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# **International Aid Transparency Initiative (IATI) Cost Management Plan**

**June 2015**

*Updated 7/14/15*

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## EXECUTIVE SUMMARY

In November 2011, the United States became a signatory to the [International Aid Transparency Initiative](#) (IATI). IATI developed a standard for publishing foreign assistance spending data that allows for comparison across publishers. [Publish What You Fund](#) (PWYF), a United Kingdom-based nongovernmental organization advocating for greater aid transparency, assesses 60+ bilateral and multilateral donors' overall commitment to aid transparency and the information they publish in an annual Aid Transparency Index (ATI). In 2014, USAID ranked 31st out of 68 donors and was at the bottom of the "Fair" category.

USAID stood up a small, technical working group to produce a cost management plan (CMP) in order to improve its reporting to IATI and, thereby, improve the Agency's score in the ATI. The plan elaborates on the necessary requirements (for example, political movement/discussions, technical work, system upgrades) and estimated timeline for implementation to advance in these areas. Recognizing the level of effort involved with the improvements varies greatly, the CMP outlines a four-phased approach.

The first phase identifies the immediate gains and quick wins that USAID can achieve under the current reporting structure with minimal effort and existing resources. USAID would report against an additional 15 IATI indicators, which is estimated to increase the Agency's 2015 ATI score by over 20 points. USAID could accomplish the level of effort for Phase One with existing resources and, therefore, completed it in April 2015.

Phases Two, Three, and Four outline amendments to the current reporting structure to streamline and further institutionalize USAID's quarterly reporting process to [ForeignAssistance.gov](#) and IATI. In these phases, USAID would report against an additional 18 IATI data elements, representing an estimated 16-point gain on PWYF's ATI. These phases also identify the addition of several data elements that USAID would pull from various systems.

Phase Two will establish a direct data pull from various corporate systems, allowing USAID to process its IATI data in a database as opposed to Excel spreadsheets. This will reduce the time required to generate IATI data as well as possible errors. It will also pull data elements into IATI from existing data sources which are deemed to be low level of effort, like qualitative information from the Development Experience Clearinghouse (DEC) and Operational Plans (OP). This will increase USAID's ATI score by approximately eight points; however, it will require additional short-term staff and ongoing support from current USAID staff.

Phase Three will eliminate the manual sharing of spreadsheets during the redaction process. USAID would pull additional IATI elements from other systems, which may be more difficult to extract, into the dataset. This will improve USAID's ATI score by approximately three points. Additionally, USAID will begin reporting IATI data directly in the required XML format, to ensure more timely publication of data.

Finally, Phase Four will put USAID in maximum compliance with IATI reporting to the extent allowed by U.S. federal law and regulation. Phase Four proposes either changes to existing upstream data systems or the publication of data gathered through the Development Information Solution (DIS), a new USAID solution that is in the planning phase.

In addition to the information cataloged by PWYF's ATI, to fully comply with the greater IATI standard, to the extent allowed by U.S. federal law and regulation, USAID needs to provide data beyond the categories assessed by the ATI to be fully compliant with the IATI standard.

**Note: In June 2015, the USAID Acting Administrator approved phases one, two and three of the cost management plan, and deferred phase four pending further development of USAID's new Development Information Solution (DIS).**

# OVERVIEW

## I. Introduction

In November 2011, the United States became a signatory to the [International Aid Transparency Initiative](#) (IATI). IATI is a voluntary, multi-stakeholder initiative that includes donors, partner countries, and civil society organizations whose aim is to make information about foreign aid spending easier to access, use, and understand. The IATI Standard is a two-pronged technical publishing framework that allows data to be compared across a variety of publishers and requires the publication of data about both the organization (Organization Standard) and the development cooperation activities carried out by the organization (Activity Standard). Late in 2012, the U.S. Government published its IATI implementation schedule and first IATI-compliant data files, which included a timetable and frequency of data publication as well as an overview of the types of data to be published.

