and management officials prior to scheduled EEO ADR mediations.
- Informal Step 16** EEO/ADR Specialist reserves conference rooms for mediation, drafts and send official notification via e-mail to mediation participants.
- Informal Step 17** On day of mediation, EEO/ADR Assistant/Specialist and/or Chief Ensures the mediation rooms are set up prior to the arrival of mediation participants.
- Informal Step 18** If mediation concludes with agreed upon terms, Mediators confirms terms prior to party's departure.

- Informal Step 19** **Within 2-3 days after the mediation, the terms are circulated to the mediation participants via e-mail for verification, clearance and/or suggested changes/comments. Upon receipt of clearance, terms are forwarded to S/OCR's Sr. Attorney-Advisor for clearance and then the settlement agreement is finalized.**
- Informal Step 20** **If a L/EMP attorney participates in the mediation, once the agreement is finalized, the Settlement Agreement MUST be forwarded to L/EMP for their final review.**
- Informal Step 21** **After receipt of L/EMP's clearance via e-mail, the settlement agreement is attached to an Offer of Settlement letter and is forwarded to S/OCR's Deputy Director for his signature.**
- Informal Step 22** **The Offer of Settlement letter with attached settlement agreement is forwarded via e-mail to Aggrieved's attorney and Aggrieved for their signatures on the signature page of the settlement agreement.**
- Informal Step 23** **Upon EEO/ADR Specialist's receipt of the signed settlement agreement from the Aggrieved's attorney and Aggrieved, the settlement aggrieved is circulated to the remaining parties for their signatures. S/OCR's Director's signature is the last signature obtained.**
- Informal Step 24** **A signed copy of the settlement agreement is forwarded via e-mail to the Aggrieved's attorney and the Aggrieved for their records.**
- Informal Step 25** **EEO/ADR Specialist drafts the implementation memo and EEO/ADR Chief clears the memo prior to submitting to the Deputy Director's signature to the appropriate addressees. Also, ensure the implementation memo is forwarded via e-mail to appropriate addressees copied to EEO ADR Chief and S/OCR's Attorney Advisor Chief.**
- Informal Step 26** **EEO/ADR Specialist takes the necessary action to update i-complaints reflecting closure via settlement agreement.**
- Informal Step 27** **If mediation concludes without agreed upon terms for settlement, EEO/ADR Specialist sends the Aggrieved via e-forms, the Notice of Right to File (NRF) a formal EEO complaint with appropriate attachments.**
- Informal Step 27** **EEO/ADR Specialist takes the necessary action to update i-complaints reflecting closure via no agreement – NRF issued.**



S/OCR'S EEO/ADR STANDARD OPERATING PROCEDURES (SOPs)

Formal EEO/ADR Process

- Formal Step 1** Complainant's attorney or Complainant informs S/OCR of their request to process formal EEO complaint through the Department's EEO ADR Program via completion of an ADR Election form, letter or e-mail or L/EMP or a S/OCR Intake and Resolution Staff member offers the Complainant ADR and they elect ADR (the following steps apply).
- Formal Step 2** S/OCR's Intake and Resolution staff member forwards the Complainant's ADR Election via e-mail to EEO/ADR Specialist and/or Chief.
- Formal Step 3** Within two (2 days) of receipt of EEO/ADR Election form the EEO Specialist should send an acknowledgement letter to Complainant's attorney (if appropriate) via e-mail.
- Formal Step 4** EEO Specialist should add Complainant's name and provided relevant information to the EEO ADR roster, add a folder with Complainant's name to the ADR library (if a Complainant's folder does not exist) and update case with provided relevant ADR information in the i-Complaints.
- Formal Step 5** Within 3 days of S/OCR's Intake and Resolution staff's receipt of the signed EEO/ADR Election form, letter or e-mail a staff member should forward via e-mail the formal EEO complaint, EEO Counselors Report, and/or amendments to EEO/ADR Specialist and Chief.
- Formal Step 6** Within 3 days, from the date EEO/ADR Specialist receives the formal EEO complaint, EEO Counselor's Report, and/or amendments the EEO /ADR Chief and/or Specialist will determine appropriateness for the Department's EEO/ADR Program. Determining factors include the following:
- a). the complaint should must a claim and a basis(es) as prescribed within CFR. 1614.
 - Also, the Administrative Dispute Resolution Act of 1996

provided guidelines for determining if ADR may not be appropriate:

- A definitive and authoritative decision is needed as a precedent
 - The matter involves significant issues of government policy that require procedural development and ADR will not assist policy development
 - Maintaining and establishing policy and or avoiding variations in a decision is of special importance.
 - The matter significantly affects non-parties
 - A full public record of the proceeding or resolution is importance; or
 - The Agency must maintain continuing jurisdiction over the matter with the right to alter the resolution as circumstances demand.
- **Other consideration that may render ADR use inappropriate:**
- **Fraud** – If a party to a proposed ADR attempt is under criminal investigation for conduct related to the dispute to be submitted to ADR, the ADR use is inappropriate.
 - **Injunctive relief required:** Matters in which injunctive relief is required are not appropriate for ADR.
 - **Inspector General Investigations:** Agency personnel should be careful to coordinate with all appropriate offices when using ADR to resolve matters that they believe are the subject of an Agency Inspector General Investigation.
 - **Denied Medical Clearance**
 - **Applicants and Contractors (case by case)**

Formal Step 7 Complainant’s attorney (if appropriate) and Complainant will be notified via e-mail regarding if request to participate in the EEO/ADR Program has or has not been approved.

Formal Step 8 If NOT approved, EEO/ADR Specialist will advise that the Complainant’s request is denied for processing through the Department’s EEO ADR Program with the appropriate rationale for denial.

- Formal Step 9** EEO/ADR Specialist will notify the Complainant via e-mail that their request to participate in the EEO/ADR Program is denied, provide rational for denial and inform the Complainant's attorney (if appropriate) and Complainant that the formal EEO complaint will be transferred back to the Intake and Resolution Section for processing in the EEO administrative process from the point it ceased. Update the i-Complaints to reflect ADR request denial with appropriate rational.
- Formal Step 10** If Approved, EEO/ADR Specialist will identified the Responding and Resolving Officials, provide accepted allegations, list of remedies, determine if mediation participants are local, Washington, DC area and request dates of availability for briefing and mediation.
- Formal Step 11** If mediation participants are Not local, EEO/ADR Specialist will make the necessary arrangements for the mediation to be conducted via video or telephone conference depending on available technology. The necessary arrangements include obtaining the name and contact information for the non-local state or post video conference technician. Send an e-mail to SES-EX CommoStaff to request assistance for a video conference technician for a test prior to the scheduled mediation and to set up the video conference mediation.
- Formal Step 12** EEO/ADR Specialist MUST request the assignment of a L/EMP Attorney via e-mail if the Complainant is represented by an attorney and/or has identified disability as a basis and/or alleged denial of a reasonable accommodation. Also, provide accepted allegations, requested remedies, and proposed mediation dates.
- Formal Step 13** If Complainant Is Not represented, EEO/ADR Specialist MUST contact the appropriate Union to inquire if Complainant is covered by a bargaining agreement so the Union can contact the Complainant for their participation in the mediation as the Complainant's representative.
- Formal Step 14** If the Union representative informs the EEO/ADR Specialist via e-mail, that the Complainant is covered by a bargaining agreement and will be participating in the mediation, the EEO/ADR Specialist MUST inform L/EMP via e-mail to determine if their (L/EMP) participation is necessary.
- Formal Step 15** EEO/ADR Specialist MUST inform HR/DG of ADR cases involving personnel matters and provide allegations, requested remedies, and proposed mediation dates via e-mail for their participation in the EEO ADR mediation.

- Formal Step 16** EEO/ADR Chief and/or Specialist conducts the EEO/ADR briefings via telephone or in person with the Complainant, Complainant's attorney (if appropriate) and management officials prior to scheduled EEO ADR mediations.
- Formal Step 17** EEO/ADR Specialist reserves conference rooms for mediation, drafts and send official notification via e-mail to mediation participants.
- Formal Step 18** On day of mediation, EEO/ADR Assistant/Specialist and/or Chief ensures the mediation rooms are set up prior to the arrival of mediation participants.
- Formal Step 19** If mediation concludes with agreed upon terms, Mediators confirms terms prior to parties' departure.
- Formal Step 20** Within 2-3 days after the mediation, the terms are circulated to the mediation participants via e-mail for verification, clearance and/or suggested changes/comments. Upon receipt of clearance, terms are forwarded to S/OCR's Sr. Attorney-Advisor for clearance and then the settlement agreement is finalized.
- Formal Step 21** If a L/EMP attorney participates in the mediation, once the agreement is finalized, the Settlement Agreement MUST be forwarded to L/EMP for their final review.
- Formal Step 22** After receipt of L/EMP's clearance via e-mail, the settlement agreement is attached to an Offer of Settlement letter and is forwarded to S/OCR's Deputy Director for his signature.
- Formal Step 23** The Offer of Settlement letter with attached settlement agreement is forwarded via e-mail to Complainant's attorney and Complainant for their signatures on the signature page of the settlement agreement.
- Formal Step 24** Upon EEO/ADR Specialist's receipt of the signed settlement agreement from the Complainant's attorney and Complainant, the settlement aggrieved is circulated to the remaining parties for their signatures. S/OCR's Director's signature is the last signature.
- Formal Step 25** A signed copy of the settlement agreement is forwarded via e-mail to the Complainant's attorney and the Complainant for their records.
- Formal Step 26** EEO/ADR Specialist drafts the implementation memo for the Deputy Director's signature to the appropriate addressees. Also, ensure the implementation memo is forwarded via e-mail to appropriate addressees copied to EEO ADR Chief and S/OCR Attorney Advisor Chief.

Formal Step 27 **EEO/ADR Specialist takes the necessary action to update i-complaints reflecting closure via settlement agreement.**

Formal Step 28 **If mediation concludes without agreed upon terms for settlement, EEO/ADR Specialist sends the Complainant's attorney (if appropriate) and the Complainant via e-mail informing them that no agreement was reached in mediation, therefore the Complainant's formal EEO complaint is transferred back to S/OCR's Intake and Resolution Section to continue in the EEO administrative process from the point it ceased.**

Informal Step 29 **EEO/ADR Specialist takes the necessary action to update i-complaints reflecting mediation conducted, concluded with no agreement, transferred back to I&R Section.**

ANNUAL FEORP PLAN CERTIFICATION

FOR THE FISCAL YEAR 2020

A. Name and Address of Agency: U.S. Department of State, 2201 C St NW; Washington D.C. 20520

B. Name and Title of Designated FEORP Official: Gregory B. Smith, SmithGB@state.gov; tel: 202-647-9295, fax: 202-647-4969

C. Name and Title of Contact Person: Andrea Cilliers, Acting Chief, Diversity Management and Outreach, Cilliersa@state.gov tel: 202-647-8104, fax: 202-647-4969

CERTIFICATION

I certify the above agency: 1) Has a current Federal Equal Opportunity Recruitment Program (FEORP) plan and the program is being implemented as required by Public Law 95-454 and subsequent regulations and guidance issued by the U.S. Office of Personnel Management; 2) All field offices or installations with fewer than 500 employees are covered by a FEORP plan; 3) All field offices or installations with 500 or more employees are covered either by this plan or by a local plan; and 4) Such plans are available on request from field offices or installations.

Print Name: Carol Z. Perez Signature

Date:

Title: Director General of the Foreign Service and Director of Human Resources
(Chief Human Capital Officer or Head of Human Resources)

Email Address: Perez CZ@state.gov

Print Name: Gregory B. Smith Signature:

Date:

Director, Equal Employment Opportunity, Chief Diversity Officer

Email Address: SmithGB@state.gov

Annual Federal Equal Opportunity Recruitment Program (FEORP)
FY 2019 Plan – Accomplishments

Goal Area	Agency Objective	Strategic Activity	FY19 Benchmarks	FY19 Outcomes
Diversity	Recruit from a diverse, qualified group of potential applicants to secure a high-performing workforce that reflects the diversity of America.	Active and ongoing outreach to Hispanic communities across the United States. Continue outreach to the Hispanic community through DIRs at CUNY, University of New Mexico, University of Houston, Florida International University, and the University of Illinois at Chicago, and Washington-based recruiter who manages the Hispanic portfolio.	Diversity data, such as number of applicants from underrepresented groups registering for the Foreign Service Officer Test and the number applying for Foreign Service Specialist positions.	Interest in employment at the Department generally tracks the U.S. unemployment rate; when unemployment is low, the Department usually experiences a decrease in candidates. The overall number of Foreign Service Officer Test (FSOT) takers increased slightly in 2019. HR continued its targeted recruitment marketing and advertising, investing approximately 40% of its budget in paid media investments targeting general diversity (inclusive of skills, ethnicity, and geography).
Diversity	Implement recruitment strategy that targets diverse candidates for the Department of State career and internship opportunities.	Increase DC-based recruiters' and DIRs' creation of content and use of social media for outreach and engagement with prospects.	By the end of FY 2019, increase social media engagement rates for HR/REE's social media properties by 2% over FY 2018's rate of 8%.	The overall social media engagement rate remained strong in FY 2019. Recruitment team members, including Diplomats in Residence, created organic content for use on our various social channels, including Facebook.

Annual Federal Equal Opportunity Recruitment Program (FEORP)

FY 2019 Plan – Accomplishments

Diversity	Attract diverse talented qualified candidates through an outreach strategy that includes technology.	Continue use of social media, mobile app, digital advertising, and to target our reach and raise awareness about the Department and its careers. Incorporate direct sourcing using LinkedIn, targeted resume databases such as the Workforce Recruitment database, and recruiting technologies to engage with prospects.	Utilize mobile app and social media metrics to evaluate impact.	For FY19: All owned media, including careers.state.gov, employee videos, organic social recruitment, direct email, and the mobile app account for more than 4.5 million engagements follows/likes/views/downloads among all career, intern, and fellowship prospects.
Diversity	Identify and develop diverse, qualified employees for leadership development.	Offer professional development opportunities to Department employees.	The number of employees who take career development programs.	HR/CSHRM has 14 career development programs that 160 employees participated in.
Goal Area	Agency Objective	Strategic Activity	FY19 Benchmarks	FY19 Outcomes
Inclusion	Make the Mitigating Unconscious Bias Course available for all direct hire employees.	Launched the in-person Mitigating Unconscious Bias course available for civil service and foreign service employees of any position or rank.	Fill all classes for the course offered in the year.	Filled every class offered thus far, and had a waitlist for each session. Additionally, we hosted the pilot session for Employee Affinity Group leaders before the official launch to gain valuable insight and publicity for the course.

Annual Federal Equal Opportunity Recruitment Program (FEORP)

FY 2019 Plan – Accomplishments

Goal Area	Agency Objective	Strategic Activity	FY 2019 Benchmarks	FY 2019 Outcomes
Sustainability	<p>Develop a revised Diversity and Inclusion Strategic Plan (DISP) that serves as a model of excellence and integrity within the Federal Government. Promote the updated DISP, in order to raise awareness of the plan throughout the Department.</p>	<p>Champion the Diversity and Inclusion Strategic Plan (DISP) as the official action plan for Diversity and Inclusion Initiatives at State.</p>	<p>Broad marketing and messaging of the DISP as a vital document for Department wide diversity and inclusion efforts.</p>	<p>With direction from our Under Secretary for Management, S/OCR and DGHR convened a diversity and inclusion taskforce with over 40 bureau participants who will meet over the next year in order to create the 2020-2024 DISP. The taskforce will also assist each bureau in creating a bureau diversity and inclusion plan.</p>

Annual Federal Equal Opportunity Recruitment Program (FEORP)

FY 2019 Plan – Accomplishments

Promising Practice

In the early FY 2019, HR launched an initiative to support bureau efforts to increase diversity and inclusion. In conjunction with the Office of Civil Rights and the Ombudsman Office, HR conducted a pilot with nine bureaus to explore ways to mitigate the impact of unconscious bias during the Foreign Service bidding process. The pilot introduced basic information on unconscious bias as well as training in methods and processes designed to minimize opportunities for unconscious bias to affect decisions.

The pilot began with a 30-minute training introducing the basics of unconscious bias. The trainer introduced 4 bias and explained how the bias may impact decision making in the hiring process. The second half of the training introduced the idea of standardized and structured interviewing. Tools were introduced to include a library of over 172 pages of skills-based interview questions and a template for rating the answers of each interviewee assisted hiring managers in standardizing the approach to every interview. The pilot stressed the importance of determining the skills and qualifications for the job up front and before the interviews began. By determining the skills up front rather than during the interview, the hiring manager can mitigate choosing a person because of factors that may not be required for the job. The pilot also questioned the practice of requiring qualifications that may not always be necessary. For example, many bureaus seek applicants with experience in the region, which may prevent employees who have served in other bureaus from being able to break into the region. The pilot discussed ideas such as transferrable skills based on a person's experience doing similar work in another region. It also provided a space to discuss and question hiring practices.

Additionally, the pilot encouraged hiring managers to conduct each interview the same with as little deviation as possible to give every interviewee an opportunity to have the same experience. The template for writing the rating and response of the interviewee assisted hiring managers to organize easily compare interview notes, particularly for bureaus where a large volume of interviews are conducted for one position. The documentation then could be compared so the applicants could be more easily assessed against one another, and the hiring manager did not have to rely on memory where unconscious bias has a way of creeping in and affecting the decision.

The bidding season is 2 months long and requires extensive discussions and interviews primary conducted while some employees are overseas. This provides challenges for hiring managers who are asked to fill positions quickly and constantly due the transient nature of the Foreign Service. It also presents challenges for applicants who are overseas and cannot participate in many of the in-person activities or informal meet and greets. The pilot identified these challenges and provided an opportunity for bureaus to analyze the processes for selecting candidates.

The pilot socialized the idea across the Department. Several bureaus and missions abroad requested follow up training and resources on this topic in order to incorporate many of the ideas presented in the pilot. HR touts structured interviews as a best practice and encourages hiring managers to create standard procedures for filling assignments.

Diversity and Inclusion Strategic Plan

Active Engagement from Leadership:

In 2016, the Department published its Diversity and Inclusion Strategic Plan (DISP) for 2016-2020. The DISP lays out the Department mission with respect to diversity and inclusion and outlines three key strategic goals. In anticipation of the DISP's expiration in 2020, the Department has already started working on the 2020 DISP and decided to make this a truly collaborative effort. Our Under Secretary for Management requested that each bureau designate a representative to join a DISP taskforce led by HR and S/OCR, to lead coordination of their respective bureau's input into an enterprise-wide framework for future diversity and inclusion efforts. This taskforce will seek to institutionalize diversity and inclusion initiatives and capture a comprehensive picture of the great work happening across the Department.

We currently have 46 representatives who will participate in a series of activities over the next year. These activities include an assessment of their current progress, training on barrier analysis and the requirement to create a concise bureau diversity and inclusion strategic plan. Through this effort, each bureau will work on activities that contribute to the broader Department plan in terms of recruitment, retention, and advancement. The amount of positive feedback and interest has been promising.

A particular voice in this effort, a Deputy Assistant Secretary in HR, has met with several bureau's Principal Deputy Assistant Secretaries to gauge their level of interest and support. Each meeting was encouraging and informative. Gaining support at varying levels of leadership is crucial in order to institutionalize and weave diversity and inclusion into the fabric of the Department. These meetings will continue throughout the DISP process and have already spawned leadership to ask employees to stand up a number of diversity and inclusion councils at embassies, consulates, and missions around the world.

Include and engage everyone in the workplace:

In November 2019, the Department released the online course on Mitigating Unconscious Bias. The classroom course was launched a year earlier and received rave reviews. This new distance learning course offering extends access of this important and highly sought after course to our workforce worldwide. Grounded in the latest cognitive science research, the emphasis of this course is on moving from awareness of bias to intentional actions that promote inclusion. The course aims to stir a deeper awareness of one's own biases and walk away with practical mitigation strategies they can deploy for themselves and for our organization. Managers can take away specific ideas about how to mitigate behaviors that lead to unfairness in policies and practices, as well as an outline for an action plan for countering unconscious bias.

All employees are encouraged to take the course, including locally employed staff in every embassy, consulate, and mission in the Department. The Department will track the number of people who complete the course and continue to message the importance of it through multiple channels of communication to include HR and Management workshops held regionally throughout the world.

Optimize inclusive diversity efforts using data-driven approaches:

The DISP taskforce coordinated by HR and S/OCR will also be supported by an office at the Department that specializes in strategic planning. So far, there are two strategic planning meetings scheduled with clearly established goals and outcomes. Prior to the first meeting, bureaus will answer a survey to provide information about their current state. After that meeting, bureaus will have a month to complete a larger assessment that asks a series of questions regarding recruitment, retention, and advancement. We modeled the assessment tool after the Federal Equal Opportunity Recruitment Program FEORP progress tracker in order to gauge successes, gaps, and goals for each bureau.

The DISP taskforce team will analyze the data and provide valuable feedback to the larger group as a way to build a sense of cohesion and collaboration. After that, diversity and inclusion practitioners at the Department will be able to understand the support needed to build a sustainable infrastructure for ongoing assessment. Additionally, the group will establish metrics to which the various bureaus can hold themselves accountable — with oversight from senior leadership at the Department.

Strategic Activities Related to Hispanic Employment

The Department of State actively seeks to recruit underrepresented minorities, including Hispanics, to Foreign Service and Civil Service careers. Hispanic recruitment remained a priority in FY 2019. Workforce statistics indicate that 7.3% of all Department employees self-identify as Hispanic. This year, the Bureau of Human Resources' Office of Recruitment, Examination, and Employment (HR/REE) strived, as part of its overall focus on enhancing the diversity of Foreign Service candidates, to reach and cultivate qualified Hispanic candidates through its national recruitment network.