In July 2013, USAID became the first U.S. Government agency to report detailed transaction-level data to [Foreign Assistance.gov](#) (FA.gov). Since then, after the close of each quarter, USAID pulls relevant information from its corporate systems of record (Phoenix, the Agency's accounting system and GLAAS, the Agency's procurement system) into an Excel spreadsheet. Each quarter, the spreadsheet is shared with all USAID bureaus and independent offices who review the information and request sensitive information be redacted in accordance with the principled exceptions specified in the [Office of Management and Budget's \(OMB\) Bulletin 12-01](#). After the necessary redactions are incorporated, the data are passed for publication to the Department of State's Office of U.S. Foreign Assistance Resources (State/F), which manages FA.gov. Through the FA.gov website, the U.S. Government implements a whole-of-government approach to reporting IATI data by submitting a unified report from all U.S. agencies that manage and/or implement a foreign assistance portfolio. Agencies submit data to FA.gov in accordance with the OMB Bulletin 12-01, which outlines all required data fields needed to satisfy multiple U.S. reporting requirements, including IATI.

[Publish What You Fund](#) (PWYF), a United Kingdom-based nongovernmental organization advocating for greater aid transparency, assesses 60+ bilateral and multilateral donors' overall commitment to aid transparency and the information they publish in an annual [Aid Transparency Index](#) (ATI). The scoring for the ATI takes into account the format in which the data are provided, accessibility and comparability of the information, and publishing consistency. (For example, data found in PDFs score lower than data published in machine readable formats and data published quarterly score higher than data published annually). Only information published to the IATI standard can score 100 percent. Therefore, the ATI is a good indicator of IATI compliance, noting that it does not assess reporting of every IATI element. In 2014, USAID ranked 31<sup>st</sup> out of 68 donors in the ATI and was at the bottom of the "Fair" category (scoring 5.47 out of 10 points for commitment to aid transparency, 7.32 out of 25 points for the organization level indicators, and 27.52 out of 65 points for the activity level indicators).

USAID has committed to fully comply with the greater IATI standard to the extent permitted by U.S. federal law and regulation. Therefore, USAID needs to provide data beyond the fields assessed by PWYF's ATI in order to reach maximum compliance. An examination of the complete IATI standard yields 67 total data elements which USAID would have to report against in order to be 100 percent compliant. Not all of those 67 data elements apply to the types of funding provided or the business processes used by USAID, and some fall outside the scope of USAID authority. USAID is currently publishing 21 of the 67 (31 percent) data elements which make up the complete IATI standard.

In the latest version of [USAID Open Government Plan](#), version 3.0 released in June 2014, USAID committed to “investigate the costs of fulfilling additional IATI reporting requirements and publish a cost management plan which elaborates the findings.” In response, USAID stood up a small, technical working group to produce the IATI Cost Management Plan (CMP). The plan outlines a four-phased approach to fulfill USAID’s IATI commitments, elaborating on the necessary requirements (for example, political movement/discussions, technical work, system upgrades) and estimated timeline for implementation.

## **II. Objectives of the CMP**

- To the extent possible, fully comply with FA.gov reporting requirements elaborated in OMB Bulletin 12-01;
- Streamline and institutionalize USAID’s quarterly redaction and reporting process to FA.gov and IATI, to improve data quality and efficiency;
- Comply with and improve USAID’s reporting and compliance with the IATI standard and advance aid transparency commitments made at the Fourth High Level Forum on Aid Effectiveness (HLF-4, November 29 - December 1, 2011) in Busan, Korea; and
- Increase USAID’s ranking in PWYF’s annual ATI.

## **III. Methodology**

To fulfill the overall objectives, the working group first assessed USAID’s current reporting to FA.gov and IATI, including USAID’s individual element scores in PWYF’s 2014 ATI. Next, the working group identified reporting gaps and explored the feasibility and complexity of reporting on each additional FA.gov and IATI element. The working group identified and discussed all areas of possible improvement, and conducted an informal cost-benefit analysis that weighed the level of complexity against expected results. Recognizing that the level of effort involved with the improvements varies greatly, the CMP outlines a four-phased approach.

The first phase identifies the immediate gains and quick wins that USAID can achieve under the current reporting structure with minimal effort. Phases Two, Three, and Four outline amendments to the current reporting structure to streamline and further institutionalize USAID’s quarterly reporting process to FA.gov and IATI. It also identifies the addition of several data elements to be pulled from various USAID systems, and includes a section that explains which data fields USAID is unable to report against and why, with suggestions for the way forward. To see the complete IATI data element disposition, see Annex 1. Additionally, a full list of definitions and status of indicators can be found in Annex 2.

Phase Two will establish a direct data pull from various corporate systems, whereby USAID will not process its IATI data in spreadsheets but in a database. This will reduce the time required to generate IATI data and will reduce the likelihood of errors. The database will also pull data elements into IATI from existing data sources which are deemed to be low level of effort, like qualitative information from the Development Experience Clearinghouse (DEC) and Operational Plans (OP). This will increase USAID’s ATI score by approximately eight points.

Phase three will eliminate the manual sharing of spreadsheets during the data redaction process. Additionally, USAID would pull additional IATI elements from other systems, which may be more difficult to extract, into the data set. This will improve USAID’s ATI score by more than five points. USAID will also begin reporting IATI data directly in the required XML format, to ensure more timely publication of data.

Finally, Phase Four will put USAID in maximum compliance in IATI reporting. Phase Four proposes either changes to existing upstream data systems or the publication of data gathered through the Development Information Solution (DIS), a new USAID solution that is in the planning phase.

#### IV. Overview of Phases

<b>Phase One - Immediate Gains, Completed in April 2015 - <i>Approved</i></b>	
Objectives	<ul style="list-style-type: none"> <li>• Add or improve data for 15 IATI indicators</li> <li>• Increase USAID’s PWYF’s ATI score by 20+ points</li> <li>• Report against 54 percent of IATI data elements</li> </ul>
Level of Effort (LOE)	<ul style="list-style-type: none"> <li>• Completed with existing resources</li> </ul>
<b>Phase Two - Establish Direct Data Pull - <i>Approved</i></b>	
Objectives	<ul style="list-style-type: none"> <li>• Add or improve data for seven indicators</li> <li>• Move IATI data processing from spreadsheets into a database</li> <li>• Populate IATI elements from existing data sources which are low LOE</li> <li>• Reduce time required to generate IATI data</li> <li>• Increase USAID’s PWYF ATI score by more than eight points</li> <li>• Report against 64 percent of IATI data elements</li> </ul>
LOE	<ul style="list-style-type: none"> <li>• Additional short-term staff</li> <li>• Ongoing and continuing support from USAID staff</li> </ul>
<b>Phase Three - Manage Redactions - <i>Approved</i></b>	
Objectives	<ul style="list-style-type: none"> <li>• Add or improve data for four indicators</li> <li>• Manage and track data redaction process via browser, eliminating spreadsheets</li> <li>• Populate IATI elements from additional systems which do not require process changes</li> <li>• Utilize State/F’s XML schema for publishing to FA.gov</li> <li>• Increase USAID’s PWYF ATI score by more than three points</li> <li>• Report against 70 percent of IATI data elements</li> </ul>
LOE	<ul style="list-style-type: none"> <li>• Additional short-term staff</li> <li>• Ongoing and continuing support from USAID staff</li> <li>• Additional training for points of contact who review quarterly data</li> </ul>
<b>Phase Four - Reach IATI Targets - <i>Deferred</i></b>	
Objectives	<ul style="list-style-type: none"> <li>• Add or improve data for seven indicators</li> <li>• Modify source systems and processes to provide more comprehensive data</li> <li>• Provide process/policy guidance in data input procedures</li> <li>• Publish data more frequently and in a more timely manner</li> <li>• Increase USAID’s PWYF ATI score by more than five points</li> <li>• Report against 81 percent of IATI data elements</li> </ul>