The Department pursued this goal through a national outreach strategy aimed at attracting Hispanic students and professionals and increasing their awareness of career, internship, and fellowship opportunities at the Department. In addition to engaging with existing partner organizations, the Department identified new avenues to recruit a diverse applicant pool. Finally, the Department sought to leverage student programs, including internships and fellowships, as a means of exposing a greater number of Hispanic students to careers in the Department.

The Department's recruitment and outreach strategy for Hispanics is coordinated nationally and seeks to identify and reach prospective candidates through four main methods: person-to-person contact via "Diplomats in Residence" and D.C.-based recruiters, digital marketing and use of social media, dedicated student internship and fellowship programs, and partnerships with organizations such as the Hispanic Employee Council of Foreign Affairs Agencies (HECFAA) that identifies outstanding Hispanic students.

To establish personal contact with prospective candidates, as part of their regular responsibilities for targeting a diverse cadre of candidates, 16 regional recruiters assigned as Diplomats in Residence (DIRs) on university campuses throughout the United States, as well as eight Washington, D.C.-based recruiters, visited Hispanic-Serving Institutions (HSIs) and Hispanic Association of Colleges and Universities (HACU) members. HSIs hosting DIRs included the University of New Mexico, Florida International University - Miami Dade College, and the University of Illinois at Chicago. DIRs are also at institutions in cities with sizeable Hispanic populations, including Atlanta, New York, Austin, Chicago, and Los Angeles.

Members of its recruitment team participated in career fairs, presented on panels, and hosted information sessions at the annual conferences of the Hispanic Association of Colleges and Universities (HACU), Prospanica (formerly known as the National Society of Hispanic MBAs (NSHMBA)), and the Society of Hispanic Professional Engineers (SHPE).

The HR/REE marketing team led Department efforts to broaden its reach and raise awareness among diverse audiences about career and student opportunities. The team developed, implemented, and tracked advertising plans that combined the use of paid, owned, and earned media and included targeted emails, advertising, and social recruitment.

Our fellowship programs aim to bring highly qualified Hispanic and other minority candidates into the Foreign Service. The Department provides funding for undergraduate and graduate programs to include fellowships and student internships. The Foreign Affairs Information

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Technology Fellowship (FAIT), the Thomas R. Pickering Foreign Affairs Fellowship, and the Charles B. Rangel International Affairs Fellowship remain critical components of the Department's diversity recruitment program. Among Pickering and Rangel Fellows, 20% and 23%, respectively, self-identify as Hispanic. These percentages reflect the statistics since the inception of both programs through 2019. The Department also has a paid student internship program that provides opportunities for qualified students from underrepresented groups, women, and students with financial need. In FY 2019, the U.S. Foreign Service Internship Program (USFSIP) consisted of 34% of interns self-identifying as Hispanic. The program provides a two-summer internship experience to qualified candidates to experience the Department both domestically and overseas. The first year's internship combines an academic overview of diplomatic careers with real-world work experience in a Washington, D.C. bureau. The second year's internship takes place the following summer at an embassy or consulate overseas.

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Strategic Activities Related to the Employment of People with Disabilities

Pursuant to Title 5, United States Code, section 7201 and the regulations promulgated to implement it, the Department of State (DOS) continues to implement activities to improve recruitment, retention, and promotion of individuals with disabilities within the Department.

The Bureau of Human Resources' Office of Accessibility and Accommodations (HR/OAA) is a centralized office for disability related programs and activities. HR/OAA's activities support the Bureau's overall goals to recruit an agile workforce, retain high-quality talent, and promote inclusion through a culture of respect and diversity.

The Department's Selective Placement Program Coordinator (SPPC) in HR/OAA leads the Department's disability recruitment efforts, particularly by promoting the use of the Schedule A 5 C.F.R. 213.3102(u) excepted service appointing authority for individuals with disabilities ("Schedule A"). In FY19, the Department hired 90 new employees under Schedule A. This constitutes an increase of 12.5% from FY18.

The SPPC also uses the Workforce Recruitment Program (WRP), a Schedule A program that connects DOS bureaus with highly motivated college students and recent graduates with disabilities for both temporary and permanent positions. Historically, DOS hired five to eight WRP interns each year, several of whom have gone on to permanent placement following their internships. In FY19, HR/OAA placed six WRP interns (an increase of 200% from FY18) via centralized funding, one permanent employee, and one additional WRP via a bureau's own funding for an internship. Unfortunately, five other WRP participants declined offers because the applicants found other positions.

The SPPC partners with the Office of Recruitment, Examination, and Employment (HR/REE) and the Office of Civil Service Human Resource Management (HR/CSHRM) in the Bureau of Human Resources, and the Office of Civil Rights (S/OCR), to educate DOS employees on the mechanisms available to hire qualified people with disabilities.

HR/OAA also encourages the promotion of individuals with disabilities via Schedule A, hosting monthly information sessions for managers and employees on aspects of Schedule A hiring and reasonable accommodation. Through these sessions, attendees have opportunities to learn about how Schedule A flexibilities can be used by employees with disabilities to advance professionally, and by managers to obtain (as expressed in the 2019 National Disability Employment Awareness Month (NDEAM) theme), "the right talent, right now." In FY19, HR/OAA provided DOS with 35 briefings on reasonable accommodations and the Schedule A hiring authority (an increase of 40% from FY18) and held 20 outreach events on similar topics (an increase of 53% increase from FY18).

The SPPC works in close collaboration with the Department's Veteran Employment Program Manager (VEPM) in HR/CSHRM on recruitment and outreach to wounded warriors and veterans with disabilities. HR/OAA and HR/CSHRM collaborated on two job fairs at the DOS Bureau of

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Overseas Buildings Operations and at DOS Headquarters. Both events targeted veterans who are eligible for Schedule A appointments, or for the 30% or more disabled veterans direct hire authority. DOS continues to partner with the Department of Defense's Operation Warfighter (OWF) Program, where wounded, ill, or injured military personnel Service members from all branches can find internships in various bureaus. In FY19, DOS placed two OWF interns.

In addition, HR/OAA and HR/REE participated in Equal Opportunity Publications (EOP) job fairs for individuals with disabilities and veterans, where they obtained over 200 resumes of individuals interested in working for DOS, and two Gallaudet University career fairs where they obtained over 50 resumes from interested candidates.

HR/OAA's centralized disability programs aid in the retention of employees with disabilities by ensuring that employees have what they need to perform their jobs. HR/OAA completed 751 reasonable accommodation (RA) requests requiring extensive review and evaluation by RA analysts in consultation with employees and their supervisors. Assistive Technology specialists enhance the RA program by ensuring that the most current technology is available to support the Department's employees with disabilities.

Additional programs centralized in HR/OAA help ensure the continuing success of DOS employees with disabilities:

- Sign Language Interpreting: 2,697 interpreting requests for all or part of a day in FY2019;
- Reader services: 8,373 hours in FY19;
- Personal Assistance Services (PAS): 1,902 hours in FY19;
- Video Captioning Services: 1,792 completed requests in FY19, and
- Section 508 Services: 1,287 requests for testing and evaluation of information and communication technology to ensure accessibility for individuals with disabilities.

HR/OAA hosts a centralized resource for the Department called the "Disability Dashboard." It provides information related to hiring and employment of individuals with disabilities throughout DOS. The Dashboard includes sections such as Reasonable Accommodations & Disability Services; Workplace Accessibility; Hiring, Training/Courses, and Briefings/Presentations; and Disability Retirement. The "Supervisors' Corner" contains information specifically for supervisors of individuals with disabilities, as well as information on how to utilize the non-competitive hiring benefits of the Schedule A hiring authority. During FY19, the Disability Dashboard averaged 225 web hits per month, a decrease of 11% from FY18.

DOS will continue to take specific steps to ensure that current employees with disabilities have sufficient opportunities for advancement. Among these are continued education of employees and hiring managers via bureau-specific briefings, a webinar series, Department Notices, and an updated Foreign Service Institute distance learning course on Disability & Reasonable Accommodations.

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FY 2019 FEORP Progress Tracker

Agency Name

U.S. Department of State

Mentoring

Mentoring	Qualitative Questions	If "No" or "Other", please use this section to provide a detailed explanation.
Agency has a Formal Mentoring Program	Response Yes	
Mentoring Training provided	Response Yes	
Program is evaluated	Response Yes	
Frequency of Program Evaluation (e.g. annual, semiannual, quarterly, other)	Response Annual	
Feedback is provided	Response Yes	
Program is announced to all qualified individuals	Response Yes	
Agency collects demographic data of mentoring participants (Race, National Origin, Veteran, People with Disabilities, etc.)	Response Yes	
Mentoring (CS)	Quantitative Questions (# or %)	
Percent of employees involved with mentoring in FY 2019	Response 1.92%	
Percent of SES involved with mentoring in FY 2019	Response 6.56%	
Percent of managers involved with mentoring in FY 2019	Response 0.40%	Response is based on job titles i.e. Deputy, Executive Director, Director, and Office Director
Percent of supervisors involved with mentoring in FY 2019	Response 0.40%	
Count of employees involved with mentoring in FY 2019	Response 155	
Count of SES involved with mentoring in FY 2019	Response 12	In addition to the Department's official mentoring program, each of the participants in the SES CDP participants has an assigned SES mentor.
Count of managers involved with mentoring in FY 2019	Response 8	Response is based on job titles i.e. Deputy, Executive Director, Director, and Office Director. This is the Department's official mentoring program for Civil Service Employees.
Count of supervisors involved with mentoring in FY 2019	Response 8	
Total number of employees eligible to participate in FY 2019	Response 10048	
Mentoring (FS)	Quantitative Questions (# or %)	
Percent of employees involved with mentoring in FY 2019	Response 3.84%	

Percent of SFS involved with mentoring in FY 2019	Response	
	5.04%	
Percent of managers involved with mentoring in FY 2019	Response	Applicants were not asked if they were a manager or not, only job title was given. We defined manager as employees at the FS-01 level.
	0.66%	
Percent of supervisors involved with mentoring in FY 2019	Response	Applicants were not asked if they were a supervisor or not, only job title was given. We defined manager as employees at the FS-02 level.
	1.61%	
Count of employees involved with mentoring in FY 2019	Response	
	532	
Count of SFS involved with mentoring in FY 2019	Response	
	48	
Count of managers involved with mentoring in FY 2019	Response	Applicants were not asked if they were a manager or not, only job title was given. We defined manager as employees at the FS-01 level.
	92	
Count of supervisors involved with mentoring in FY 2019	Response	Applicants were not asked if they were a supervisor or not, only job title was given. We defined manager as employees at the FS-02 level.
	224	
Total number of employees eligible to participate in FY 2019	Response	13855
Diversity and Inclusion Training		
Diversity and Inclusion Training	Qualitative Questions (Text)	If "No" or "Other", please use this section to provide a detailed explanation.
Formal Diversity and Inclusion Training provided	Response	
	Yes	
Frequency of Diversity and Inclusion Training per year (e.g. annual, semiannual, quarterly, other)	Response	There are many different courses that contain EEO/D&I components at the Foreign Service Institute (FSI). Within the first year of their promotion, supervisors are required to take a course that includes an EEO component and several thereafter. In addition, they must take more supervisory training with EEO components in them every five years. Rank and-file employees similarly take training at FSI with EEO/D&I components.
	Other	
Training on Unconscious Bias provided	Response	
	Yes	
All employees briefed on agency's Diversity and Inclusion Policies	Response	
	Yes	
Diversity and Inclusion Training	Quantitative Questions (# or %)	
Percent of employees who have participated in formal Diversity and Inclusion Training in FY 2019		
	24.00%	
Percent of Senior Leadership that have participated in formal Diversity and Inclusion Training in FY 2019		
	27.00%	
Count of employees who have participated in formal Diversity and Inclusion Training in FY 2019		
	7639	
Count of Senior Leadership that have participated in formal Diversity and Inclusion Training in FY 2019		
	1117	
Total number of employees eligible to participate in FY 2019	24026	
Diversity and Inclusion Council	Qualitative Questions (Text)	If "No" or "Other", please use this section to provide a detailed explanation.
Agency has a Diversity and Inclusion Council	Response	
	Yes	

Diversity and Inclusion Council has a charter	Response	
	Yes	
Council members have received training	Response	
	Yes	
Council's mission aligns to agency mission	Response	
	Yes	
Frequency of council meetings (e.g. annual, semiannual, quarterly, other)	Response	The Diversity Advisory Council meets as-needed in lieu of the more active Diversity Forum, which is chaired by the Deputy Secretary of State and contains Employee Affinity Group Presidents and their Leadership Liaisons. The Forum meets quarterly.
	Other	
Diversity and Inclusion Council Quantitative Questions (# or %)		
Percent of employees on council	Response	
	0.00%	
Percent of Senior Leadership on council	Response	
	100.00%	
Count of employees on council	Response	
	0	
Count of Senior Leadership on council	Response	
	23	
Total number of people on council	Response	
	23	
Development Programs		
Development Programs	Qualitative Questions (Yes or No)	If "No" or "Other", please use this section to provide a detailed explanation.
Agency has a SES Candidate Development Program that is announced to all qualified individuals	Response	
	Yes	
The SES Candidate Development Program is evaluated regularly	Response	
	Yes	
Agency has a Career Development Program that is announced to all qualified individuals (this is a CDP that is different from the SES CDP program and geared towards the lower grade levels)	Response	
	Yes	
The Career Development Program is evaluated regularly	Response	
	Yes	
Agency collects demographic data of development program participants (Race, National Origin, Veteran, People with Disabilities, etc.)	Response	
	Yes	
Development Program Quantitative Questions (# or %)		
Percent of employees who participated in the SES Candidate Development Program in FY 2019	Response	
	0.13%	
Percent of employees who participated in a Career Development Program in FY 2019	Response	This only applies to centrally managed career development programs.
	1.60%	
Count of employees who participated in the SES Candidate Development Program in FY 2019	Response	
	14	
Count of employees who participated in a Career Development Program in FY 2019	Response	
	161	

Performance Plans			
Does your agency have a Diversity and Inclusion (D&I) element in the following groups' performance plans (this may also be			
D&I Element in SES performance plans			Use this section to provide additional response or explanation as it
Yes or No	Percentage	Count	
Yes	100.00%	175	The SES performance plan includes language relating to diversity and inclusion. Critical Element #2 states as follows: Designs and implements strategies that maximize employee potential, connects the organization horizontally and vertically, and fosters high ethical standards in meeting the organization's vision, mission, and goals. Provides an inclusive workplace that fosters the development of others to their full potential; allows for full participation by all employees; facilitates collaboration, cooperation, and teamwork, and supports constructive resolution of conflicts. Ensures employee performance plans are aligned with the organization's mission and goals, that employees receive constructive feedback, and that employees are realistically appraised against clearly defined and communicated performance standards. Holds employees accountable for appropriate levels of performance and conduct. Seeks and considers employee input. Recruits, retains, and develops the talent needed to achieve a high quality, diverse workforce that reflects the nation, with the skills needed to accomplish organizational performance objectives while supporting workforce diversity, workplace inclusion, and equal employment policies and programs. Department requirement: Actively fosters and sustains a positive workforce culture which emphasizes employee engagement and connects employees' work with the Department's mission; ensures employees are committed to Department/Bureau goals, motivated to contribute to organization accomplishments, and invested in their work; and uses available metrics to measure impact.
D&I Element in Management/Supervisor performance plans			
Yes or No	Percentage	Count	
Yes	100.00%	3403	<p>The Civil Service performance plans for supervisors includes language relating to diversity and inclusion. Critical Element #3—Manages Performance and Resources states: Appropriately recruits, selects, utilizes, and develops new staff to maintain a highly qualified workforce. Additionally, in 2016, the Department's Leadership and Management Principles were incorporated into all Civil Service performance plans in the description of Critical Performance Element #2, as follows: Supervisors: Competency: Demonstrates Leadership and Achieves Organizational Results. Description: Creates a shared purpose and vision for his/her group and motivates others to work toward it while modeling the Department of States' Leadership and Management Principles (Model Integrity; Plan Strategically; Be Decisive and Take Responsibility; Communicate; Learn and Innovate Constantly; Be Self-Aware; Collaborate; Value and Develop People; Manage Conflict; and Foster Resilience). More recently, in 2019 in order to positively increase accountability and to incentivize employees to think more critically about their behavior as it relates to professionalism, civility, respect, diversity and inclusion, the Department added new language to Critical Performance Element 5 - Competency: Teambuilding and Communication. Description: Develops and maintains productive, effective teams through clear and concise communication. The updated language is now available in ePerformance for the 2020 rating cycle.</p> <p>The Foreign Service performance plan includes language relating to diversity and inclusion. Each officer must fulfill Core Work Responsibilities: Model the Department of State's six core values (accountability, character, community, diversity, loyalty, service) and the Department's Leadership and Management Principles; observe and implement EEO principles.</p>
D&I Element in employee performance plans			
Yes or No	Percentage	Count	
Yes	100.00%	20623	<p>The Civil Service performance plans for non-supervisors including language for diversity and inclusion Critical Performance Element #2: Competency: Achieves Organizational Results. Description: Focuses on achieving positive, concrete results that contribute to organizational success while modeling the Department of State's Leadership and Management Principles (Model Integrity; Plan Strategically; Be Decisive and Take Responsibility; Communicate; Learn and Innovate Constantly; Be Self-Aware; Collaborate; Value and Develop People; Manage Conflict; and Foster Resilience). More recently, in 2019 in order to positively increase accountability and to incentivize employees to think more critically about their behavior as it relates to diversity and inclusion, the Department added new language to Critical Performance Element 5 - Competency: Interpersonal Skills and Communication. Description: Develops and maintains productive relationships with the work unit. The updated language is now available in ePerformance for the 2020 rating cycle.</p> <p>The Foreign Service performance plan includes language relating to diversity and inclusion. Each officer must fulfill Core Work Responsibilities: Model the Department of State's six core values (accountability, character, community, diversity, loyalty, service) and the Department's Leadership and Management Principles; observe and implement EEO principles.</p>

Disabled Veterans Affirmative Action Program (DVAAP) Accomplishment Report

1. Agency U.S. Department of State

2. FY 2019

3. POC Name Sean Lenahan

4. Phone 202-663-2182

5. Methods used to recruit and employ disabled veterans, especially those who are 30 percent or more disabled (Attach supporting addendums if needed)

The Office of Recruitment, Examination, and Employment in the Bureau of Human Resources (HR/REE), is responsible for strategic recruitment for Foreign Service Officers and Specialists, and student programs for the entire Department. HR/REE has two dedicated recruiters focused on veteran's recruitment, and another 16 recruiters as part of the Diplomats in Residence (DIR) program for support. DIRs are Foreign Service personnel hosted by 16 universities across the country. They provide guidance and advice to students, professionals, active-duty and transitioning military personnel, and the community about Department of State careers. Selected recruiting events DIRs conducted include: focused outreach to military bases, attendance at military related career fairs and conferences, and meeting with the Student Veterans of America Chapters in their respective regions. In FY 2019 HR/REE used a resume database called RecruitMilitary to identify qualified potential applicants for State Department employment. Recruitment staff invited potentially qualified individuals to submit applications for specific job announcements and/or engage through email about careers.

Additional recruitment outreach activities included collaboration efforts with Department functional bureaus targeting veterans and veterans with disabilities at: Transition Assistance Program (TAP) centers, the Service Academy Career Conference, multiple Hiring Our Heroes events, the North Carolina For Military Employment (NC4ME) organization, the Women Veterans Alliance Conference, the Fort Hood Mega Fair, the SouthComm career fair in Florida, recruitment outreach to Reserve and National Guard units and meeting with the Texas Workforce Commission Veterans Specialists. HR/REE also engaged in advertising and social media marketing.

The Office of Civil Service Human Resource Management's (HR/CSHRM) Veteran Employment Program Manager (VEPM) created specific "Eligible Veteran Only" vacancy announcements for IT Specialists, HR Specialists, and Government Information Specialists to recruit disabled veterans. The VEPM then provided 129 IT resumes, 183 HR resumes, and 84 veteran Government Information Specialist resumes to 100+ hiring managers that resulted in over 25 selections, many of which were 30% or more disabled veterans.

The Office of Accommodations and Accessibility (HR/OAA) in the Bureau of Human Resources provides centralized disability services to Department of State (DOS) employees. In this role, HR/OAA helps recruit disabled veterans by advising them on how to join the DOS Talent Database, thereby making them eligible for referrals to hiring managers and Human Resources point of contacts (HR POCs) for selection. For WWI (Wounded Warrior Initiative), the SPPC (Selective Placement Program Coordinator) disseminates a list of available warriors/interns on a monthly basis to HR POCs and Executive Directors encouraging them to hire WWI candidates. Lastly, HR/OAA promotes hiring of individuals with disabilities through the Schedule A and veteran hiring in our regular outreach to hiring managers. In 2019, HR/OAA participated in the Equal Opportunity Publications Inc. job fair recruiting individuals with disabilities.

6. OPM DVAAP Manager Official Use Only: Is there an explanation of the recruitment and employment methods they have used?

Yes

Somewhat

No

**7. Methods used to provide or improve internal advancement opportunities for disabled veterans
(Attach supporting addendums if needed)**

In 2019, HR/CSHRM promoted their "Civil Service Non-Competitive Assignments" portal that displays reassignment opportunities available for current Department of State Civil Service employees. The site advertises positions available at all grade levels for lateral movement throughout the Department. Disabled veterans may search for vacancies by grade and Bureau and may subscribe to the site to receive a notification when new opportunities are posted. The site will not only provide disabled veterans with greater visibility into open positions throughout the Department, but also provides the potential for hiring managers to fill vacancies quickly.