LOE	<ul style="list-style-type: none"> <li>• Additional short-term staff</li> <li>• Ongoing and continuing support from USAID staff</li> </ul>
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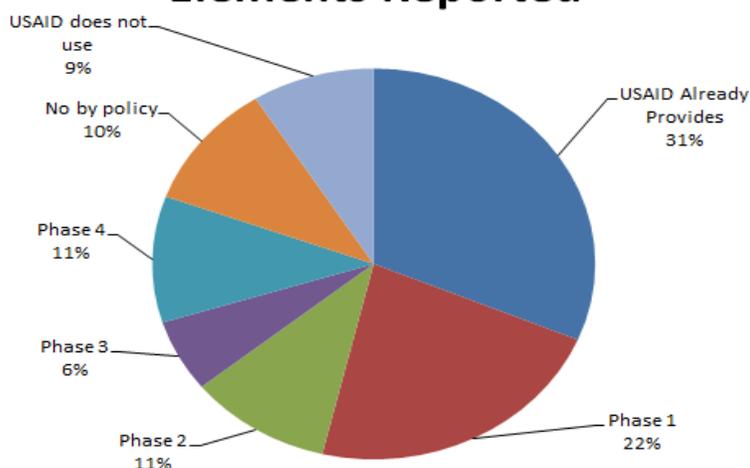
## V. IATI Compliance

The IATI working group determined through analysis and outlined in the [Further Challenges](#) section, that U.S. Government federal laws and regulations and USAID’s business model and policy prevent USAID from publishing 100 percent of the data elements which make up the IATI standard. The four-phased plan outlined in this document will result in USAID publishing an estimated 81 percent of the data elements in the IATI standard. The CMP outlines further challenges, including addressing the remaining 19 percent of IATI data elements and data quality issues that are not included in the quantified results. The following table lays out the path to maximum compliance for USAID:

Category	% IATI Elements	% IATI Elements Cumulative	# of IATI Elements	Points to Gain: PWYF’s ATI
USAID already provides	31%	31%	21	
Included in Phase One – <i>Approved</i>	22%	54%	16	20
Included in Phase Two – <i>Approved</i>	11%	64%	7	8
Included in Phase Three – <i>Approved</i>	6%	70%	4	3
Included in Phase Four – <i>Deferred</i>	11%	81%	8	5
Will not provide by policy	10%		7	12
USAID doesn't use	9%		6	8
<b>Total</b>	<b>100%<sup>1</sup></b>		<b>69</b>	

<sup>1</sup> Does not total to 100 percent due to rounding.

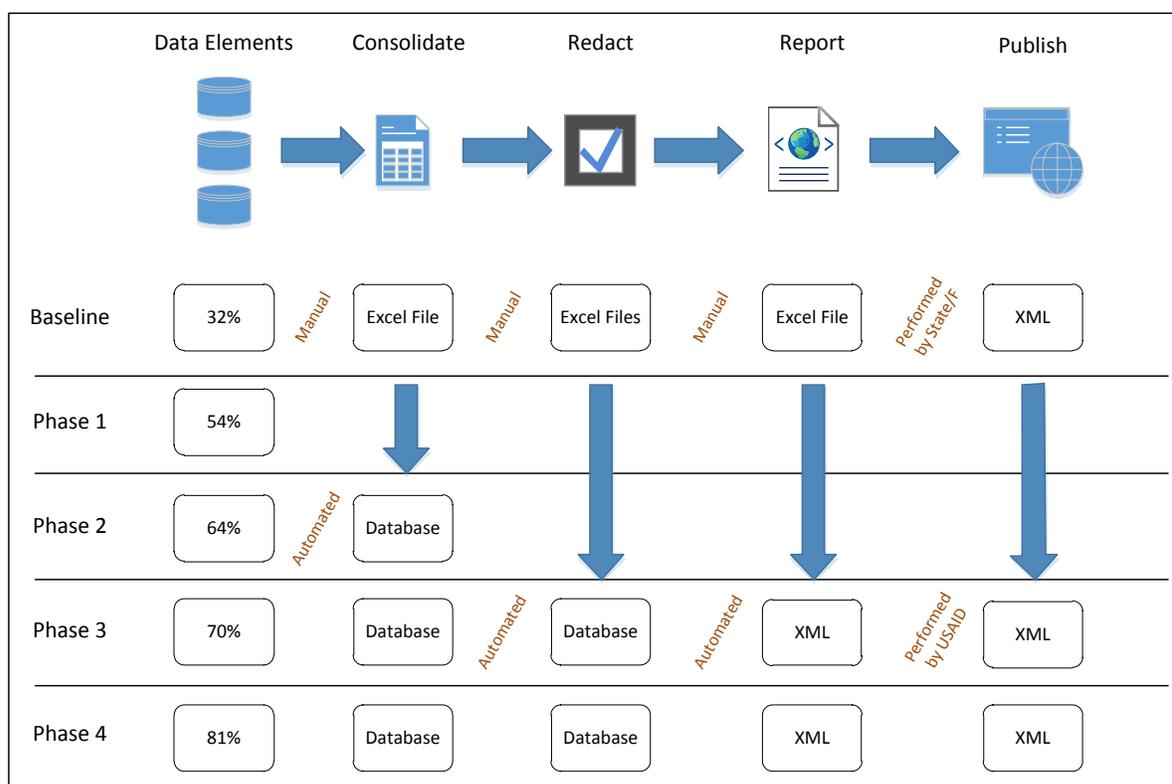
## IATI Compliance: Data Elements Reported