HR/CSHRM also published a Department Notice encouraging their employees to complete Veteran Employment Training (PA302) in FSI's Distance Learning Catalog. This training familiarizes participants with the Veteran Employment Initiative and how certain special appointing authorities can be used to increase the number of veterans and disabled veterans in the workplace. In accordance with Executive Order 13518, the Department provided this training to agency human resources personnel and hiring managers.

HR/CSHRM's VEPM met with disabled veterans in the 5th cohort of the Secretary of State's Veterans Innovation Partnership (VIP) Fellowship program, providing career counselling services and discussing internal advancement opportunities. The main focus of VIP is to build and deploy strategic partnerships between the U.S. government and various veteran organizations to mobilize resources and build networks to promote foreign affairs career opportunities for veterans.

HR/OAA's Selective Placement Program Coordinator (SPPC) conducted training on disability awareness and the use of the Schedule A(u) hiring authority to hire individuals with disabilities. The SPPC also maintains a database of qualified Schedule A(u) eligible applicants which includes disabled veterans. HR/OAA encourages hiring managers and HR specialists to contact the SPPC for qualified candidates from the Talent Database to fill Civil Service vacancies prior to posting a vacancy announcement on USAJOBS. HR/OAA referred all qualified veterans when managers or HR POCs requested referrals. If referrals were received from veterans directly for referral, HR/OAA referred them to hiring managers or HR POCs. HR/OAA also worked with veterans to obtain correct Schedule A letters from their licensed medical professionals or vocational rehabilitation professionals. HR/OAA also participated in the Department's Vet Employment Program Job Fair at the Harry S. Truman Building and the Bureau of Overseas Buildings Operations (OBO), in April 2019 and July 2019, respectively.

Veterans@State, a Departmental Employee Affinity Group (EAG) established in 2014, held a variety of sessions for veterans and disabled veterans to discuss career development and advancement opportunities.

8. OPM DVAAP Manager Official Use Only: Does agency explain the career advancement methods they have used?

Yes Somewhat No

9. A description of how the activities of major operating components and field installations were monitored, reviewed, and evaluated (Attach supporting addendums if needed)

HR/CSHRM's VEPM monitored, reviewed and evaluated hiring activities by using statistical information in the Knowledge Center Persons Universe. The VEPM developed reports that were broken down by workforce (Civil Service, Foreign Service) and by Veterans Status and Veterans Preference Code. These reports allowed the VEPM to track program progress to ensure DOS was on track to meet internal targets for veteran hires, disabled veteran new hires, and veterans onboard.

HR/CSHRM's VEPM evaluated the effectiveness of the Department's "Eligible Veterans Only" vacancy announcements posted on USAJOBS for IT Specialists, HR Specialists, and Government Informations Specialists by reviewing the number of applicants, the number of eligible candidates, and the number of selections.

HR/CSHRM's VEPM also conducted exit surveys with VIP Fellows once they completed the program. The exit surveys capture information from the Fellow's perspective on their overall satisfaction with the program, the program's relevance and usefulness in advancing their career goals, and their overall opinion of their job placement experience. This data is reviewed and used to improve the effectiveness of the program for future cohorts.

In FY 2019, the HR/REE team conducted a return on investment study to assess the effectiveness of the RecruitMilitary resume database. The study compared the 400 names of veterans contacted to those who applied to a FY 2019 vacancy announcement. Return on investment for the pilot project was low. HR/REE will consider whether to renew the license for an additional year to further evaluate its effectiveness in comparison with other sourcing methods and recruitment activities or to acquire a new veteran resume platform. HR/REE also tracks veteran recruitment activities through the database called Yello. The data collected through Yello assists HR/REE in determining whether past events were successful in terms of quality and quantity of participating veterans, and whether HR/REE should continue to participate in similar events in the future. HR/REE also conducted surveys of job applicants and new hires to assess the effectiveness of recruitment activities, including advertising and social media campaigns.

HR/OAA used their email listserv to keep in contact with and monitor WWI program managers, Department's volunteers from Bureaus, and offices interested in hosting non-paid interns. HR/OAA streamlined their Talent Database by updating their questionnaire in SurveyMonkey, making it shorter and more efficient. HR/OAA also added more job series for quicker indexing and searching for qualified candidates.

To further the goal of reviewing, evaluating, and communicating best practices, HR/CSHRM, HR/OAA, and HR/REE worked in partnership and kept each other informed throughout 2019. These offices also worked together to participate in the Department's 2nd Annual Veteran Employment Information Fair, where they gathered information on the effectiveness of their programs from over 150 employees that attended the fair in the Harry S. Truman building.

10. OPM DVAAP Manager Official Use Only: Does agency describe how they monitored, reviewed and evaluated their DVAAP Activities? (If applicable as well as for major operating components and field installations)

Yes Somewhat No

**11. An explanation of the agency's progress in implementing its affirmative action plan during the fiscal year. Where progress has not been shown, the report will cite reasons for the lack of progress, along with specific plans for overcoming cited obstacles to progress
(Attach supporting addendums if needed)**

The Department of State's showed great improvements in their ability to successfully implement their affirmative action plan in FY19 as opposed to previous years. Preliminary statistics indicate that the Department has increased the number and percentages of veterans and disabled veterans hired into the Civil Service in FY 2019 when compared to FY 2018. According to the Bureau of Human Resources Executive Office, the Department hired 65 veterans in FY18 and 154 veterans in FY19, which was a significant increase. Furthermore, the Department hired 48 veterans that were 30% or More Disabled in FY19 as compared to the 25 veterans that were 30% or More Disabled in FY18.

The Department continued to focused their efforts on retention and held two Veteran Employment Information Fairs where DOS veteran employees had the opportunity to get questions answered on veterans preference, special hiring authorities, disabled veteran leave, buying back military service for federal retirement, and many other topics. The Department continued to support the Veterans Innovation Partnership (VIP) Fellowship program. This is the 6th year of the program. The main focus of VIP is to build and deploy strategic partnerships between the U.S. government and the private sector to mobilize resources and build networks to promote foreign affairs career opportunities for veterans and disabled veterans. The sixth cohort of VIP Fellows is currently being selected.

HR/CSHRM's VEPM continues to conduct individual counseling sessions with VIP Fellows, many of which were disabled veterans and supported rotational assignments for VIP Fellows to improve their chances of permanent placement. HR/CSHRM's VEPM has also responded to over 1,000 veterans, disabled veterans and transitioning service members via phone and email, providing them with specific resources to promote DOS as a Veteran Friendly Employer of Choice.

HR/REE continues to have great interest among the veteran population for opportunities within the Department. This success is attributed to the personal relationships HR/REE recruiters make with military entities including Transition Assistance Centers, student veteran organizations, and other non-for-profit veteran specific organizations. However, one barrier that hinders the ability to assess the success of the recruitment efforts through the RecruitMilitary database, is the database's limited data analytics capabilities. HR/REE recruiters must keep separate spreadsheets related to veterans they communicate with and cross reference it manually with the applicant list. In addition, there are no report functions associated with the resume database, making it difficult to assess the ROI. HR/REE will research other veteran resume platforms to determine where to best allocate its resources in order to further veteran and disabled veteran outreach.

HR/OAA continues to work with veterans with disabilities to ensure that their Schedule A letters are acceptable to qualify for a non-competitive appointments. HR/OAA's SPPC continues to personally meet with veterans with disabilities and briefs them on resume preparation and the use of noncompetitive hiring authorities.

Despite a few challenges, DOS will continue its effort to build a diverse, high-performing, and inclusive workforce that reflects our Nation and those who have served in our military.

12. OPM DVAAP Manager Official Use Only: Does agency explain the progress in implementing DVAAP? If there was no progress, were there reasons for the lack of progress or challenges and specific plans for overcoming their challenges?

Yes Somewhat No

**13. POC's Name, Email, and Phone Number of Operating Components and Field Installations
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**Diversity and
Inclusion
Strategic Plan**

U.S. Department of State
Diversity and Inclusion Strategic Plan
2016 to 2020

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Overview

The Department of State (DOS) employs approximately 75,000 employees, including full-time permanent direct hire Foreign Service (FS) and Civil Service (CS) and Locally Employed Staff (LE Staff) throughout the world.¹ This talented and diverse pool of employees carry out our mission to shape and sustain a peaceful, prosperous, just, and democratic world and foster conditions for stability and progress for the benefit of the American people and people everywhere.

Building a workforce that reflects our nation's broad diversity is a top priority. As the face of America overseas, we want the people in our organization to represent our country's richness and diversity—it demonstrates our commitment to inclusion as well as acceptance and respect for all people. It's also good for business. Embracing talent from all walks of life and from every corner of our great nation brings creativity to the workplace, drives innovation and strengthens our ability to confront the array of increasingly complex international challenges we are entrusted to resolve. To represent the United States to the world, the U.S. Department of State must have a workforce that reflects the rich composition of its citizenry. It is a long-standing Department commitment that continues to be a priority today and into the future.

Our diversity efforts are guided by strategic goals and objectives which have been discussed in the Interagency Initiative for Promoting Diversity and Inclusion in the National Security Workforce, the Department's strategic plan, the Bureau of Human Resources' (HR) Functional Bureau Strategy (FBS), the Annual Federal Equal Opportunity Recruitment Program (FEORP), the FY 2015 to FY 2019 Human Resources Recruitment Strategy, and others². This document incorporates recommendations from agency stakeholders with expertise in the areas of human resources, diversity and inclusion, and equal employment opportunity.

Focused on investing in a skilled, diverse workforce ready to lead, the plan aims to increase the diversity of our workforce. We will build on efforts to recruit and retain a workforce that represents the diversity of our nation. The Diversity and Inclusion Strategic Plan lays out the objectives of recruiting a talented and diverse pool of applicants, and retaining and sustaining that talent.

Key objectives include improving and enhancing mentoring programs, expanding outreach to managers who make hiring decisions, and encouraging collaboration with external partners.

¹ See Appendix for HR Fact Sheet: <http://www.state.gov/documents/organization/254217.pdf>

² See Appendix for Crosswalk of Additional Diversity and Inclusion Plans at the Department of State

Background

The Department has made progress and continues to implement the goals of its 2012 Diversity and Inclusion Strategic Plan (DISP), which include:

“**Workforce Diversity**... recruits from a diverse, qualified group of potential applicants to secure a high-performing workforce drawn from all segments of society,”

“**Workplace Inclusion**...cultivate a culture that encourages collaboration, flexibility, and fairness to enable individuals to contribute to their full potential and further retention,”

“**Sustainability**...develops structures and strategies to equip leaders with the ability to manage diversity, be accountable, measure results, refine approaches on the basis of such data, and engender a culture of inclusion.”

For decades, senior leaders have made genuine efforts to shape and build a more diverse and inclusive Department through policy, recruiting, and outreach initiatives. In the *Foreign Service Act of 1980*, the U.S. Congress stated that the Department should ensure that it is “representative of the American people.” The Department’s diversity and inclusion initiatives are jointly overseen by the Office of Civil Rights (S/OCR) and HR. The Director of S/OCR is also the Department’s Chief Diversity Officer. HR’s Senior Advisor for Diversity and Inclusion advises the Director General and the HR Bureau and serves as the principal liaison to S/OCR, regularly coordinating inter- and intra-agency efforts to advance diversity and inclusion. The Department’s Employee Affinity Groups (EAGs) serve as a link between diverse employee constituencies and the Department’s senior management, S/OCR staff, and HR staff. Each EAG is assigned a senior Department official as its Leadership Liaison (LL). The Department’s senior leaders regularly meet with EAGs and their LLs and encourage cross-collaboration between EAGs for a better and more inclusive Department of State for all.³

The Department has made some unequivocal gains in hiring a diverse workforce over the past 20 years with our full-time permanent direct hire employees. Women now make up 40% of our Foreign Service Generalist and 27% of our Foreign Service Specialist workforce and greater than 50% of Civil Service employees.⁴ Women comprise approximately 35% of the Generalist Senior Foreign Service (SFS), an increase from 16% twenty years ago, and the representation of women in the Senior Executive Service (SES) has more than doubled from 18% to 41% over the same period. The fact that one in three Chiefs of Mission today is female—compared to one in ten 20 years ago—reinforces positive trends in the Department.

³ See Appendix for List of Employee Affinity Groups

⁴ See Appendix for Department of State Diversity Statistics, Full-time Permanent Employees as of September 30, 2017

The trend for increasing diversity in the Foreign Service has also gained momentum over the past 10 years. For example, minorities comprised 30% of the 2015 hires into the Foreign Service. Since 2003, the Department has seen an upward trend in Foreign Service officer applications by minority candidates. We strengthened our pipeline for diverse, qualified candidates via targeted advertising and outreach, internship opportunities, and our flagship Pickering and Rangel Fellowships. Moreover, in FY 2015, the Department hired 33 persons with disabilities through the Schedule A hiring authority, a notable 230% increase over each of the previous five years. The gains we have made in hiring a diverse workforce are not yet reflected at the leadership levels and may not be for another 10 years, but we are determined to retain our talent and preserve our pipeline for future leadership.

Our strategic approach to improving diversity in our organization rests on three pillars:

1. Targeted recruitment and outreach;
2. Continued analysis and review of the Department's hiring processes;
3. Deliberate focus on retention.

Sustained progress requires a smart strategy, resources, perseverance and resolve. The Department has bolstered existing programs to identify, recruit, and hire on merit from the broadest, deepest pool of diverse candidates. We continued our partnerships with community-based organizations such as the Hispanic Association of Colleges and Universities (HACU). The Department also increased its U.S. Foreign Service Internship Program. This unique paid internship program has proved successful as a Foreign Service recruitment tool for groups underrepresented in the Department. At the senior level, we have taken steps to foster diversity in the Senior Executive Service (SES) by ensuring our Qualification Review Panels are diverse and raising awareness of SES opportunities by working with the Department's Employee Affinity Groups and announcing vacancies internally through Department Notices.

We are reaching out to younger audiences to build interest in future careers in foreign affairs. The Secretary has spearheaded a "call to service" campaign in which Department leaders raise the visibility of the State Department as an employer of choice, particularly among underrepresented audiences. The Secretary, in a number of public addresses, including at Indiana University, Miami Dade Honors College, and to students from Historically Black Colleges and Universities ([HBCUs](#)), continues to raise awareness of the Department as an employer of choice, and one that values diversity as integral to our mission. He has encouraged Department senior leadership to include this "call to service" message in their domestic engagements across the country, particularly among underrepresented audiences. The Secretary's Office of Civil Rights, the Bureau of Public Affairs, and recruiters and Diplomats in Residence (DIR) within HR are working with several Department principals to identify engagement opportunities to continue the "call to service" momentum.

The Department has placed a deliberate focus on retention by strengthening mentoring and professional development opportunities. We are partnering with the International Career Advancement Program (ICAP), which offers leadership, mentoring and development opportunities to mid-career professionals to provide mid-career CS and FS employees with professional development opportunities. Additionally, the Una Chapman Cox Foundation funded a study to review the Department’s mentoring program in order to identify any gaps and provide recommendations on how we can strengthen it. In December 2015, the Director General launched a podcast series – *Conversations on Leadership* – to ensure all employees have access to professional advice from senior leaders. These “Conversations” offer a window into their thinking and decision-making and serve as a source of virtual mentoring. The Department has launched a centralized exit survey process for all employees separating from the Department to systematically capture reasons for attrition and address ways to improve retention. The Department’s leadership has been consistent in making diversity and inclusion a top priority and will continue to build upon our progress in the future.

Mission Statement

Definitions of “Diversity” and “Inclusion” and “Inclusive Diversity”

We define workforce diversity as a collection of individual attributes that together help agencies pursue organizational objectives efficiently and effectively.

We define inclusion as a set of behaviors (culture) that encourages employees to feel valued for their unique qualities and experience a sense of belonging.

We define inclusive diversity as a set of behaviors that promote collaboration amongst a diverse group of employees.

Diversity and Inclusion Mission Statement

Our strategic vision is to serve as the Nation’s model employer by leveraging diversity and fostering inclusion to deliver the best public service possible.

Goals

1. Diversify the Federal Workforce through Active Engagement of Leadership

The U.S. Department of State shall foster a diverse, high-performing workforce drawn from all segments of American society.

2. Include and Engage Everyone in the Workplace

The U.S. Department of State shall foster a culture that encourages employees to feel valued and experience a sense of belonging.

3. Optimize Inclusive Diversity Efforts using Data-Driven Approaches

The U.S. Department of State shall continue to improve inclusive communication efforts and comply in a timely fashion with FEORP requirements.

Goal 1: Diversify the Federal Workforce through Active Engagement of Leadership

Agency leaders shall continue their efforts to attract, retain, and cultivate a pool of diverse leaders by frequently communicating, accounting for, and modeling inclusive diversity behaviors that attract and reflect the broad diversity of American society.

Priority 1.1: Leaders shall emphasize the importance of their diversity efforts by demonstrating a wide range of communication strategies. Specifically, leaders shall provide resources and open dialogue and overcome the cognitive, motivational, and structural barriers that inhibit inclusive diversity efforts.

Actions:

Internal and External Communication of Diversity and Inclusion Priorities

- a. The Department's Employee Affinity Groups (EAGs) serve as a link between diverse employee constituencies and the Department's senior management, Office of Civil Rights staff, and Human Resources staff. EAGs promote internal networking, career development and community service, and are helpful in retention, recruitment, morale, skill development, and training initiatives. Leadership Liaisons (LLs) provide advice and ideas about effective leadership in the context of Department culture. They offer ideas, broker solutions, and serve in a mentor capacity to the EAG leadership. In addition, the LLs share information about their designated EAG and diversity-related initiatives through the DAC and with other senior leaders throughout the Department. S/OCR regularly meets with the leaders of the EAGs and their LLs. S/OCR strongly

encourages cross-collaboration between EAGs for an even better and more inclusive Department of State for all.

- b. Internal communication is critical for workforce engagement. External communication is necessary for building understanding and support for Department diversity and inclusion goals in the interagency community, in Congress, and among the public. To that end we have:
- Deployed a “call to service” campaign in which our Diplomats in Residence support Department leaders’ efforts to raise the visibility of the State Department as an employer of choice, particularly among underrepresented audiences by integrating recruitment messages in their domestic engagements.
 - Provided access to outreach coordinators throughout the Department to a shared calendar which tracks internal and external opportunities for senior leadership to discuss diversity and promote public service. They also have access to talking points that promote diversity and inclusion and call to service messages.
 - Initiated a podcast series “Conversations on Leadership” which regularly communicates about leadership and management principles and other important values including mentoring, diversity and inclusion.
- c. Require that senior leadership receive regular updates on demographics data and efforts to reduce barriers, and ensure there is a mechanism for follow-up and accountability.
- HR provides monthly statistical reports to each Bureau on Bureau vacancy rates, attrition, retirement eligibility, demographics, gender, and ethnicity.
 - The Department conducts, reports, and makes available on the Secretary’s Office of Civil Rights’ (S/OCR) website our barrier analyses in the annual Management Directive-715 EEO Program Status Report. In recent years, the Department has analyzed representation of African Americans in the senior ranks (FY14) and of women in the senior ranks (FY15). In our FY16 report, the Department will conduct an analysis of Hispanic employees at the GS-12 through Senior Executive Service (SES) levels to identify barriers to equal employment opportunity (EEO). In addition, the Department conducts a barrier analysis on the representation of persons with disabilities, with special emphasis on people with targeted disabilities. These reports, along with copies of the Federal Equal Opportunity Recruitment Program (FEORP) and Hispanic Employment Reports, are available to all employees and can be found on the S/OCR intranet page.
 - In June 2016, the Deputy Secretary for Management and Resources convened the first ever Diversity Forum with EAG Leadership Liaisons and the Presidents and Vice Presidents of each EAG to discuss cross-cutting areas of concern as well as having the EAGs present on their goals and accomplishments. The three cross-cutting issues identified from the inaugural meeting were the need for more transparent data,

unconscious bias training, and additional efforts to recruit and retain a diverse workforce. At the September 2016 Diversity Forum, the Deputy Secretary for Management and Resources announced that the Department will host the Forum with senior leadership quarterly.

Priority 1.2: Leaders shall review the wide range of policies, programs, systems, and techniques currently in use and determine specific initiatives that should be enhanced and improved. The evaluation should include diversity, inclusion, engagement elements in performance plans; employee organizations, employee affinity groups; mentoring and coaching; and diversity and inclusion training.

Actions:

- a. Identify and institute mentoring, including “cross-agency” mentoring, to aid employees in understanding common career paths to senior leadership, sharing successful promotion practices, identifying joint duty assignments, and awareness around interagency collaboration.
 - The Una Chapman Cox Foundation completed a study of our mentoring system to help us identify any gaps and provide recommendations for strengthening our mentoring programs.
 - The Foreign Service Mentoring Program provides an opportunity for generalists and specialists to have access to a network of successful, enthusiastic experienced Foreign Service personnel. In return, Foreign Service mentors are given an opportunity to pass on their understanding of the elements to a successful career in the Department and to better understand the concerns of today's career candidates.
 - All Foreign Service employees benefit from the Foreign Service Mentoring Program, which achieves a 95% mentor-to-mentee pairing of entry-level Foreign Service Generalists and 100% mentor-to-mentee pairing of Foreign Service Specialists.
 - The Continuity Counseling Unit administers the Foreign Service Mentoring Program, as well as provides in-depth career counseling, tenure advisement, and performance coaching to all mid- and senior-level Foreign Service personnel, including women and minorities.
 - The Department’s Civil Service (CS) Mentoring Program fosters development and professional growth of CS employees through a structured 10 month program with an action plan, monthly meetings, and formal networking opportunities. The program has over 300 participants annually, making it one of the largest among federal agencies.
 - The Department’s Situational Mentoring program provides all employees with a database of over 300 mentors to help them with career progression and development, solving a quick problem, finishing a project, or uncovering a hidden talent. The platform allows Department employees to volunteer as mentors to specific EAGs.

- The Department has launched a Mentoring Consortium to facilitate collaboration among bureaus, employee groups, and posts that manage their own mentoring programs or are interested in developing a new program; the sharing of mentoring resources and ideas to improve existing programs; and access to a central platform for program coordinators to exchange best practices or learn new strategies.
- The Executive Diversity Outreach Program Manager's approach to SES outreach includes targeted external recruitment, development of a strong and diverse internal candidate pipeline, and collaboration with key partners, including EAGs and non-governmental organizations focused on training and development of diverse government leaders. The Program Manager meets with bureaus prior to recruitment of an SES position to analyze the existing bureau workforce, discuss hiring priorities, develop outreach goals, and ensure a qualified and diverse applicant pool.
- To increase diversity in the ranks of the Senior Executive Service (SES), the Department made improvements to the SES Merit Staffing process. These include centralized selection of two of the three members of the Qualification Review Panel to ensure panel diversity, initially publicizing all vacancies internally through Department Notices, and making interviews mandatory for all applicants who have been referred to the selecting official. Bureaus are required to submit justification memos to HR and the Executive Resources Board for applicants who were referred for interviews, but not selected.
- To lighten the personal financial impact of absence due to a serious medical condition, the Department established a Voluntary Leave Bank and continues to offer the Voluntary Leave Transfer Program. The Department has implemented Disabled Veteran's Leave, a new category of leave that will be available to veterans with certain service-connected disabilities for their first year of qualifying employment.
- Foreign and Civil Service employees of the Department have a variety of leave options and workplace flexibilities to help balance work and family responsibilities. Employees who need to take time off to care for their children or elderly parents have the option of using annual leave, sick leave, leave without pay, and/or leave under the Family Medical and Leave Act of 1993 (FMLA). The Bureau of HR has also published employee guides for childbirth, adoption, and foster care to help expecting parents understand the leave benefits and entitlements available to them.
- Additionally, the Department's Hours of Work policy in 3 FAM 2330 allows bureaus and posts to establish alternative work schedules, which include both flexible work schedules and compressed work schedules. These types of schedules give employees the flexibility to take care of family responsibilities and meet work requirements.

Professional Development Support

- Increase opportunities for employees to do mission-critical work, or work commonly found to be part of a progressive career path, below and at the GS-14/15 level.

- Identify programs that allow mid-level employees to be trained for management and SES positions, and track their demographics and placement rates (e.g., Candidate Development Programs).
- Increase opportunities for mid-career training, interagency rotations and details, sabbaticals, and external opportunities and foster the perspective that they enhance, rather than detract from, promotion.

Providing professional development opportunities to employees is a priority of the Department to maintain and strengthen engagement, retain a skilled diverse workforce, and ensure employees are prepared to meet leadership challenges throughout their careers. The intent of the FS Career Development Plan and the FS assignment process is to ensure that FS employees have opportunities, including training, to develop the skills needed for performance at more senior levels. CS employees also have career-enhancing opportunities through programs like the Hard to Fill Program, Overseas Development Program, and the Civil Service Consular Adjudicator Program, as well as through long-term training assignments at a number of military staff colleges, the national war colleges, among other academic institutions and non-governmental organizations. The Department intends to:

- Promulgate competency modeling for CS mission-critical occupations and skills mapping for FS positions to better prepare the workforce of the future.
- Review the FS Generalist Career Development Plan, survey employees, analyze feedback, and make adjustments to ensure it reflects current needs of the Service and employees. (FY 2016 and continuing)
- Begin modernization of the FS bidding process to produce a tool that matches bureau and post position needs with individual skills. (FY 2016)
- Determine the best approach to integrating the SES Candidate Development Program (CDP) into succession planning. (Q1 FY 2017 and continuing).
- Increase professional development opportunities for CS and FS by developing improved rotational, excursion and detail programs, both intra-agency and inter-agency and implement new policies, SOPs, and data processing for details into and out of the Department to better align resources with the Department's strategic priorities. (FY 2017)
- Develop an internal jobs listing (website) for CS lateral reassignments.
- Promote outside opportunities and funding for mid-level professional development, such as the International Career Advancement Program (ICAP). ICAP presents leadership, mentoring and development opportunities to mid-career professionals from underrepresented groups in government and nonprofit service. We sponsored 10 slots for Department employees in ICAP's 2016 and 2017 sessions. Pending availability of resources, the Department will support continued participation in ICAP by covering employee training costs and bureau operational costs. The Department is

exploring potential participation in other mid-level professional development programs.

- Continue to expand the number of professional development programs available to mid-level employees. In the fall of 2016, the Department is participating in the President's Management Council Interagency Rotation Program as well as the National Security Professional Development Interagency Personnel Rotation Program for emergency management personnel. In addition, the Department will launch and pilot an internal intra bureau rotational program. Following the completion of the program, the Department hopes to expand the program to include additional bureaus.

Priority 1.3: Leaders shall develop and implement broad outreach strategies to attract leaders from a variety of sources to the organization, consistent with merit system principles, through strategic partnerships with affinity organizations, various postsecondary educational institutions, professional associations, and public, private, and non-profit sectors.

Actions:

- a. Encourage public service and explain what careers in national security entail;
 - The Department has deep-rooted partnerships with academic institutions across the country. Our 16 Diplomats in Residence (DIRs) engage thousands of students, their influencers, and professionals annually nationwide to promote our career opportunities, limited non-career appointments (LNAs), internships, and fellowships. We have DIRs at Hispanic-serving institutions and Historically Black Colleges and Universities. Our ten Washington, D.C.-based recruiters each have diversity-related portfolios. DIRs, Washington, D.C.-based recruiters, and our marketing team identify, educate, and attract prospects from diverse backgrounds through traditional and non-traditional recruitment marketing and advertising programs that focus on high school, undergraduate and graduate students, alumni of targeted universities, and experienced, skilled professionals throughout the United States. The Department continues to select and encourage Pickering and Rangel Fellows to consider DIR and Washington-based recruiter positions bolstering our diversity recruitment efforts.
 - We continuously promote the Department's recognizable employer brand and incorporate traditional and non-traditional recruitment marketing and advertising programs that focus on high school, undergraduate and graduate students, alumni of targeted universities, and experienced, skilled professionals throughout the United States. DIRs, Washington, D.C.-based recruiters, and a marketing team identify, educate, and attract prospects from diverse educational, cultural, ethnic, and geographic backgrounds, as well as those with specialized experience.
- b. Build, expand, and sustain partnerships with academic institutions, including high schools, at which the Department can undertake proactive recruitment;

- In addition to our close partnerships with academic institutions through our DIR program, we implemented a high school internship program in FY 2016 for students with an interest in public service.
- c. Enlist the services of role models already in government to participate in the recruitment effort;
- The Department established a Volunteer Recruiter course for employees. These volunteers, many doing recruitment on their own time among their hometown populations, are a force multiplier for our diversity outreach at little to no cost to the Department. Over 200 employees have been trained, 70 of whom are associated with one or more EAG. We will continue to encourage EAG members' participation in our Volunteer Recruiter courses.
- d. Facilitate joint outreach by departments and agencies to potential pools of top talent;
- Our recruiters regularly participate in career fairs and career panel discussions that encourage students to consider careers in diplomacy, intelligence & defense such as the "National Youth Leadership Forum on National Security—Diplomacy, Intelligence and Defense." The Department participated in a Virtual Career Fair in November 2016, hosted by Office of the Director of National Intelligence, to promote careers in the national security workforce.
- e. Highlight programs and policies that make national security positions more attractive vis-à-vis the private sector (e.g., student debt repayment programs, flexible work or family policies, etc.);
- The Department's recruitment website, www.careers.state.gov, which ranks as number two among the top federal agency recruitment websites, according to the user experience analytics platform, Foresee Survey, highlights the Department's competitive benefits, compensation, training and development programs and policies. With an average of 240,000 unique visitors per month, this is a key resource center for those interested in the Foreign Service (FS), Civil Service (CS), limited non-career appointments (LNAs), or internship opportunities with the Department.
- f. Take maximum advantage of and expand, as needed, flexible hiring authorities, so the Department can quickly bring on board those to whom we have proactively reached out;
- We encourage hiring managers to explore and consider flexible alternatives to filling CS positions, using non-competitive hiring authorities such as Schedule A for persons with disabilities as well as utilizing the Workforce Recruitment Program database for recent graduates with disabilities. We hired a new Selective Placement Program Coordinator in late FY 2014 to recruit and assist eligible job applicants with disabilities. We look forward to continuing this positive trend in FY 2017 with the

- inception of the newly created Office of Accessibility and Accommodation which has centralized disability policies and services and is led by an SES employee.
- Recognizing the benefits of hiring veterans and veterans with disabilities, who have knowledge, skills, and competencies acquired through practical experience in the military, the Department continues to recruit and employ veterans, especially those who have a disability rated at 30 percent or more. We have increased CS Veteran Hiring from 27.5% to 31.8% and CS New Hiring of Veterans with Disabilities from 9.5% to 16.4% from FY 2014 to FY 2015.
- g. Expand or institute fellowships and paid internships that promote diversity, and establish a clear pipeline from those programs into the national security workforce;
- The Thomas R. Pickering Foreign Affairs Fellowships and the Charles B. Rangel International Affairs Fellowship and Summer Enrichment Program are the Department's premier diversity recruitment programs and fundamental to increasing diversity in the FS. A recent Department review of the programs confirmed that these programs alone have been responsible for increasing diversity in the FS by nearly 21%. The Department currently offers 60 fellowships per year.
 - Building on these Fellowships' successes, the Department launched the Foreign Affairs IT Fellowship Program pilot. This pilot seeks five diverse, qualified individuals to apply technology solutions to the business of diplomacy. Like the Pickering and Rangel Fellows, students will receive educational assistance of up to \$37,500 annually for tuition towards an information technology-related degree and items such as room and board and books for two years. Those who successfully complete the program and the Foreign Service IT Specialist entry requirements will receive an appointment as a Foreign Service Information Management Specialist (IMS). More information about the IT Fellowship can be found [here](#).
 - These internship programs would offer more opportunities for financially disadvantaged students who are interested in an internship program with the Department but are unable to participate in the U.S. Foreign Service Internship Program's (USFSIP) summer program. The USFSIP is a unique recruitment internship program launched in 2014 to specifically target students from disadvantaged socio-economic backgrounds with the goal of providing them access to internship opportunities. It is open only to students in postsecondary educational institutions and requires a multiple summer commitment. The USFSIP is a model of success in mentoring potential candidates from underrepresented groups with several program participants currently in or expected to join the Foreign Service in the near future.
 - The Department is expanding the Consular Fellows Program (CFP), in which speakers of target languages serve overseas in limited non-career appointments of up to five years. CFP recruitment reaches diverse applicant populations by targeting

- university language schools and legacy language speakers, and cooperating with Department EAGs and university student associations.
- h. Ensure job announcement language and marketing materials are inclusive and encourage all groups to apply;
 - The Department has developed its recruitment communications using a combination of visuals to resonate with diverse audiences. Using current Department employees, the advertising focuses on raising awareness about the Department and the broad range of issues on which employees work, as well as the inclusive environment in which its employees from nearly every geographic, ethnic, cultural, educational, and skilled background can thrive.
 - i. Ensure that available capacity for new hires from the entry to mid-career levels includes outreach and hiring efforts and overall workforce goals;
 - The Department's Strategic Workforce Planning Group determines recruitment priorities based on hiring targets and deficits which inform our recruitment strategies.
 - j. Provide additional tools and resources to help applicants navigate the interview and hiring process.
 - DIRs, who recruit across geographic regions, provide counseling, guidance and advice about Department career and student opportunities both face-to-face and virtually to students, professionals and community members.
 - The Department offers a free DOS Careers Mobile App which allows applicants to view detailed descriptions of the FS and CS employment activities, watch videos featuring Department employees and their work, and engage with a scenario-based experience that puts the viewer in the role of a FS professional. It also allows the user to locate and connect with a DIR or find an upcoming local recruitment event.
 - In 2014, the Department launched a Foreign Service Officer Test (FSOT) online practice exam on the www.careers.state.gov website to encourage qualified candidates to take the FSOT. This practice exam, which tests Job Knowledge and English Expression, is timed and provides immediate feedback on the likelihood of passing the FSOT. Test takers are also provided links to information to prepare for the FSOT and have the option to take an alternate version in six months. We are developing comparable practice exam and other support materials for LNA Consular Fellows.
 - From our website, potential candidates can download a 30-page booklet that describes the Foreign Service selection process. In addition, candidates can reference a 67-page Foreign Service Officer Test Study Guide which provides information about the test along with sample questions. Candidates who proceed to the Oral Assessment can

download a 61-page guide to the Oral Assessment from the www.careers.state.gov website.

Goal 2: Include and Engage Everyone in the Workplace

The U.S. Department of State shall foster a culture of inclusiveness that encourages employees that promotes a sense of belonging, engagement, and connection to the mission of the agency.

Priority 2.1: Foster a culture of inclusion and engagement by employing culture change strategies such as the New Inclusion Quotient (New IQ) Initiative and Diversity and Inclusion Dialogues. Provide training and education on cultural competency, inclusion and unconscious bias, for all employees.

Actions:

- a. Increase awareness of, and provide management training on the New IQ.
 - The Department is piloting OPM's New Inclusion Quotient (New IQ) to strengthen organizational culture, employee engagement, and mission performance. In January 2016, over 80 members of INL staff, mostly supervisors, participated in the New IQ pilot workshop and returned overwhelmingly positive reviews. Two additional pilot New IQ workshops have reached over 60 HR employees. Feedback from both workshops will inform a potential Department-wide plan for New IQ training or other type of inclusion training for employees.
- b. Provide high-level incentives for offices to recognize and award those who promote diversity and inclusion.
 - The Department's annual Equal Employment Opportunity (EEO) Award recognizes outstanding contributions by a CS or FS employee toward improving equal employment for all employees within the Department. The EEO award also honors significant actions to promote diversity, or for actions to ensure a workplace free of discrimination or harassment. The winner received \$10,000 and a congratulatory letter from the Secretary.
- c. Identify and allocate sufficient resources to support diversity and inclusion actions in the annual budget process.
 - In FY 2015, the Department devoted more than \$10 million to diversity recruitment. This included approximately \$7.3 million for fellowship grants, \$1.9 million for diversity recruitment internships and outreach, and \$1.2 million for advertising and marketing.

- d. Establish formal accountability mechanisms or scorecards for D&I as part of leadership and supervisor performance review processes, and ensure that managers are given specific feedback to take corrective actions when warranted.
- We have instituted performance management reforms that incorporate the Department's Leadership and Management Principles and promote diversity and inclusion in employee appraisals.
 - HR has several important safeguards to ensure fair and transparent consideration of employees for promotion and for hiring. The Office of Performance Evaluation runs specific training for all Selection Boards and Bureau Awards coordinators on diversity and unconscious bias. For instance, the [Diversity Training for Bureau Awards Committees](#) course stimulates participants to consider how to ensure that department awards are granted as fairly as possible in accordance with objective criteria and in the most bias-free manner possible. Also, they work directly with colleagues in the field to address unconscious bias in evaluations and awards.
- e. Disseminate information and offer training to senior leadership to act as sponsors for junior employees and to advocate for talented individuals within the organization.
- The Bureau of Human Resources, Office of Career Development and Assignments, disseminates information and counsels senior-level employees on effective leadership and management practices. Additionally, the office promotes courses that ensure cohesiveness, inclusiveness, and engagement. The foundation for these courses is in the Department's Foreign Affairs Manual (FAM), 13 FAM 300, Agency Mandated Training, and 11 FAM 610, Ethics Program. Requisite courses such as *Equal Employment Opportunity Training for Supervisors and Managers*, *Notification and Federal Employee Antidiscrimination and Retaliation Act Training for All Employees*, and *Senior Executive Threshold Leadership Seminar* aid senior-level personnel in supporting and advocating for talented, diverse individuals within the organization.
- f. Institute mandatory unconscious bias/D&I training for all employees.
- The Department has mandatory requirements for EEO/Diversity Awareness training for all supervisors and managers, personnel who serve on assignment panels, bureau awards committees, and for those who serve as Career Development Officers or examiners in HR. Most of the training is provided by the Foreign Service Institute (FSI), which offers five courses that meet the primary requirement, and eight additional courses which fulfill the refresher training requirement. In partnership with FSI, the Office of Civil Rights conducts the EEO and Harassment Overview training portion for most of these courses. From FY 2012 to 2014, there were 24,741 enrollment completions of EEO/Harassment training at FSI, plus an additional 114 external vendor-provided trainings. Additionally, for the same period there were 191

- completed enrollments of online courses available through FSI's Skillsoft General Library distance learning program.
- Our Ambassadorial seminar continues to highlight importance of diversity at post and is being revised to introduce the concept of unconscious bias.
 - Our Foreign Service Institute (FSI) has developed a new module on unconscious bias for inclusion into Diversity for Managers training (PT107) beginning in November. The purpose of this two-hour module is to raise awareness of unconscious bias and its impact on the workplace. Plans are underway to expand unconscious bias training.

Priority 2.2: Assess, redesign, and reengineer organizational structures and business processes to promote teamwork, collaboration, cross-functional operations, and transparency and to deconstruct organizational siloes that lead to exclusive cultures and to flawed decision-making.

Actions:

- a. Launch new CS reforms to streamline and improve hiring, career development and performance management. For instance, the Department is participating in two interagency rotational programs managed by OPM to help employees broaden their experience and perspective. Other internal rotational possibilities include focusing on a particular occupational group, as well as intra-bureau rotations. (FY 2016 and continuing)
- b. The Department provides a Job Share Program, which allows alternative options those who may need to switch to a part time schedule and promotes teamwork, collaboration, cross-functional operations. Job shares can be used by Civil Service and Foreign Service employees in any combination. A job share is a combination of two part-time employees covering one full-time position. Employees seeking a job share may work with their supervisor to find a "job share partner" or may join the Department's "Job Share List Serve", which connects employees interested in pursuing a job share opportunity.
- c. HR recently announced new tools to deconstruct organization siloes by assisting Civil Service employees in managing and planning their careers: 1) Maintain an automated [CS hiring options intranet website](#) to support managers and human resources professionals throughout the recruitment and hiring process; 2) Assist CS employees with the management of their careers with a [Department-Wide Reassignment Opportunities website](#) to display vacancy announcements for non-competitive opportunities and a [Civil Service Career Trends Explorer database](#) that provides historical data on how career CS have transitioned through the personnel system over the past 16 years; 3) Conduct a Department-wide job analysis of FS positions to

improve our hiring assessment tools, update FS precepts, and fine-tune training; 4) Provide Department-wide training to CS hiring managers and HR Specialists on special appointing authorities such as Schedule A hiring for persons with disabilities; and 5) Identify opportunities to accelerate and improve the CS hiring process.

Goal 3: Optimize Inclusive Diversity Efforts using Data-Driven Approaches

The U.S. Department of State shall intensify efforts to create and foster a diverse, high-performing workforce, utilizing data-driven approaches and optimizing policies, processes, and programs to drive inclusive diversity efforts and accomplish the Department's mission.

Priority 3.1: Create a diverse, high-performing workforce, utilizing data-driven approaches to recruitment, including analyzing applicant flow data; educating hiring managers; designing fair and effective recruitment and examining strategies for competitive examining and examining for the career SES that cast the broadest net possible and apply merit principles; utilizing applicable special hiring authorities (e.g., Schedule A Authority for individuals with certain disabilities, veterans hiring authorities, etc.) as supplements to competitive hiring processes; partnering with diverse organizations and institutions to help recruitment draw from all segments of society, and generate cognitive diversity; and conducting a review of potential implicit biases within the organization.

Actions:

- a. Develop new reporting and analytical capabilities and expand access to applicant flow data to better understand barriers in the hiring process and inform outreach and hiring practices.
 - **Foreign Service Applicant Flow Tracking:** The Department continuously monitors application, assessment, and hiring data to identify any barriers to recruitment and hiring. We will expand our monitoring to include applicants with disabilities. The results will be used to conduct reviews of diversity recruitment outreach programs, including the DIRs and Washington-based recruiter programs, to gauge the effectiveness of outreach to candidates from diverse groups to maximize the various programs' potential. The results will also be used to ensure that any possible new components of the Foreign Service assessment process do not adversely impact particular population groups.
 - **Applicant Flow Data for Senior Executive Service Vacancies:** The Department captures data on the diversity of SES applicants at four stages in the process: 1) initial applicants; 2) those who meet minimum qualifications; 3) applicants referred to the selecting official or found to be best qualified; and 4) selectees. This data has been used in the barrier analysis of the MD-715 report. HR also reports regularly to the Department's Executive Resources Board on the statistical diversity of the SES corps. We also share this information with Executive Directors, Senior Human Resource

Officers (HROs), and hiring officials when developing diversity outreach plans for SES vacancies.

- We continuously review our FS testing data and passing rates in consultation with a board of renowned Industrial Organizational Psychologists with an eye toward identifying and reducing any statistical differences in passing rates.
- We continuously refine our marketing and advertising plans that combine paid, owned and earned media to raise awareness about the Department, its careers, internships and fellowships through targeted emails, direct sourcing, advertising, and social recruitment. We track these efforts to inform our outreach.
- Develop a Congressional engagement strategy for priority issues related to promoting diversity, to include outreach to member and staff organizations representing minority groups.
- The Department will continue to invite members of Congress to Diversity Career Networking Events being held in their district/state. Also, representatives from high-diversity districts will be invited to do joint events with our Diplomats in Residence (DIR), who also participate in district job fairs hosted by the Representative. Recent Activities: A Department recruiter participated in the Congressional Black Caucus Foundation's Legislative Conference in mid-September as in previous years. Identify and create relationships with private sector organizations that have been successful in creating diverse and inclusive environments in order to learn best practices.
- The Secretary of State's Veterans Innovation Partnership (VIP) program forms strategic partnerships between the U.S. government and the private sector to promote foreign affairs career opportunities for veterans. The Secretary of State's Veterans Innovation Partnership (VIP) program forms strategic partnerships between the U.S. government and the private sector to promote foreign affairs career opportunities for veterans. In FY16, 12 VIP Fellows were selected to participate in the 3rd cohort of the VIP Fellowship Program.

b. Work with employee associations and affinity groups that can amplify our engagement with diverse communities across the country.

- We are expanding our partnerships with community-based and affinity-based professional organizations, as well as the Department's Employee Affinity Groups, to enhance our recruitment from underrepresented populations.
- On March 23, 2016, we co-hosted a recruitment and outreach event with American Women for International Understanding, which was attended by 150 high school seniors, college students and professional women from the DC metro area, to expose a young and diverse group of attendees to international career opportunities at the Department, other federal agencies, and in the non-profit and private sectors.

- We partner with External Employee Affinity Organizations (e.g. BIG, FAPAC, AAFFEA, AAGEN) and utilize their Annual Conferences and Executive Development Programs for diversity recruitment and SES candidate recruitment.

Priority 3.2: Foster a diverse, high-performing workforce by utilizing data-driven approaches to promotion opportunities and career development, including analyzing applicant flow data; developing career enhancement opportunities; utilizing appropriate collaborative practices and social media technologies; and collaborating with employee organizations and Employee Affinity Groups.

Actions:

- a. Analyze and publicize promotion statistics to increase transparency and identify the key skills, experiences, and training that makes employees more competitive for advancement.
 - For FS promotion planning, HR applies a computer model of the workforce and analyzes current and projected service needs, intake, career progression and attrition. Promotion data is available online for all employees.
 - We have publicized a variety of diversity data, both current and trend lines, as well as initiatives we are pursuing to improve diversity and inclusion on our external website <http://www.state.gov/m/dghr/workforce/index.htm>.
 - The Department plans on making statistics on CS promotions available online and expect to release the report in February 2017.
 - The Department created a “Disability at State” snapshot overview depicting Foreign Service and Civil Service statistics. The graphic is now uploaded on the HR Employee Guide on Diplopedia and will be updated yearly in July.
 - This year, the Department will focus on trend analysis for Hispanics and employees with disabilities.

Priority 3.3: Collect relevant data to establish a business case for diversity and inclusion for the agency.

Actions:

- a. Use data from exit interviews to inform changes to personnel practices, and publicize when and how those changes are made.
 - In March 2016, the Department launched a centralized exit survey process for all FS and CS employees separating from the Department to systematically capture reasons for attrition and address ways to improve retention. The Department will add items that more explicitly address diversity and inclusion concerns. Also, HR has begun to survey the Department’s unpaid interns shortly after the conclusion of their internships. We plan to continue surveying the unpaid interns and outgoing Fellows.

Bureau-led Initiatives to Promote Diversity and Inclusion

Efforts to shape and build a more diverse and inclusive Department of State have also been led by regional and functional bureaus in addition to the Bureau of Human Resources.

Below are only a few examples of Bureau-led initiatives currently underway.

- The **Bureau of European and Eurasian Affairs (EUR)** fosters diversity and inclusion through their EDGE (EUR Driving Diversity, Growth, and Excellence) Program. Through EDGE, senior leaders mentor mid-level employees and introduce employees to EUR's expectations regarding diversity and inclusion. Starting with leadership positions, the Bureau has been actively expanding the pool of bidders so that applicants are reflective of the Department's and the nation's diversity, including regional and conal experience. The Bureau will promote [EUR's Diversity Website](#) as one aspect of its commitment to attract diverse bidders and applicants at all grades to the EUR Bureau.
- In 2015, the **Bureau of International Narcotics and Law Enforcement (INL)** launched a bureau diversity roundtable, which meets quarterly, to promote dialogue and identify actionable steps to foster an inclusive work environment in the bureau. In response to a roundtable recommendation, the Bureau developed "Leadership and Management Tenets" (see appendix) and promotes implementation of the tenets through a Leadership Council as well as events and highly publicized awards each month that highlight best practices related to a specific tenet. Over the last two years, INL also has focused on raising awareness of unconscious bias, initially by requiring all supervisors to view a "Google Ventures" video on unconscious bias and then piloting OPM's New IQ course with trainers from HR and S/OCR, which it later made mandatory for INL supervisors. To provide greater transparency and fairness in hiring, INL revamped its hiring standard operating procedures to require competition for jobs at GS-14 and above and made it a standard practice to ensure gender diversity, and one person from outside the hiring office, on interview panels. INL expanded its outreach to the Department's 13 affinity groups, and has assigned a Bureau liaison to each. In addition, INL launched a new mentoring program for Civil Service and Foreign Service employees, modeled on HR's situational mentorship program, to encourage knowledge sharing and relationship building within the bureau. These initiatives have already shown a measurable impact: according to the Federal Employee Viewpoint Survey (FEVS), INL's employee engagement increased by nearly ten points from 2015 to 2016.
- The **Bureau of Public Affairs (PA)** introduced a diversity initiative in 2016, led by the Assistant Secretary, with a vision and mission statement (see appendix) to promote

diversity and inclusion as part of the strategic communications of the Department. A Diversity Leadership Council is implementing a sponsor and orientation program for new employees; monthly professional development sessions; and targeted outreach by diverse speakers to diverse domestic audiences through the Hometown Diplomats and #EngageAmerica programs. This year, PA reached out to Employee Affinity Groups as part of the Foreign Service bidding process and launched a [Bureau Diversity Intranet Page](#).

- In 2014, the **Bureau of Diplomatic Security (DS)** established a Diversity Working Group, whose mission (see appendix) is to support and advise DS leadership on initiatives to promote diversity and inclusion throughout the bureau and all of its directorates. DS leadership underscores the bureau's commitment to diversity and inclusion at town hall meetings. To engage all Bureau employees, especially those in field offices, the working group will plan to host virtual meetings or teleconferences. In response to the Working Group's recommendations, three sub-committees have formed to focus on three main topics: (1) Recruitment and Outreach; (2) Bureau Engagement; and (3) Strategic Planning. With regards to recruitment and outreach, DS coordinates closely with a variety of law enforcement-related affinity groups to maintain a pipeline of competitive candidates. The DS Working Group has developed a charter, a [SharePoint site](#), and will deploy a climate survey to assess employee engagement.
- The **Bureau of Administration (A)** promotes diversity, inclusion, and employee engagement through the "ABCs of A" program. This program brings new hires together with senior leaders throughout the Bureau on a quarterly basis for "brown-bag" type sessions. In these sessions senior leaders welcome newcomers, explain the organization's structure and priorities, and invite discussion. In 2016, A welcomed 60 newcomers during two sessions. A designed the ABCs of A to promote a sense of belonging among new hires and to promote direct communication between employees and senior leaders.
- The **Bureau of Information Resource Management (IRM)** revitalized its workforce planning efforts with the establishment of a Strategic Workforce Planning (SWP) Staff which will help IRM and the Department 1) keep a sustained focus on Information Technology workforce planning 2) provide on-demand HR data analytics, 3) create a dedicated workforce database for IRM management. As a result, IRM has used data analytics to focus its recruitment efforts, understand the demographics of its workforce, and develop strategies to address diversity gaps. One such strategy is the launch of the Foreign Affairs IT Fellowship Program pilot in 2016 in conjunction with HR.
- IRM also promotes inclusion and employee engagement through the "Eye on IRM" program. The program promotes both a sense of belonging among new hires and direct communication between employees and senior leaders through periodic brown bag events. Since December 2015, IRM held seven sessions of Eye on IRM, welcoming more than 100 newcomers. In addition, IRM posts videos of the talks on its blog,

Synergy Hub, and on BNET, widening the audience for these interactive sessions. IRM also ensures that all GS 14 and GS 15 hiring actions have diverse interview panels to ensure that all perspectives are considered when bringing in new talent. Additionally, IRM/EX is promoting data-driven insights through its "EX Analytics" initiative. Comprehensive workforce analysis dashboards were created to curate seven different sources of data related to human capital management. These dashboards are shared with managers on a weekly basis enabling managers to quickly visualize changes throughout the bureau and by office, with trend analysis related to hiring, separations, race, gender, and generations and ultimately make data informed workforce decisions.

In keeping in line with this effort, we plan to share bureau best practices across the Department.

Looking Towards the Future

By taking a strategic approach to diversity and inclusion – one that aligns two-way communication, outreach, hiring, retention, and creating a culture of inclusiveness with the agency’s strategic goals and priorities – the Department is confident that we will continue to positively impact the success of our workforce in the long-term.

In order to achieve our goals, our next steps will involve assessing the Department’s readiness through activities such as benchmarking from other Federal agencies and sponsoring working groups, surveys, studies and feedback opportunities with our internal stakeholders. The results of such activities will assist us in gathering best practices that the Department may be able to implement, as well as being able to better capture employee’s experiences and feelings regarding the diversity and inclusion culture at the Department.

We will review our plan annually to assess progress and incorporate revisions as necessary. While a full update is planned for a four-year cycle, the Department will continue to engage senior leaders, supervisors, managers, and staff in order to ensure that diversity and inclusion become a part of their daily decision making and thought processes, thereby becoming ingrained in the Department’s culture.

Appendix

A. Department of State – Diversity Statistics, Full-time Permanent Employees as of 9/30/2017

- The following tables are provided as a source to show workforce statistics. The diversity profiles will be updated quarterly.

Department of State -- Full-time Permanent Workforce as of 9/30/2017

	Ethnicity		
	Hispanic	Not Hispanic	Unsp
Civil Service	6.55%	93.39%	0.07%
FS Generalist	6.04%	93.89%	0.07%
FS Specialist	9.47%	90.47%	0.07%
Total	7.07%	92.86%	0.07%

	Ethnicity		
	Hispanic	Not Hispanic	Unsp
SES**	4.41%	95.59%	0.00%
SFS**	4.78%	95.22%	0.00%

	Race						
	White	African American	American Indian	Asian	Native Hawaiian	Multi-race	Unsp
Civil Service	60.60%	25.05%	0.43%	6.32%	0.15%	4.67%	2.78%
FS Generalist	81.27%	5.58%	0.35%	6.81%	0.05%	3.91%	2.04%
FS Specialist	75.59%	8.90%	0.43%	5.77%	0.14%	5.43%	3.75%
Total	70.95%	14.82%	0.40%	6.35%	0.11%	4.60%	2.77%

	Race						
	White	African American	American Indian	Asian	Native Hawaiian	Multi-race	Unsp
SES**	88.73%	3.92%	0.00%	3.43%	0.00%	2.45%	1.47%
SFS**	88.20%	3.56%	0.20%	3.46%	0.00%	1.93%	2.64%

	Gender	
	Female	Male
Civil Service	54.44%	45.56%
FS Generalist	40.95%	59.05%
FS Specialist	28.05%	71.95%
Total	43.74%	56.26%

	Gender	
	Female	Male
SES**	38.73%	61.27%
SFS**	32.86%	67.14%

**Included in the Generalist, Specialist, Civil Service percentages.

B. HR Fact Sheet



HR Fact Sheet

Facts about Our Most Valuable Asset – Our People

As of 9/30/2017

		Source
Total Number of State Department Employees*	74,880	HR/RMA
Number of Foreign Service (FS) Employees	13,873 Generalist – 8,052 Specialist – 5,821	HR/RMA
Number of Civil Service (CS) Employees	10,647	HR/RMA
Number of FS and CS Overseas Employees	9,486	HR/RMA
Number of FS and CS Domestic Employees	15,034	HR/RMA
Number of FS and CS Employees Domestic and Overseas	24,520	HR/RMA
Number of Locally Employed Staff **	50,360	HR Post Profile
Number of USG agencies represented overseas	32	M/PRI
Number of Posts	Total: 276 Embassies (170); Consulates General (78); Consulates (12); USINT (0); US Liaison Office (0); Branch Offices (5); Missions other than an Embassy headed by a chief of mission (11): OSCE, UNVIE, USOAS, USOECD, USEU, USUN, USNATO, USUN Geneva, USAU, ASEAN, and US Mission to Somalia. <i>NOTE:</i> USUN Rome, ICAO, UNEP, UNESCO, and OPCW are not headed by Chiefs of Mission.	HR/RMA/RPA
Countries with which we have diplomatic relations	195	INR/GGI

* Total includes full-time permanent Direct Hire FS and CS personnel and all Locally Employed Staff.

** Locally Employed Staff includes Foreign Service Nationals (FSN) and Personal Service Agreements (PSA).

C. Employee Affinity Groups

<i>Employee Affinity Group</i>
Arab-Americans in Foreign Affairs Agencies (AAIFAA) AAIFAA@state.gov
Asian American Foreign Affairs Association (AAFAA) AAFAA@state.gov
Blacks in Government, Carl T. Rowan Chapter (BIGCTR) BIGCTR@state.gov
Council for Career Entry Professionals (CCEP) CCEP@state.gov
Disability Action Group (DAG) DAGCouncil@state.gov
Executive Women at State (EW@S) EWS@state.gov
Gays and Lesbians in Foreign Affairs Agencies (GLIFAA) GLIFAA@state.gov
Hispanic Employees Council of Foreign Affairs Agencies (HECFAA) HECFAABoard@state.gov
Presidential Management Fellowship Advisory Council (PMFAC) PMFAdvisoryCouncil@state.gov
Returned Peace Corps Volunteers (RPCV) RPCVs@state.gov
South Asian American Employee Association (SAAEA) SAAEA@state.gov
Thursday Luncheon Group (TLG) TLG1973@state.gov
Veterans at State (VETS) Veterans@state.gov

D. Crosswalk of Additional Diversity Plans at DOS

The following table provides a crosswalk of the strategic goals and strategies for the Diversity and Inclusion Plan with those of the Quadrennial Diplomacy and Development Review (QDDR), Federal Equal Opportunity Recruitment Program Plan (FEORP), the HR Functional Bureau Strategy (FBS), the 2016 NSC-led Interagency Initiative for Promoting Diversity and Inclusion in the National Security Workforce, and the HR Recruitment Strategic Plan.

The goals below for each of the Department's Diversity & Inclusion strategies align with DISP					
2016 Diversity and Inclusion Strategic Plan (DISP)	Quadrennial Diplomacy and Development Review (QDDR)	Federal Equal Opportunity Recruitment Program Plan (FEORP)	HR Functional Bureau Strategy	Interagency Strategy for Promoting Diversity and Inclusion in the National Security Workforce	HR Recruitment Strategic Plan
Goal 1: <i>Diversify the Federal Workforce through Active Engagement of Leadership</i>	Objective 2: Recruit talented and diverse individuals.	Diversity Goal a. Identify opportunities for DOS principals to engage national affinity groups and professional organizations throughout the country through domestic policy speeches integrating call to service messages within their remarks.	Goal 4.2: Improve and enhance mentoring programs to retain and sustain a diverse workforce.	Goal 3.1: Propose a diverse slate of candidates for open positions on Principals' external advisory boards. Goal 3.2: Schedule regular internal and external events with senior leadership on diversity.	
Priority 1.1: Leaders shall emphasize the importance of their inclusive diversity efforts by utilizing a wide range of communication strategies and tools that demonstrate their support for these initiatives.	Objective 2, Action Item 1: Identify opportunities for DOS principals to raise the visibility of the Department as an employer of choice, particularly among underrepresented groups, through domestic policy speeches integrating call to service messages within their remarks.		Goal 1.1: Attract diverse and talented candidates by utilizing national media, engaging national affinity and professional groups, and partnering with private and community organizations, in order to meet our forecasted hiring targets by 2020.		
Priority 1.2: Leaders shall review the wide range of programs, systems, and techniques currently in use and determine specific initiatives that should be enhanced and improved.		Inclusion Goal: Develop a Mentoring Consortium (including Employee Affinity Groups) and Mentor Awards program to incentivize participation and development.			
Priority 1.3: Leaders shall develop and implement broad outreach strategies to attract leaders from diverse sources, to the organization,	Action Item 3: Partner with a private organization focused on underserved youth and global affairs and/or a high school to develop an early identification program for students from under-represented	Diversity Goal b: Increase diversity of possible future applicant pools by partnering with a private organization focused on underserved youth and global affairs and/or a		Goal 4.1: Deepen engagements with Members of Congress and staffers to promote diversity. Goal 4.2: Hold an annual or biannual symposium on diversity	Goal 1: Attract the most competitive and diverse prospects possible to careers in the U.S. Department of State's Foreign and Civil Service.

consistent with merit principles, through strategic partnerships with affinity organizations, diverse postsecondary educational institutions, professional associations, and public, private, and non-profit sectors	communities who have an interest in public service. Develop a pilot program with a DIR and a youth NGO to identify an audience from an under-represented area to match with a mission abroad for monthly hour-long Skype sessions on foreign policy issues and Foreign Service careers. Each month a different mission member(s) would address the class to explain their portfolios, how they impact foreign policy and take questions. Possible partner organizations include the Thurgood Marshall College Fund, DC Summer Youth Program, Global Glimpse, Global Kids, International Youth Leadership Institute, for example. Expand program if successful.	high school to develop an early identification program for students from under-represented communities who have an interest in public service.		in national security with community partners, think tanks, universities, private sector entities, nonprofits, and Members of Congress. Goal 4.3: Establish partnerships, consistent with existing legal authorities, with professional affinity organizations, think tanks, and universities to promote diversity and identify diverse talent.	Goal 2: Maintain a pipeline of competitive candidates for the Department's personnel needs for the Foreign Service, including Specialists, and Civil Service.
Goal 2: Include and Engage Everyone in the Workplace	Objective 2, Action item 8. More fully integrate members of DOS affinity groups in recruitment outreach activities.	Diversity Goal c: More fully integrate members of DOS Employee Affinity Groups in recruitment outreach activities.	Goal 2: Retain a high-performing and agile workforce that, through continuous investment in professional development, is able to adapt to the Department's changing needs, resulting in a committed, resilient, and effective organization able to meet the demands of a 21 st century work environment.		Goal 4: Encourage employees to play a more effective role in the Department's recruitment efforts.
Priority 2.1: Foster a culture of inclusion and engagement by employing culture change strategies				Goal 2.3: Institute mandatory unconscious bias (separate from EEO), flexible work policies, and new IQ training. Goal 2.4: Expand, diversity, and track the effectiveness of internal and external mid-level professional development programs (from the GS-12 to 15 levels).	
Priority 2.2: Assess, redesign, and reengineer organizational				Goal 1.4: Use language for job announcements, marketing materials, and applications for	Goal 3: Collaborate with other Department entities on Marketing,

<p>structures and business processes to promote teamwork, collaboration, cross-functional operations, and transparency; and to deconstruct organizational siloes that lead to exclusive cultures and to flawed decision-making</p>				<p>professional development programs that is inclusive and encourages all groups to apply.</p>	<p>Recruitment, and Outreach in order to respond to changing hiring needs to the maximum extent possible.</p>
<p>Goal 3: <i>Optimize Inclusive Diversity Efforts Using Data-Driven Approaches</i></p>	<p>Objective 3: Retain and sustain skilled and diverse talent</p>				<p>Goal 5: Expand quantitative and qualitative measures and evaluate the Department's recruitment outreach and marketing efforts designed to generate increased awareness and education among the targeted audiences and ensure a continued pipeline of competitive prospects and candidates.</p>
<p>Priority 3.1: Create a diverse, high-performing workforce utilizing data-driven approaches to recruitment, including analyzing applicant flow data; educating hiring managers; designing fair and effective recruitment and examining strategies for competitive examining and examining for the career SES that cast the broadest net possible and apply merit principles; utilizing applicable veterans hiring authorities; partnering with diverse organizations and institutions to help recruitment draw from all segments of society, and generate cognitive</p>	<p>Objective 3, Action Item 2: Analyze Federal Employee Viewpoint survey data to measure employee attitudes regarding diversity and inclusion within the Department.</p> <p>Action Item 6: Through data analysis, review information on SES diversity to assess progress or areas for improvement.</p>	<p>Diversity Goal a: Provide training and urge all new managers to attend training on the use of Schedule A and other special hiring authorities.</p>	<p>Goal 4.3: Expand outreach to managers who make hiring decisions and encourage collaboration with external partners.</p>	<p>Goal 1.3: Collect, analyze, and disseminate applicant flow data (AFD) for all positions in order to inform hiring and outreach decisions.</p>	

diversity; and conducting a review of potential implicit biases within the organization.					
Priority 3.2: Foster a diverse, high-performing workforce by utilizing data-driven approaches to promotion opportunities	Objective 3, Action 5: Review existing mentorship models and assess effectiveness. Provide recommendations for improvement in the Department's mentoring system.			Goal 2.1: Conduct and make available barrier analysis that identifies obstacles for retention and promotion for diverse talent, as well as efforts to remedy the issues.	
Priority 3.3: Collect relevant performance data to establish a business case for diversity and inclusion for the agency.	Objective 3, Action Item 1: Initiate an anonymous and digital exit interview system,			Goal 2.2: Make updated workforce data available to senior leadership and broader workforce. Goal 3.4: Establish and enforce performance objectives on diversity and inclusion.	



The Secretary's Policy Statement on Diversity and Equal Employment Opportunity

The Department's core values are the foundation of this organization. These values are important at all levels and should be integrated into our everyday work.

We are loyal to the American people, whom we have the privilege of serving, and we uphold the values of the United States. Department employees are the best and the brightest, and we display our strong character by acting with integrity and adhering to ethical standards.

Employees are dedicated to service around the world, often in dangerous conditions, working tirelessly and holding each other accountable for their words and actions.

All employees should feel they work in a professional, supportive, and teamwork-oriented community where everyone can contribute to the mission, regardless of position, rank, grade, or employment status. Ours is a workplace of civility and respect.

We aim to recognize the diversity of our employees' rich experiences, talent, knowledge, and personal characteristics. We strive to put the right people in the right places with the right skill set. Even when the Department's specific goals and priorities may change to keep pace with the dynamic international environment, our core values will remain constant.

As Secretary of State, I call upon all employees to uphold equal employment opportunity (EEO) principles by promoting fairness, equity, and inclusion in the workplace - both domestically and abroad - and to help ensure a workplace free of discrimination. EEO laws protect employees from discrimination based on race, color, religion, sex (including pregnancy, gender identity, and sexual orientation), national origin, age, disability (physical or mental), and genetic information. Retaliation against employees who make good faith complaints of discrimination is prohibited.

Since leadership is the key to workplace fairness, I expect every Department leader to foster a work environment in which everyone on the team can contribute to successfully carrying out our mission.

A handwritten signature in black ink, reading "Michael R. Pompeo". The signature is written in a cursive style with a large, stylized initial "M".

Michael R. Pompeo



Functional Bureau Strategy

Bureau of Human Resources

FOR PUBLIC RELEASE

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1. Executive Statement

The FY 2019 President’s Budget chapter *Strengthening the Federal Workforce* and the President’s Management Agenda’s Cross-Agency Priority Goal *Developing a Workforce for the 21st Century*¹ both open with the following statement: “Federal employees underpin nearly all the operations of the Government, ensuring the smooth functioning of our democracy.”

The Bureau of Human Resources (HR) is responsible for the Department of State’s greatest asset – our people. The Department has three distinct personnel systems: Civil Service (CS), Foreign Service (FS), and Locally Employed Staff (LE Staff). HR’s functions span the full course of our employees’ service with the Department, from pre-hire to post-retirement. HR is responsible for recruiting and hiring new employees; providing benefits, compensation and support for employees and their families; handling assignments and transfers of FS employees; evaluating performance; promoting and facilitating professional development and, with the Foreign Service Institute, training; helping bureaus identify and develop personnel with necessary skills and experience; providing assistance to employees and their families in times of need; and in the case of the FS, maintaining contact with employees after retirement. HR aligns the diverse skills and capabilities of American and foreign national employees with positions domestically and at more than 275 posts worldwide to effectively carry out the Department’s goals and priorities. In addition, the HR Bureau promotes leadership and supports the Department’s ten Leadership & Management Principles² that apply to and should be modeled by all employees, regardless of rank or employment status (e.g., Civil or Foreign Service, Locally Employed Staff, or contractors). The Department relies on all employees to represent appropriately the U.S. Government in the course of carrying out its mission. The Foreign Service Core Precepts and the Office of Personnel Management’s Executive Core Qualifications³ also set clear expectations for employees.

The mission of the Bureau of Human Resources (HR) is to recruit, retain, sustain, and empower a diverse, talented workforce capable of succeeding today, in 2025, and beyond, to effectively carry out the Department’s foreign policy goals and priorities.

HR’s overarching strategic goal is to ensure that the Department has the people with the right skills in the right place at the right time to “Build a 21st Century Workforce” in support of its mission. HR’s goals reinforce the State/USAID Joint Strategic Plan (JSP) FY 2018-2022 goal to “Ensure Effectiveness and Accountability to the American Taxpayer.” In addition to promoting efficiency, aligning with the President’s Management Agenda and the 2018 Federal Workforce

¹ https://www.whitehouse.gov/wp-content/uploads/2018/02/ap_7_strengthening-fy2019.pdf;

<https://www.whitehouse.gov/wp-content/uploads/2018/03/Presidents-Management-Agenda.pdf>

² The Department of State’s Ten Leadership and Management Principles can be found in 3 FAM 1214 - <http://fam.a.state.gov/FAM/03FAM/03FAM1210.html>

³ OPM Executive Core Qualifications may be found at: <https://www.opm.gov/policy-data-oversight/senior-executive-service/executive-core-qualifications/>

Priorities Report⁴, HR works to support a workforce that is diverse, flexible, and talented. Implementing the JSP, HR promotes work-life wellness, supports flexible work schedules, and offers employment opportunities overseas for family members.

Recruit: Attract and hire diverse, highly talented, and well-qualified candidates with the skills to advance U.S. values, interests, and goals at home and around the world.

Retain: Retain a high-performing, professionally developed and agile workforce that adapts to internal and external challenges and needs, and helps drive a committed, resilient, and effective organization that thrives in a dynamic and demanding 21st century environment.

Sustain: Sustain an organizational culture that values leadership, merit and integrity, promotes work-life wellness, engages all employees, encourages collaboration, and empowers and supports employees and their families.

Diversity: Attract and cultivate a workforce reflecting the strengths of our nation, promoting an inclusive merit-based culture that encourages collaboration, flexibility, and fairness.

Manage Effectively and Efficiently: Establish and meet high standards in strategic human capital leadership; program, budgetary, and risk management; and internal operations, procedures and processes so that employees concentrate on accomplishing external goals, not checking internal boxes.

⁴ <https://www.opm.gov/policy-data-oversight/human-capital-management/federal-workforce-priorities-report/>

2. Bureau Strategic Framework

Strategy Outline

The illustrative strategy map below is a graphical representation of our Functional Bureau Strategy. Our goals and objectives are also outlined below:

Goal 1 - Recruit: Identify, attract, engage with and hire diverse, skilled, and competitive prospects and candidates with the skills to advance U.S. values, interests, and goals at home and around the world.

- **Objective 1.1** - Support managers, human resources professionals, and leadership throughout the recruitment and hiring process to meet their recruiting and hiring objectives.
- **Objective 1.2** - Meet our forecasted hiring targets by 2022 by investing in national media, engaging national affinity and professional organizations, partnering with colleges and universities, and private and community groups.
- **Objective 1.3** – Improve communications with potential prospects and candidates through expanded talent relationship management and recruitment systems and timely updates of hiring actions on the USAJOBS website.
- **Objective 1.4** – Support national outreach to underrepresented groups through focusing our DIR network on both geographic and demographic diversity identified in regional and national skill-based organizations as well as diverse professional organizations.

Goal 2 - Retain: Retain a high-performing and agile workforce that, through continuous investment in professional development, is able to adapt to the Department’s changing needs, resulting in a committed, resilient, and effective organization able to meet the demands of a 21st century work environment.

- **Objective 2.1** - Align professional development and skills training with the needs of the Department by improving the Department’s efficiency in defining position needs and filling positions with applicants who possess the required skills.
- **Objective 2.2** - Increase professional development opportunities for CS and FS by developing improved rotational, excursion and detail programs, both intra-agency and inter-agency.
- **Objective 2.3** -- Develop an integrated approach to talent management that maximizes employee engagement and accountability.

Goal 3 - Sustain: Sustain an organizational culture that engages employees, encourages collaboration, empowers and supports employees and their families, and promotes the value of work-life wellness.

- **Objective 3.1** - Expand support for Department-wide employee safety, health, and wellness programs, and promote work-life balance by institutionalizing Work-Life Wellness in the Department.
- **Objective 3.2** - Support employees and their families through programs and initiatives that enhance employment opportunities for Eligible Family Members (EFMs).
- **Objective 3.3** – Enhance the working environment to allow employees to feel engaged, appreciated, and included at all levels of the organization through improved communication, mandatory leadership and supervisory training, organizational effectiveness, and enhanced employee resources.
- **Objective 3.4** – Empower employees with disabilities by providing timely and effective reasonable accommodation solutions.
- **Objective 3.5** – Improve accountability efficiencies, incorporating core principles of fair process, due process, full safeguards, and timely decision-making to achieve greater accountability and integrity in the workplace.

Goal 4 - Diversity: Ensure that the Department's workforce reflects the strengths of our diverse nation, while promoting an inclusive culture that encourages collaboration, flexibility, and fairness throughout the organization.

- **Objective 4.1** – Promote, update, and implement the Department's Diversity and Inclusion Strategic Plan (DISP), through a collaborative and inclusive process, with the aim of recruiting, retaining, and sustaining a skilled, diverse, and talented workforce.
- **Objective 4.2** - Improve and enhance mentoring programs to retain and sustain a diverse workforce.
- **Objective 4.3** - Expand outreach to managers who make hiring decisions to promote inclusiveness.
- **Objective 4.4** – Improve outreach to and education of all employees on available services and programs as well as inclusive practices and policies.

Goal 5 - Manage Efficiently and Effectively: In pursuit of the above goals, we will strive to further enable employees to operate efficiently and effectively, both within the HR bureau and across the Department.

- **Objective 5.1** – Ensure that the Department’s organizational policy is implemented across the Department to improve spans of control, efficiency, accountability, and cost effectiveness.
- **Objective 5.2**- Provide strategic and effective organizational advisory services by ensuring organizations are properly aligned to meet and achieve critical foreign policy goals.
- **Objective 5.3** - Provide efficient and effective HR services by improving, enhancing, and sustaining Information Technology infrastructure.
- **Objective 5.4** - Strategically expand and enhance internal and external communications.
- **Objective 5.5** - Continue streamlining and consolidating HR processes by efforts that include continuing to transfer some HR functions to the HR Service Center in Charleston, South Carolina.
- **Objective 5.6** - Improve the quality and comprehensiveness of HR data by expanding collection to include all service providers. Leverage improved/expanded data for enhanced analytical capabilities.

3. Goals and Objectives

Bureau Goal 1- Recruit: Identify, attract engage with, and hire diverse, skilled, and competitive prospects and candidates with the skills to advance U.S. values, interests, and goals at home and around the world.

a. Description and Linkages

HR recruits personnel for the Department, CS and FS, and supports our missions abroad in recruiting LE Staff. HR's strategic recruitment focuses on developing a pipeline of competitive applicants who possess needed skills, including foreign language proficiency, and whose diversity reflects that of the national professional workforce demographics.

HR continuously promotes the Department's recognizable employer brand and has an aggressive FS recruitment program that incorporates digital recruitment marketing and advertising programs that focus on undergraduate and graduate students, alumni of targeted universities, and experienced, skilled professionals throughout the United States. Diplomats in Residence (DIRs), Outreach Specialists, and a marketing consultant identify, educate, and attract prospects from diverse educational, cultural, ethnic, and geographic backgrounds, as well as with specialized experience.

This goal supports the State-USAID Joint Strategic Plan (JSP) Goal 4, Ensure Effectiveness and Accountability to the American Taxpayer, and Strategic Objective 4.3, Enhance workforce performance, leadership, engagement, and accountability to execute our mission efficiently and effectively, and HR's Five-Year Workforce and Leadership Succession Plan 2016-2020.

Risks:

Risks to accomplishing recruitment goals to maintain Foreign Service and Civil Service staffing include both internal and external factors. The internal factors mainly affect the Civil Service and include such things as ability to mobilize recruitment activities and the decentralizing nature of Department hiring processes. External factors include availability of sufficient pools of qualified applicants for the Civil Service and certain Foreign Service Specialist categories and uncompetitive salaries in certain categories. Civil Service recruitment also suffers from a cumbersome hiring process managed by OPM. Foreign Service recruitment can be hampered by a slow on-boarding process.

Key Partners and Stakeholders:

Internal

- BP to determine hiring parameters in keeping with budgetary resources
- M, FSI, and all regional and functional bureaus on current and future staffing needs, performance management, assignments/rotations/deployments, employee classification, and customer services

- Affinity groups within the Department

External

- Congress, OMB, and OPM have large control over resources and decision-making, and require constant attention and coordination
- American Foreign Service Association (AFSA), the American Federation of Government Employees (AFGE), The Association of Professional Schools of International Affairs (APSIA), the Association of Black American Ambassadors (ABAA), and the National Federation of Federal Employees (NFFE)
- Cox Foundation
- Colleges, universities, organizations, associations, and affinity groups
- American Academy of Diplomacy (AAD)
- Partnership for Public Service
- Annuitants

Objective 1.1 - Support managers, human resources professionals, and leadership throughout the recruitment and hiring process, and provide stakeholders with the tools to meet their hiring objectives.

Justification:

Federal recruitment policies and regulations are complex. HR provides expert knowledge of policies and regulations to hiring managers.

Objective 1.2 - Identify and attract diverse, skilled, and competitive candidates by investing in national media, engaging national affinity and professional organizations, partnering with colleges and universities, and private and community groups in order to meet our forecasted hiring targets by 2022.

Justification:

To successfully represent the United States around the world, the Department needs a workforce as diverse as American society itself. In addition, federal recruitment policies and regulations are complex. HR, therefore, provides expert knowledge of policies and regulations to hiring managers.

Objective 1.3. – Improve communications with potential prospects and candidates through expanded talent relationship management and recruitment systems and timely updates of hiring actions on the USAJOBS website.

Justification:

To successfully manage recruiting and hiring of employees, improve and increase talent relationship management and recruitment systems and services to applicants and registrants.

Objective 1.4 – Support national outreach to underrepresented groups through our Diplomats in Residence (DIR) network.

Justification:

Establishing the Department as an employer brand requires outreach and education on diplomacy to underrepresented communities. Experienced diplomats express intellectual, cultural, social, political, and professional aspects of Foreign Service careers and are known to inspire merited individuals to take action toward a Department of State career opportunity.

Bureau Goal 2 - Retain: Retain a high-performing and agile workforce that, through continuous investment in professional development, is able to adapt to the Department’s changing needs, resulting in a committed, resilient, and effective organization able to meet the demands of a 21st century work environment.

a. Description and Linkages

The intent of the FS Career Development Program (CDP), the recently-introduced Professional Development Program (PDP), and the FS assignment process is to ensure that FS employees have opportunities, including training, to develop the skills needed for performance at more senior levels. Similarly, the CS Individual Development Plans (IDPs) help to develop the skills of CS employees. These plans may provide for career-enhancing opportunities, such as the Overseas Development Program. Working with FSI, HR offers career-enhancing training opportunities for all employees.

This goal supports the State-USAID Joint Strategic Plan (JSP) Goal 4, Ensure Effectiveness and Accountability to the American Taxpayer, and Strategic Objective 4.3, Enhance workforce performance, leadership, engagement, and accountability to execute our mission efficiently and effectively, and HRs Five-Year Workforce and Leadership Succession Plan 2018-2022.

Risks:

Risks to retaining staff can include both internal and external factors. Internal factors could include such things as lack of appropriate employee development programs and lack of Civil Service promotion opportunities. External factors could include inability to compete with more lucrative private sector opportunities.

Key Partners and Stakeholders:

Internal:

- HR maintains relationships with the three unions covering DOS employees, American Foreign Service Association (AFSA), American Federation of Government Employees (AFGE), and National Federation of Federal Employees (NFFE). HR consults and

bargains, as appropriate, with respect to conditions of employment, including personnel policies, practices, and matters affecting working conditions.

- HR works closely with the Foreign Service Institute (FSI) on issues related to training, supporting efforts to enhance and reshape the Department's Leadership Development Continuum.

Objective 2.1 - Align professional development and skills training with the needs of the Department by improving the Department's efficiency in defining position needs, filling positions with applicants who possess the required skills, and supporting employees to participate in external training opportunities.

Justification:

Providing professional development opportunities to employees is key to maintaining high rates of engagement, retaining a skilled workforce, and ensuring employees are prepared to meet leadership challenges throughout their careers. FS personnel require professional development opportunities throughout their careers to prepare for new assignments as well as for promotion to the senior ranks. CS personnel need professional development opportunities to prepare them for more senior responsibilities. Better study of mission critical occupations and Department needs should inform the type of training offered in order to produce the agile and skilled workforce we seek.

Objective 2.2 - Increase professional development opportunities for CS and FS by developing improved rotational, excursion and detail programs, both intra-agency and inter-agency.

Justification:

Changing demands of the Department's mission require flexibility in hiring, training, and assigning personnel.

Objective 2.3 - Develop an integrated approach to talent management that maximizes employee engagement and accountability.

Justification:

A large portion of the Foreign Service moves around the world every two to three years. Changing demands of a challenging operational environment require flexibility in the development and deployment of existing skills and expertise. The Foreign Service assignment process is in need of reform to maximize the use of personnel resources and move from a decentralized to a centralized HR platform.

Bureau Goal 3 - Sustain: Sustain an organizational culture that engages employees, encourages collaboration, empowers and supports employees and their families, and promotes the value of work-life wellness.

a. Description and Linkages

HR continues to develop programs (noted below) that support employee work-life wellness. HR is reinforcing efforts to engage employees throughout the Department and overseas, including through a new Strategic Communication Unit reporting to the Director General.

This goal supports the State-USAID Joint Strategic Plan Goal 4, Ensure Effectiveness and Accountability to the American Taxpayer, and Strategic Objective 4.3, Enhance workforce performance, leadership, engagement, and accountability to execute our mission efficiently and effectively, and HR's Five-Year Workforce and Leadership Succession Plan 2018-2022.

Risks:

Risks to sustaining an organizational culture that engages employees and promotes work-life balance include both internal and external factors. Internal factors include lack of awareness of work-life and other programs. Pressures from frequent moves and difficult and dangerous living conditions poses strains on Foreign Service families. Other factors could include lack of ability to maintain relevant work-life wellness, eligible family member employment, or accountability and discipline programs. External factors could include impact of economic conditions, or support from agencies outside the organization that don't share the Department's priorities.

Key Partners and Stakeholders:

Internal:

- Department leadership, down to individual supervisors, is critical to the organizational culture.
- IRM, in providing infrastructure to accommodate flexible work schedules, is important to our ability to help employees sustain work-life balance.

External:

- The Department works with other agencies with a presence overseas to help sustain work-life balance.
- OPM is an important partner in developing policies and guidance supporting work-life balance.

Objective 3.1 – Expand support for Department-wide employee safety, health, and wellness programs, and promote work-life balance by institutionalizing Work-Life Wellness in the Department.

Justification:

With two-career families becoming more of the norm, in the FS as well as CS, helping employees balance the demands of family and work is increasingly important to workforce retention, morale and effectiveness.

Objective 3.2 - Support employees and their families through programs and initiatives that enhance employment opportunities for Eligible Family Members (EFMs).

Justification:

As indicated above, the Department workforce includes an increasing number of two-career families, including tandem couples. Especially for families serving overseas, Department help in maintaining some semblance of a career for accompanying spouses is important for morale and retention.

Objective 3.3 – Enhance the working environment to allow employees to feel engaged, appreciated, and included at all levels of the organization through improved communication, mandatory leadership and supervisory training, organizational effectiveness, and enhanced employee resources.

Justification:

Employee engagement is recognized as a key factor in workforce satisfaction and, therefore, effectiveness and retention.

Objective 3.4 – Enhance the empowerment of employees with disabilities by providing timely and effective reasonable accommodation solutions.

Justification:

Providing opportunities and IT accessibility services for employees with disabilities promotes the Department's goals for an inclusive workforce.

Objective 3.5 – Improve accountability efficiencies, incorporating core principles of fair process, due process, full safeguards, and timely decision-making to achieve greater accountability and integrity in the workplace.

Justification:

Increased focus on accountability is consistent with the Joint Strategic Plan Goal 4, Ensure Effectiveness and Accountability to the American Taxpayer. Experience has shown that all employees benefit from continued guidance on how to write an effective and successful Employee Evaluation Report (EER).

Bureau Goal 4 – Diversity: Ensure that the Department's workforce reflects the strengths of our diverse nation, while promoting an inclusive culture that encourages collaboration, flexibility, and fairness throughout the organization.

a. Description and Linkages

Increasing diversity in the workforce is a primary focus of Department recruiting efforts. Improving diversity throughout all levels of the workforce is also a goal of workforce management overall within the framework of the merit promotion system and the Foreign Service Act.

This goal supports the State-USAID Joint Strategic Plan Goal 4, Ensure Effectiveness and Accountability to the American Taxpayer, and Strategic Objective 4.3, Enhance workforce performance, leadership, engagement, and accountability to execute our mission efficiently and effectively, and HR's Five-Year Workforce and Leadership Succession Plan 2018-2022.

Risks:

Risks to achieving and sustaining diversity through all levels of the workforce include both internal and external factors. Internal factors include lack of Civil Service promotion opportunities, attrition of mid-level Foreign Service employees, and perceptions that the Department is not an inclusive workplace. External factors include lack of available pools of qualified candidates and lack of external support by external partners to support diversity and inclusion programs.

Key Partners and Stakeholders:

Internal:

- As part of the Diversity and Inclusion Strategic Plan (DISP), HR works closely with the Office of Civil Rights and engages with the Employee Affinity Groups (EAGs) to assist with diversity and inclusion issues.
- Other Department of State Bureaus

External:

- OPM holds Executive departments and agencies accountable to the President for effective HR management for all federal employees.
- HR works with various colleges, universities, organizations, and associations to recruit diverse talent.

Objective 4.1 – Promote, update, and implement the Department’s Diversity and Inclusion Strategic Plan (DISP), through a collaborative and inclusive process, with the aim of recruiting, retaining, and sustaining a skilled, diverse, and talented workforce.

Justification:

The DISP serves as the fundamental strategic document describing the Department’s diversity and inclusion goals.

Objective 4.2 – Continue to improve and enhance multi-phase initiatives in our iMentor mentoring program to retain and sustain a diverse workforce.

Justification:

Experience shows that effective mentoring is important to employee career development, morale, and retention.

Objective 4.3 - Expand outreach to managers who make hiring decisions that promote inclusiveness.

Justification:

Department Civil Service hiring processes are diffuse, with responsibilities shared between bureaus/offices and HR. Encouraging collaboration with external partners can potentially expand recruiting pools among under-represented groups and encourage diversity.

Objective 4.4 – Improve outreach to and education of all employees on available services and programs as well as inclusive practices and policies.

Justification:

A strong and diverse staff is pivotal for the success of any organization. Transparency and education are crucial in showing employees that they are valued and supported

4. Cross-cutting Management Objectives or Management Goal

Management Goal 5 – Manage Efficiently and Effectively: In pursuit of the above goals, we will strive to further enable employees to operate efficiently and effectively, both within the HR bureau and across the Department.

a. Description and Linkages

Through first rate IT, an active internal and external communication strategy and increased consolidation of HR service for clients, HR seeks to provide the best possible service to all employees.

This goal supports the State-USAID Joint Strategic Plan Goal 4, Ensure Effectiveness and Accountability to the American Taxpayer, Strategic Objective 4.3, Enhance workforce performance, leadership, engagement, and accountability to execute our mission efficiently and effectively, and HR's Five-Year Workforce and Leadership Succession Plan 2018-2022.

Risks:

Risks to managing efficiently and effectively include both internal and external factors. Internal factors could include such risks as lack consensus on internal prioritization of resources. External factors include vulnerability of computer systems to threats from viruses and hackers and lack of sufficient support from external partners or available technological solutions.

Key Partners and Stakeholders:

Internal:

- The Chief Information Officer (IRM), in consultation with the Chief Human Capital Officer (HR), establishes information technology guidance, overseas resources provided to projects, and certifies systems to operate within the Department.
- The Chief Information Officer (IRM), in consultation with the Office of Accessibility and Accommodations (HR/OAA) establishes goals for Section 508 Program's maturity to reflect overall agency information technology accessibility compliance.
- HR collaborates with the Performance Improvement Officer, the Bureau of Budget and Planning, and the Office of Policy, Rightsizing, and Innovation to align staffing data and metrics and to conduct data-driven reviews both internal to HR (known as HRStat) as well as part of the Deputy Secretary's review of Agency Priority Goals.
- State and USAID continue to consolidate administrative operations, and HR is coordinating the resulting staff reductions and reorganizations. In addition, HR is working with its USAID counterparts to harmonize certain disparate policies, such as LE Staff position grading.
- HR maintains relationships with the three unions covering DOS employees, American Foreign Service Association (AFSA), American Federation of Government Employees (AFGE), and National Federation of Federal Employees (NFFE). HR consults and

bargains, as appropriate, with respect to conditions of employment, including personnel policies, practices, and matters affecting working conditions.

External:

- In providing government-wide direction for strategic management of the federal workforce, OPM establishes standards of quality, collects workforce information, reviews and reports on agencies; and ensures that practices are consistent with laws, rules, and regulations.

Management Objective 5.1 – Ensure that the Department’s organizational policy is implemented across the Department to improve spans of control, efficiency, accountability, and cost effectiveness.

Justification:

An organization is able to have the most impact and deliver on its mission when its resources are structurally and functionally aligned with appropriate spans of control that drive efficiency, accountability and cost effectiveness.

Management Objective 5.2- Provide strategic and effective organizational advisory services by ensuring organizations are properly aligned to meet and achieve critical foreign policy goals.

Justification:

All departmental organization structures need to be aligned in ways that clearly reflect their roles in meeting critical foreign policy goals.

Management Objective 5.3: Provide efficient and effective HR services by improving, enhancing, and sustaining Information Technology infrastructure.

Justification:

Increasingly, IT is critical to the majority of HR functions. HR is committed to providing services that are more efficient so that Department employees, both domestic and abroad, can better focus on their core missions. HR has focused on expanding online services, automating functions, where possible, and extending a number of HR IT processes through inclusion of LE staff and contractors to better support bureaus and overseas posts.

HR will maintain its focus on addressing the needs of the Department’s workforce and mitigate IT performance concerns by optimizing application architectures, upgrading infrastructure to approved standard product versions, enhancing performance testing, increasing user training and help desk support, and enhancing information sharing using collaborative tools such as SharePoint.

Management Objective 5.4 - Strategically expand and enhance internal and external communications.

Justification:

Internal communication is critical for workforce engagement. External communication is necessary for building understanding and support for Department goals in the interagency community, in Congress and among the public.

Management Objective 5.5 - Continue streamlining and consolidating HR processes (e.g., some HR functions will continue to be transferred to the HR Service Center in Charleston, South Carolina).

Justification:

Streamlining and consolidation, where appropriate, increases efficiency and improves service to our customers. The Department of State-USAID Joint Strategic Plan (JSP) Goal 4, "Ensure Effectiveness and Accountability to the American Taxpayer," included two goals regarding human resources efficiency that are included below as performance indicators for this objective.

Management Objective 5.6: Improve quality and comprehensiveness of HR data. Leverage improved/expanded data for enhanced analytic capabilities.

Justification:

In order to make informed decisions, Department leadership must have comprehensive and accurate HR data readily available, along with the tools necessary to view data points in a flexible and intuitive format. Currently, HR data contains an unacceptably high rate of errors. Additionally, the Department lacks an enterprise-wide HR case management tool, which prevents us from gathering comprehensive information on the cost and timeliness of personnel action processing for all service providers.

To improve data quality, HR will undertake a data quality initiative that includes the performance of regularly scheduled system audits, coordination with bureaus to make timely error corrections, and conducting specialized training for HR processors. Additionally, HR will develop and implement a Department-wide case management tool to capture standardized data for all HR service providers.

To improve data access and usability, HR will implement a new HR Knowledge Center (HRKC) portal that includes intuitive dashboards and reports.



Functional Bureau Strategy

The Secretary's Office of Civil Rights (S/OCR)

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Approved: April 26, 2019

1. Executive Statement

The mission of the Secretary's Office of Civil Rights (S/OCR) is to propagate fairness, equity, and inclusion at the Department of State. In support of this mission, S/OCR manages the Equal Employment Opportunity (EEO) administrative process for the Department which provides employees and applicants for employment with avenues of redress for discrimination and/or harassment, in accordance with EEO laws and regulations. S/OCR also promotes equity and inclusion through training and outreach to build awareness and analyzes Department programs, policies, and practices to identify triggers and barriers to equal employment opportunity. Essentially, our core business is conflict resolution, employee and supervisor assistance, and diversity management.

We will continue to operate in a challenging environment. While the number of harassment cases has increased substantially, the size of our office has not grown commensurate with this increased "demand," which has contributed to a backlog of cases. While we strive to ensure all employees and applicants for employment receive prompt and effective responses to all inquiries, we also must simultaneously endeavor toward a better future where there is decreasing harassment and discrimination within the Department. In pursuit of this end, we will continue to promote diversity, advocate for a workplace of civility and respect, and leverage all opportunities to improve our staff's collective capabilities through training and development.

Based on standing legal requirements, Administration and Department priorities, and our current operating environment, S/OCR developed three goals for this strategy which are 1) responsive and efficient case processing; 2) proactive prevention; and 3) diversity and inclusion. These goals support the priorities expressed in the Secretary's Policy Statement on Diversity and Equal Employment Opportunity. The goals also align to the Department of State – U.S. Agency for International Development (USAID) Joint Strategic Plan (JSP). Additionally, when developing the objectives within each goal, we also took into account the risk to achieving our objectives by considering the question, "what is at risk for the Department and our mission if we do not achieve this objective?"

Finally, we recognize that publishing this strategy is only the first step in a continual process. In order to advance the Department's priorities and achieve our objectives, we also need to commit to effective implementation of our strategy. Therefore, we intend to actively use this strategy as our road map on the way forward, measure our progress, and update our strategy periodically as we continue to advocate for a work environment that is respectful of all people, their knowledge, skills, backgrounds, and abilities.

Approved: April 26, 2019

2. Bureau Strategic Framework

Strategy Outline

Goal 1: Responsive and Efficient Case Processing

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Objective 3.2: Promote greater diversity and inclusion by advocating for EEO principles in the Department's human resources strategies and by supporting bureau, office, and mission efforts to increase accountability

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3. Goals, Objectives and Sub-Objectives

Bureau Goal 1: Responsive and Efficient Case Processing

a. Description and Linkages

Responsive and efficient case processing improves processes and instills greater confidence in the protections afforded by EEO laws and regulations. There are a variety of means to achieve this goal to include EEO counselor training, database tracking systems and reports, trend analysis, and the use of contractors, as well as formal and informal communications such as 462 and No FEAR reports, Diversity Notes, briefings, consultations, and surveys. Through these means, S/OCR strives to comply with all legal and regulatory guidelines and timelines while also providing high-quality customer service to assist management in resolving issues as quickly as possible and at the earliest possible level. This goal supports fulfillment of 29 CFR Part 1614 (Federal Sector Equal Employment Opportunity) and aligns to the JSP Objective 4.3 (Enhance workforce performance, leadership, engagement, and accountability to execute our mission efficiently and effectively).

Bureau Objective 1.1: Improve quality of investigations, inquiries and alternative dispute resolution by increased responsiveness through improved collaboration on claims and cases

a. Justification

Laws and regulations set guidelines for EEO counseling, processing of complaints and carrying out inquiries into reports of harassment. For example, 29 CFR part 1614 sets strict timeframes for EEO case processing. Since EEO and harassment workloads have increased without comparable staff increases, our overall customer service and regulatory compliance have suffered. To mitigate this issue, S/OCR intends to institute better cross-sectional communication, collaboration, and data sharing on workload issues. Failure to achieve this objective may result in a negative impact on productivity and morale, as well as negate the deterrent that an effective harassment reporting program can have in limiting future harassment. Another risk associated with this objective includes default judgments, fines or other penalties which may increase the Department's potential liability, even in cases where the Department would otherwise not be found at fault.

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Bureau Objective 1.2: Increase informal stage timeliness by improving complaint monitoring and/or using other resolution techniques in addition to mediation

a. Justification

Timely informal resolution saves the Department time and money. Resolving a case through counseling or ADR is a “win-win” in that both the aggrieved and management are empowered to shape outcomes they perceive as reasonable, the Department limits liability and admission of wrong doing, and the participants return to an environment that allows them to be heard so they can then begin restoring their relationship and productivity sooner than through a formal resolution process. Increased caseloads without commensurate staffing increases have contributed to an extensive backlog of informal cases. Therefore, S/OCR will seek improve complaint monitoring and expand the methods and sources of resolution to address this issue. Risks associated with not achieving this objective include non-compliance with regulatory timeliness and increased costs associated with the formal process.

Bureau Goal 2: Proactive Prevention

a. Description and Linkages

S/OCR seeks to enable proactive prevention by raising awareness and increasing understanding across the Department regarding rights and responsibilities with respect to EEO and harassment. Some of the methods for achieving this goal include conducting internal and external training, presenting briefings, providing consultations and advice, disseminating information such as through Diversity Notes and the EEO Counselor Newsletter, and incentivizing strong performance through EEO awards. By these means, S/OCR will continually emphasize the importance of respecting EEO laws and enable a workplace free of discrimination or sexual harassment. S/OCR will also ensure Department employees are aware of how to seek redress for alleged discrimination and how to report discrimination and sexual harassment. This goal also supports fulfillment of 29 CFR Part 1614 and aligns to the JSP Objective 4.3.

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Bureau Objective 2.1: Improve awareness of EEO/harassment trends and findings by educating Department employees, bureaus, offices and missions through training and periodic briefings

a. Justification

S/OCR recognizes that maintaining or increasing EEO and harassment awareness can prevent conflict and improve morale across the workforce which will contribute to the building of a model workplace that values fairness, equity, and inclusion. Greater understanding and continual commitment at all levels is required to enable this more positive and effective culture. Therefore, S/OCR will pursue this objective by ensuring Department employees, with a particular emphasis on managers and leaders, are made aware of EEO and harassment trends, challenges, and issues so that we may collectively set and achieve higher expectations for the promotion of fairness, equity, and inclusion. Risks associated with not achieving this objective include an increasing trend in EEO or harassment issues through a lack of awareness, leadership emphasis, or understanding.

Bureau Objective 2.2: Improve EEO Counselor quality by providing incentives for collateral duty service through awards, recognition, and visibility

a. Justification

S/OCR recognizes that EEO Counselors, which number nearly 600 throughout the Department, serve as the main source of information and the “first line of defense” in terms of responding to employee questions, training LE Staff EEO Liaisons, providing insight into EEO and harassment-related issues and challenges, reporting possible incidents of harassment, and resolving cases as early as possible in the EEO process. Despite this important role, serving as an EEO Counselor is a collateral duty and therefore, may be regarded as a lower priority compared with other Department work. To mitigate this issue, S/OCR will seek to continually and publicly promote the contributions of EEO Counselors. Risks associated with not achieving this objective include an inability to attract and retain talented employees to serve as EEO Counselors and a decline in the quality of effort put forth by EEO Counselors in the performance of their EEO-related collateral duties.

Bureau Goal 3: Diversity and Inclusion

a. Description and Linkages

S/OCR promotes diversity and inclusion at all levels in the Department through a variety of methods to include commemorative events, special emphasis programs, Congressional reports, barrier and trend analysis, Employee Affinity Group engagements, quarterly diversity forums, and the Diversity and Inclusion Strategic Plan. By these means, S/OCR enables employees and leaders to better understand their role in promoting fairness, equity, and inclusion in their individual workplaces and throughout the Department. This goal supports the equal opportunity policy expressed in 29 CFR Part 1614 and aligns to the Department's JSP Objective 4.3 by contributing to the enhancement of workforce performance.

Bureau Objective 3.1: Maximize commitment and support for fairness, equity, and inclusion by engaging agency leadership in initiatives and activities to emphasize the value of diversity.

a. Justification

Diversity is not only a worthy cause to pursue, it is a necessity for the Department to accurately reflect the diversity of American society as a whole and to project the strength that is inherent within our diversity to the world. S/OCR supports the Department in this regard by sponsoring programs and events, managing the Department's special emphasis programs, and supporting employee affinity groups, as well as other activities designed to enhance appreciation for how a diverse workforce better reflects our Nation and improves the Department. Promoting leadership and management engagement in these activities likely will increase participation and interest across the wider Department. The risks associated with not achieving this objective include a potential lack of emphasis or effectiveness if leadership and management do not appear to prioritize these activities.

Bureau Objective 3.2: Promote greater diversity and inclusion by advocating for EEO principles in the Department's human resources strategies and by supporting bureau, office, and mission efforts to increase accountability

a. Justification

Laws and executive orders prohibiting discrimination in the federal civilian workplace mandate that personnel decisions be made free from discrimination on protected bases.

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Additionally, Management Directive 715 requires all agencies to conduct self-assessments of their policies and procedures to identify any barriers to a discrimination-free and open workplace. In pursuit of this objective, S/OCR will work closely with the Bureau of Human Resources as well as the individual bureaus, offices, and missions to achieve this objective. In support of this effort, S/OCR will promote diversity and inclusion by leveraging data and statistics to identify areas for improvement however, S/OCR also intends work toward an even broader impact by informing changes or refinements to human resources policies and strategies and by encouraging and supporting diversity and inclusion initiatives developed organically by the individual bureaus, offices, and missions. Risks associated with not achieving this objective include less than full compliance with the laws and executive orders that prohibit discrimination in the workplace.

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4. Cross-cutting Management Objectives or Management Goal

Management Objective: Promote work-life balance and improve morale through internal professional development opportunities and alternative work schedules

a. Justification

To achieve our mission of propagating fairness, equity, and inclusion within the Department, S/OCR recognizes that we must continually invest in our own staff. Two ways in which we can demonstrate that we value our staff are through the pursuit of professional development opportunities and the application of alternative work schedules. Participating in professional development opportunities will enable our staff to progress professionally while our office also will benefit collectively as we develop more depth in talent. Additionally, the application of alternative work schedules will allow our staff to pursue greater work-life balance which will result in a more content and productive workforce. Risks associated with not achieving this objective include a decline in morale, a lack of depth in our workforce, and decreasing productivity.

Management Objective: Improve office-wide and cross-sectional learning and communication through collaborative working groups, off-sites, and other events

a. Justification

As the number of harassment cases within the Department continue to increase without appropriate increases in our staffing levels, we must develop greater flexibility and cross-communication within the office to help mitigate this capacity challenge. While we work in parallel to fill our vacancies, we will also work internally with the resources we already have in order to maximize our existing capabilities. This approach will enable S/OCR to build trust and greater understanding within the office while also allowing us to deliver our services as efficiently as possible. The risks associated with not achieving this objective include a lack of cohesion and efficiency as well as a lack of progress in reducing our case backlog.

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Sorting Level	Organization	Item	Item Text	Item Respondents N	Positive %	Neutral %	Negative %	Do Not Know/ No Basis to Judge N
Gwide	Governmentwide	Q1	I am given a real opportunity to improve my skills in my organization.	611,219	67.2%	15.0%	17.8%	N/A
Agency	Department of State	Q1	I am given a real opportunity to improve my skills in my organization.	9,585	71.0%	13.5%	15.5%	N/A
Gwide	Governmentwide	Q2	I have enough information to do my job well.	611,571	71.7%	14.2%	14.1%	N/A
Agency	Department of State	Q2	I have enough information to do my job well.	9,623	71.9%	14.2%	14.0%	N/A
Gwide	Governmentwide	Q3	I feel encouraged to come up with new and better ways of doing things.	609,335	61.8%	17.2%	21.0%	N/A
Agency	Department of State	Q3	I feel encouraged to come up with new and better ways of doing things.	9,569	62.5%	17.0%	20.5%	N/A
Gwide	Governmentwide	Q4	My work gives me a feeling of personal accomplishment.	612,601	72.1%	14.5%	13.4%	N/A
Agency	Department of State	Q4	My work gives me a feeling of personal accomplishment.	9,658	74.4%	13.6%	12.0%	N/A
Gwide	Governmentwide	Q5	I like the kind of work I do.	612,232	82.7%	11.2%	6.1%	N/A
Agency	Department of State	Q5	I like the kind of work I do.	9,650	82.9%	10.9%	6.3%	N/A
Gwide	Governmentwide	Q6	I know what is expected of me on the job.	612,111	80.6%	10.6%	8.8%	N/A
Agency	Department of State	Q6	I know what is expected of me on the job.	9,644	79.9%	11.0%	9.0%	N/A
Gwide	Governmentwide	Q7	When needed I am willing to put in the extra effort to get a job done.	612,974	95.6%	2.9%	1.6%	N/A
Agency	Department of State	Q7	When needed I am willing to put in the extra effort to get a job done.	9,667	96.9%	2.2%	0.9%	N/A
Gwide	Governmentwide	Q8	I am constantly looking for ways to do my job better.	613,544	90.9%	7.3%	1.8%	N/A
Agency	Department of State	Q8	I am constantly looking for ways to do my job better.	9,677	92.3%	6.3%	1.3%	N/A
Gwide	Governmentwide	Q9	I have sufficient resources (for example, people, materials, budget) to get my job done.	608,706	48.9%	15.7%	35.3%	1,283
Agency	Department of State	Q9	I have sufficient resources (for example, people, materials, budget) to get my job done.	9,558	43.5%	14.8%	41.6%	21
Gwide	Governmentwide	Q10	My workload is reasonable.	609,883	59.2%	15.8%	24.9%	1,025
Agency	Department of State	Q10	My workload is reasonable.	9,609	51.6%	16.2%	32.2%	19
Gwide	Governmentwide	Q11	My talents are used well in the workplace.	605,029	61.1%	16.4%	22.5%	2,511
Agency	Department of State	Q11	My talents are used well in the workplace.	9,519	59.4%	17.0%	23.6%	43
Gwide	Governmentwide	Q12	I know how my work relates to the agency's goals.	610,249	85.1%	9.0%	6.0%	1,793
Agency	Department of State	Q12	I know how my work relates to the agency's goals.	9,630	85.5%	8.5%	5.9%	21
Gwide	Governmentwide	Q13	The work I do is important.	610,355	90.0%	6.8%	3.2%	1,426
Agency	Department of State	Q13	The work I do is important.	9,610	89.7%	7.0%	3.3%	18
Gwide	Governmentwide	Q14	Physical conditions (for example, noise level, temperature, lighting, cleanliness in the workplace) allow employees to perform their jobs well.	610,747	66.4%	14.0%	19.5%	2,784
Agency	Department of State	Q14	Physical conditions (for example, noise level, temperature, lighting, cleanliness in the workplace) allow employees to perform their jobs well.	9,649	68.6%	13.0%	18.4%	27
Gwide	Governmentwide	Q15	My performance appraisal is a fair reflection of my performance.	605,420	71.2%	13.8%	14.9%	7,312
Agency	Department of State	Q15	My performance appraisal is a fair reflection of my performance.	9,556	76.4%	12.2%	11.4%	114
Gwide	Governmentwide	Q16	I am held accountable for achieving results.	609,583	83.1%	11.3%	5.6%	2,493
Agency	Department of State	Q16	I am held accountable for achieving results.	9,617	80.6%	12.2%	7.1%	31
Gwide	Governmentwide	Q17	I can disclose a suspected violation of any law, rule or regulation without fear of reprisal.	589,502	67.2%	16.6%	16.2%	23,195
Agency	Department of State	Q17	I can disclose a suspected violation of any law, rule or regulation without fear of reprisal.	9,323	66.3%	15.7%	18.0%	342
Gwide	Governmentwide	Q18	My training needs are assessed.	607,831	56.5%	22.0%	21.4%	5,336
Agency	Department of State	Q18	My training needs are assessed.	9,575	45.1%	23.9%	31.0%	93
Gwide	Governmentwide	Q19	In my most recent performance appraisal, I understood what I had to do to be rated at different performance levels (for example, Fully Successful, Outstanding).	601,212	72.0%	12.7%	15.3%	11,466
Agency	Department of State	Q19	In my most recent performance appraisal, I understood what I had to do to be rated at different performance levels (for example, Fully Successful, Outstanding).	9,345	73.0%	13.1%	13.9%	326
Gwide	Governmentwide	Q20	The people I work with cooperate to get the job done.	611,209	77.3%	12.1%	10.6%	N/A
Agency	Department of State	Q20	The people I work with cooperate to get the job done.	9,637	81.4%	10.1%	8.5%	N/A
Gwide	Governmentwide	Q21	My work unit is able to recruit people with the right skills.	587,463	43.9%	25.2%	30.8%	20,037
Agency	Department of State	Q21	My work unit is able to recruit people with the right skills.	9,305	49.8%	21.5%	28.6%	243
Gwide	Governmentwide	Q22	Promotions in my work unit are based on merit.	568,300	39.2%	27.7%	33.1%	38,099
Agency	Department of State	Q22	Promotions in my work unit are based on merit.	9,004	39.8%	27.9%	32.3%	531
Gwide	Governmentwide	Q23	In my work unit, steps are taken to deal with a poor performer who cannot or will not improve.	548,546	33.7%	28.1%	38.2%	58,203
Agency	Department of State	Q23	In my work unit, steps are taken to deal with a poor performer who cannot or will not improve.	8,887	35.9%	25.4%	38.7%	653
Gwide	Governmentwide	Q24	In my work unit, differences in performance are recognized in a meaningful way.	571,950	39.2%	28.0%	32.8%	35,377
Agency	Department of State	Q24	In my work unit, differences in performance are recognized in a meaningful way.	9,184	39.7%	27.5%	32.9%	375
Gwide	Governmentwide	Q25	Awards in my work unit depend on how well employees perform their jobs.	568,785	47.8%	24.3%	28.0%	38,317
Agency	Department of State	Q25	Awards in my work unit depend on how well employees perform their jobs.	9,068	47.8%	23.2%	29.0%	489
Gwide	Governmentwide	Q26	Employees in my work unit share job knowledge with each other.	605,075	76.9%	12.4%	10.6%	2,503
Agency	Department of State	Q26	Employees in my work unit share job knowledge with each other.	9,519	79.6%	11.4%	9.0%	37
Gwide	Governmentwide	Q27	The skill level in my work unit has improved in the past year.	584,115	57.6%	27.0%	15.4%	22,586
Agency	Department of State	Q27	The skill level in my work unit has improved in the past year.	9,183	61.7%	26.7%	11.6%	363
Gwide	Governmentwide	Q28	How would you rate the overall quality of work done by your work unit?	606,946	84.0%	12.9%	3.1%	N/A
Agency	Department of State	Q28	How would you rate the overall quality of work done by your work unit?	9,551	89.0%	9.1%	1.9%	N/A
Gwide	Governmentwide	Q29	My work unit has the job-relevant knowledge and skills necessary to accomplish organizational goals.	602,007	80.6%	11.9%	7.5%	5,196
Agency	Department of State	Q29	My work unit has the job-relevant knowledge and skills necessary to accomplish organizational goals.	9,470	83.9%	9.6%	6.5%	73
Gwide	Governmentwide	Q30	Employees have a feeling of personal empowerment with respect to work processes.	585,857	49.8%	23.7%	26.4%	12,699
Agency	Department of State	Q30	Employees have a feeling of personal empowerment with respect to work processes.	9,204	50.0%	22.3%	27.8%	143
Gwide	Governmentwide	Q31	Employees are recognized for providing high quality products and services.	587,391	54.4%	21.2%	24.5%	11,018
Agency	Department of State	Q31	Employees are recognized for providing high quality products and services.	9,255	58.8%	19.7%	21.6%	104
Gwide	Governmentwide	Q32	Creativity and innovation are rewarded.	577,843	44.3%	27.4%	28.2%	17,984
Agency	Department of State	Q32	Creativity and innovation are rewarded.	9,140	46.1%	26.1%	27.9%	163
Gwide	Governmentwide	Q33	Pay raises depend on how well employees perform their jobs.	557,080	27.8%	28.7%	43.5%	40,868
Agency	Department of State	Q33	Pay raises depend on how well employees perform their jobs.	8,758	19.5%	27.7%	52.8%	586
Gwide	Governmentwide	Q34	Policies and programs promote diversity in the workplace (for example, recruiting minorities and women, training in awareness of diversity issues, mentoring).	553,893	58.7%	27.2%	14.2%	44,578
Agency	Department of State	Q34	Policies and programs promote diversity in the workplace (for example, recruiting minorities and women, training in awareness of diversity issues, mentoring).	8,761	54.2%	27.0%	18.8%	590
Gwide	Governmentwide	Q35	Employees are protected from health and safety hazards on the job.	590,760	76.7%	13.0%	10.4%	8,514
Agency	Department of State	Q35	Employees are protected from health and safety hazards on the job.	9,178	76.9%	13.7%	9.4%	195
Gwide	Governmentwide	Q36	My organization has prepared employees for potential security threats.	591,468	79.9%	12.2%	7.9%	5,683
Agency	Department of State	Q36	My organization has prepared employees for potential security threats.	9,240	82.5%	10.9%	6.6%	87
Gwide	Governmentwide	Q37	Arbitrary action, personal favoritism and coercion for partisan political purposes are not tolerated.	566,071	56.2%	21.2%	22.5%	32,457
Agency	Department of State	Q37	Arbitrary action, personal favoritism and coercion for partisan political purposes are not tolerated.	8,946	51.3%	21.9%	26.8%	412
Gwide	Governmentwide	Q38	Prohibited Personnel Practices (for example, illegally discriminating for or against any employee/applicant, obstructing a person's right to compete for employment, knowingly violating veterans' preference requirements) are not tolerated.	548,380	70.3%	17.5%	12.1%	48,839

Agency	Department of State	Q38	Prohibited Personnel Practices (for example, illegally discriminating for or against any employee/applicant, obstructing a person's right to compete for employment, knowingly violating veterans' preference requirements) are not tolerated.	8,653	73.3%	15.3%	11.4%	683
Gwide	Governmentwide	Q39	My agency is successful at accomplishing its mission.	589,036	77.3%	15.2%	7.4%	9,565
Agency	Department of State	Q39	My agency is successful at accomplishing its mission.	9,247	73.8%	17.8%	8.4%	111
Gwide	Governmentwide	Q40	I recommend my organization as a good place to work.	598,080	66.8%	18.8%	14.4%	N/A
Agency	Department of State	Q40	I recommend my organization as a good place to work.	9,338	69.5%	19.0%	11.5%	N/A
Gwide	Governmentwide	Q41	I believe the results of this survey will be used to make my agency a better place to work.	556,743	41.3%	26.9%	31.7%	41,714
Agency	Department of State	Q41	I believe the results of this survey will be used to make my agency a better place to work.	8,397	34.9%	29.4%	35.7%	955
Gwide	Governmentwide	Q42	My supervisor supports my need to balance work and other life issues.	593,388	82.1%	9.0%	8.9%	2,930
Agency	Department of State	Q42	My supervisor supports my need to balance work and other life issues.	9,244	80.5%	9.0%	10.5%	42
Gwide	Governmentwide	Q43	My supervisor provides me with opportunities to demonstrate my leadership skills.	592,721	70.9%	15.1%	14.0%	3,093
Agency	Department of State	Q43	My supervisor provides me with opportunities to demonstrate my leadership skills.	9,246	76.4%	11.6%	12.0%	48
Gwide	Governmentwide	Q44	Discussions with my supervisor about my performance are worthwhile.	589,625	68.1%	16.2%	15.7%	5,679
Agency	Department of State	Q44	Discussions with my supervisor about my performance are worthwhile.	9,142	69.6%	15.6%	14.8%	136
Gwide	Governmentwide	Q45	My supervisor is committed to a workforce representative of all segments of society.	552,306	71.9%	19.5%	8.6%	43,178
Agency	Department of State	Q45	My supervisor is committed to a workforce representative of all segments of society.	8,677	75.3%	17.2%	7.4%	618
Gwide	Governmentwide	Q46	My supervisor provides me with constructive suggestions to improve my job performance.	592,663	67.1%	17.3%	15.6%	3,241
Agency	Department of State	Q46	My supervisor provides me with constructive suggestions to improve my job performance.	9,234	66.8%	16.9%	16.3%	61
Gwide	Governmentwide	Q47	Supervisors in my work unit support employee development.	587,801	71.0%	15.6%	13.4%	8,065
Agency	Department of State	Q47	Supervisors in my work unit support employee development.	9,206	74.1%	14.3%	11.6%	90
Gwide	Governmentwide	Q48	My supervisor listens to what I have to say.	594,429	79.6%	10.5%	9.9%	N/A
Agency	Department of State	Q48	My supervisor listens to what I have to say.	9,268	82.1%	9.4%	8.6%	N/A
Gwide	Governmentwide	Q49	My supervisor treats me with respect.	594,280	84.3%	8.5%	7.1%	N/A
Agency	Department of State	Q49	My supervisor treats me with respect.	9,263	85.6%	7.7%	6.7%	N/A
Gwide	Governmentwide	Q50	In the last six months, my supervisor has talked with me about my performance.	594,433	82.0%	8.6%	9.4%	N/A
Agency	Department of State	Q50	In the last six months, my supervisor has talked with me about my performance.	9,272	81.5%	8.4%	10.1%	N/A
Gwide	Governmentwide	Q51	I have trust and confidence in my supervisor.	594,262	72.0%	14.2%	13.8%	N/A
Agency	Department of State	Q51	I have trust and confidence in my supervisor.	9,266	74.0%	13.2%	12.8%	N/A
Gwide	Governmentwide	Q52	Overall, how good a job do you feel is being done by your immediate supervisor?	594,144	74.1%	15.8%	10.1%	N/A
Agency	Department of State	Q52	Overall, how good a job do you feel is being done by your immediate supervisor?	9,270	74.7%	15.5%	9.8%	N/A
Gwide	Governmentwide	Q53	In my organization, senior leaders generate high levels of motivation and commitment in the workforce.	576,889	45.0%	24.0%	31.1%	13,376
Agency	Department of State	Q53	In my organization, senior leaders generate high levels of motivation and commitment in the workforce.	9,050	39.8%	24.7%	35.5%	132
Gwide	Governmentwide	Q54	My organization's senior leaders maintain high standards of honesty and integrity.	553,779	56.1%	23.1%	20.8%	36,043
Agency	Department of State	Q54	My organization's senior leaders maintain high standards of honesty and integrity.	8,712	51.6%	25.6%	22.8%	464
Gwide	Governmentwide	Q55	Supervisors work well with employees of different backgrounds.	558,822	70.2%	18.6%	11.2%	28,605
Agency	Department of State	Q55	Supervisors work well with employees of different backgrounds.	8,814	70.4%	18.2%	11.3%	320
Gwide	Governmentwide	Q56	Managers communicate the goals of the organization.	580,748	64.6%	18.6%	16.8%	7,863
Agency	Department of State	Q56	Managers communicate the goals of the organization.	9,088	63.3%	19.7%	17.0%	75
Gwide	Governmentwide	Q57	Managers review and evaluate the organization's progress toward meeting its goals and objectives.	553,057	63.9%	21.6%	14.5%	36,249
Agency	Department of State	Q57	Managers review and evaluate the organization's progress toward meeting its goals and objectives.	8,768	59.8%	23.6%	16.7%	389
Gwide	Governmentwide	Q58	Managers promote communication among different work units (for example, about projects, goals, needed resources).	570,161	57.7%	20.5%	21.8%	19,711
Agency	Department of State	Q58	Managers promote communication among different work units (for example, about projects, goals, needed resources).	8,991	57.7%	21.2%	21.0%	181
Gwide	Governmentwide	Q59	Managers support collaboration across work units to accomplish work objectives.	566,154	61.3%	20.3%	18.4%	20,010
Agency	Department of State	Q59	Managers support collaboration across work units to accomplish work objectives.	8,898	62.7%	19.8%	17.5%	201
Gwide	Governmentwide	Q60	Overall, how good a job do you feel is being done by the manager directly above your immediate supervisor?	557,336	62.5%	21.4%	16.1%	31,586
Agency	Department of State	Q60	Overall, how good a job do you feel is being done by the manager directly above your immediate supervisor?	8,812	64.6%	20.9%	14.6%	340
Gwide	Governmentwide	Q61	I have a high level of respect for my organization's senior leaders.	579,632	57.2%	22.6%	20.2%	8,840
Agency	Department of State	Q61	I have a high level of respect for my organization's senior leaders.	9,051	50.7%	25.5%	23.8%	98
Gwide	Governmentwide	Q62	Senior leaders demonstrate support for Work-Life programs.	541,505	58.8%	24.0%	17.2%	46,639
Agency	Department of State	Q62	Senior leaders demonstrate support for Work-Life programs.	8,558	47.0%	27.7%	25.3%	577
Gwide	Governmentwide	Q63	How satisfied are you with your involvement in decisions that affect your work?	585,087	54.8%	21.9%	23.3%	N/A
Agency	Department of State	Q63	How satisfied are you with your involvement in decisions that affect your work?	9,066	57.2%	21.2%	21.7%	N/A
Gwide	Governmentwide	Q64	How satisfied are you with the information you receive from management on what's going on in your organization?	584,983	52.3%	22.4%	25.3%	N/A
Agency	Department of State	Q64	How satisfied are you with the information you receive from management on what's going on in your organization?	9,067	53.4%	21.7%	24.9%	N/A
Gwide	Governmentwide	Q65	How satisfied are you with the recognition you receive for doing a good job?	584,700	53.4%	22.5%	24.1%	N/A
Agency	Department of State	Q65	How satisfied are you with the recognition you receive for doing a good job?	9,053	53.3%	23.0%	23.8%	N/A
Gwide	Governmentwide	Q66	How satisfied are you with the policies and practices of your senior leaders?	584,390	46.8%	28.4%	24.8%	N/A
Agency	Department of State	Q66	How satisfied are you with the policies and practices of your senior leaders?	9,052	42.4%	29.1%	28.5%	N/A
Gwide	Governmentwide	Q67	How satisfied are you with your opportunity to get a better job in your organization?	584,169	40.7%	27.0%	32.3%	N/A
Agency	Department of State	Q67	How satisfied are you with your opportunity to get a better job in your organization?	9,061	41.1%	27.9%	30.9%	N/A
Gwide	Governmentwide	Q68	How satisfied are you with the training you receive for your present job?	584,592	56.7%	22.3%	21.1%	N/A
Agency	Department of State	Q68	How satisfied are you with the training you receive for your present job?	9,052	55.0%	23.6%	21.4%	N/A
Gwide	Governmentwide	Q69	Considering everything, how satisfied are you with your job?	584,624	68.6%	16.5%	14.9%	N/A
Agency	Department of State	Q69	Considering everything, how satisfied are you with your job?	9,057	69.2%	16.1%	14.7%	N/A
Gwide	Governmentwide	Q70	Considering everything, how satisfied are you with your pay?	584,219	63.3%	16.2%	20.5%	N/A
Agency	Department of State	Q70	Considering everything, how satisfied are you with your pay?	9,055	67.9%	16.0%	16.1%	N/A
Gwide	Governmentwide	Q71	Considering everything, how satisfied are you with your organization?	581,919	61.0%	20.1%	18.9%	N/A
Agency	Department of State	Q71	Considering everything, how satisfied are you with your organization?	9,007	59.3%	21.7%	19.0%	N/A

Sorting Level	Organization	Item	Item Text	Item Respondents N	Remain In Work Unit And Improve Over Time %	Remain In Work Unit And Continue To Under-perform %	Leave Work Unit - Removed or Transferred %	Leave Work Unit - Quit %	No Poor Performers In Work Unit %	Do Not Know N
Gwide	Governmentwide	Q72	Currently, in my work unit poor performers usually:	461,560	17.1%	55.5%	8.1%	2.1%	17.1%	123,151
Agency	Department of State	Q72	Currently, in my work unit poor performers usually:	7,870	17.5%	53.4%	10.7%	2.4%	15.9%	1,195

Sorting Level	Organization	Item	Item Text	Item Respondents N	No Impact on Working/Pay Status %	No Work and No Pay Until After Shutdown %	Worked Some but No Pay Until After Shutdown %	Worked Entire Shutdown But No Pay Until After %	Other %
Gwide	Governmentwide	Q73	Which of the following best describes the impact of the partial government shutdown (December 22, 2018 - January 25, 2019) on your working/pay status?	583,875	53.7%	18.2%	6.7%	17.3%	4.1%
Agency	Department of State	Q73	Which of the following best describes the impact of the partial government shutdown (December 22, 2018 - January 25, 2019) on your working/pay status?	9,047	45.2%	15.4%	15.1%	18.0%	6.3%

Sorting Level	Organization	Item	Item Text	Item Respondents N	No Impact %	Slightly Negative Impact %	Moderately Negative Impact %	Very Negative Impact %	Extremely Negative Impact %
Gwide	Governmentwide	Q74	How was your everyday work impacted during (if you worked) or after the partial government shutdown?	576,262	44.9%	16.0%	16.7%	12.1%	10.3%
Agency	Department of State	Q74	How was your everyday work impacted during (if you worked) or after the partial government shutdown?	8,943	17.5%	14.2%	25.0%	24.4%	18.9%

Setting Level	Organization	Item	Item Text	Item Respondents N	Unmanageable Workload %	Mixed Deadlines %	Unrecoverable Loss of Work %	Reduced Customer Service %	Delayed Work %	Reduced Work Quality %	Cutback Of Critical Work %	Time Lost Restarting Work %	Unmet Statutory Requirements %	Other %
Grwide	Governmentwide	Q75	In what ways did the partial government shutdown negatively affect your work? (Check all that apply)	324,309	29.6%	45.8%	20.7%	47.9%	66.7%	31.9%	25.4%	42.0%	12.4%	27.3%
Agency	Department of State	Q75	In what ways did the partial government shutdown negatively affect your work? (Check all that apply)	7,073	38.4%	55.6%	35.8%	59.2%	78.9%	41.1%	47.1%	56.1%	16.3%	21.8%

Sorting Level	Organization	Item	Item Text	Item Respondents N	Looking Specifically Because Of Shutdown %	Looking But Shutdown Is Only One Of The Reasons %	Looking But Shutdown Had No Influence %	Not Looking Currently %
Gwide	Governmentwide	Q76	Are you looking for another job because of the partial government shutdown?	579,912	1.5%	8.0%	19.8%	70.7%
Agency	Department of State	Q76	Are you looking for another job because of the partial government shutdown?	8,987	1.5%	11.3%	13.2%	74.0%

Sorting Level	Organization	Item	Item Text	Item Respondents N	Strongly Agree %	Agree %	Neither Agree nor Disagree %	Disagree %	Strongly Disagree %	No Support Required N
Gwide	Governmentwide	Q77	My agency provided the support (e.g., communication, assistance, guidance) I needed during the partial government shutdown.	464,251	23.9%	40.3%	22.0%	7.7%	6.1%	117,730
Agency	Department of State	Q77	My agency provided the support (e.g., communication, assistance, guidance) I needed during the partial government shutdown.	8,520	18.4%	43.5%	21.0%	11.0%	6.1%	511

Sorting Level	Organization	Item	Item Text	Item Respondents	Very Infrequently %	Only 1-2 Days Per Month %	1-2 Days Per Week %	3-4 Days Per Week %	Every Work Day %	Must Be Physically Present %	Technical Issues %	Not Approved To Telework %	Choose Not To Telework %
Guide	Governmentwide	Q78	Please select the response below that BEST describes your current teleworking schedule.	579,351	14.5%	5.9%	15.9%	5.2%	2.0%	27.0%	3.5%	13.5%	12.5%
Agency	Department of State	Q78	Please select the response below that BEST describes your current teleworking schedule.	8,968	17.3%	5.1%	8.1%	0.6%	0.7%	39.9%	6.1%	11.0%	11.2%

Sorting Level	Organization	Item	Item Text	Item Respondents N	Alternative Work Schedules %	Health and Wellness Programs %	Employee Assistance Program - EAP %	Child Care Programs %	Elder Care Programs %	None Listed %
Gwide	Governmentwide	Q80	Which of the following Work-Life programs have you participated in or used at your agency within the last 12 months? (Mark all that apply):	577,815	45.1%	27.7%	7.0%	3.2%	0.4%	39.5%
Agency	Department of State	Q80	Which of the following Work-Life programs have you participated in or used at your agency within the last 12 months? (Mark all that apply):	8,925	19.7%	33.0%	5.4%	5.8%	1.1%	50.6%