The CMP identifies a comprehensive four-phased approach to improving USAID’s reporting of publicly accessible data in the IATI format. Each phase increases in complexity, with the final phase including the maximum amount of data USAID can possibly provide without significant policy changes and subject to federal laws and regulations.

In order to maximize positive impact, the working group focused on the PWYF ATI indicators as the highest priority. This enabled the team to identify the indicators that USAID could address quickly to significantly improve its 2015 ATI score. The working group then worked through all elements of both the IATI Organization Standard and the IATI Activity Standard. The table below provides an overview of the process management changes for the four phases.

**Note: In June 2015, the USAID Acting Administrator approved phases one, two and three of the cost management plan, and deferred phase four pending further development of USAID’s new Development Information Solution (DIS).**



For more information on the current USAID IATI publishing and redaction processes, see Annex 3. For additional diagrams and more detail of the four-phased approach, see Annex 4.

## Phase One: Immediate Gains - *Approved*

### A. Objectives

- Add or improve the data reported for 15 IATI elements/indicators, representing 54 percent of the total;
- Identify easily accessible or collectable data which provide high value for low LOE;
- Augment existing spreadsheets to include the new data; and
- Increase USAID's 2015 PWYF's ATI score by +20 points.

### B. Description of Changes (See Diagram in Annex 4 for visualization of Phase One.)

- Add links to official agency documents in IATI Organization file. Provide an additional spreadsheet and work with State/F to incorporate the links into USAID's IATI XML output.
- Add three additional fields in the IATI Activity file by writing additional coding: Conditions, Current Status, and DAC Sector Code.
- Add one additional field in the IATI Activity file to include the total estimated cost (TEC) of each award. USAID will pull the TEC from corporate systems and provide it in the data set each quarter.
- The redaction and overall reporting process remains relatively unchanged.

### C. Estimated Improvement

In the tables below, the “points to gain” column represents the points that USAID expects to gain in PWYF’s ATI overall score. The points gained do not represent the number of spots that USAID will improve in the ATI ranking. Improvement in overall rank is hard to predict quantitatively because it is relative to other donors’ movements in the ranking and the possibility of unforeseen changes to the Index’s methodology.

### Additions to IATI Organization File

The IATI Organization file includes *forward-looking aggregate budget* information for the reporting organizations, and planned future budgets to recipient institutions or countries as well as links to relevant public documents. Currently, USAID and the Department of State have a combined budget, and therefore, must report at an aggregate level based on the information contained in the Congressional Budget Justification (CBJ). However, the file does not contain any links to other documents. By providing links to the following documents in our IATI Organization file and correcting a few technical glitches, USAID’s PWYF ATI score is expected to increase by the amounts shown accordingly.

Indicator Name	Field Contents	Points to Gain in PWYF’s ATI
Allocation Policy	Web links to Congressional Budget Justification (CBJ)	1.25
Annual Report	Web links to Agency Performance Report and Agency Annual Letter	1.25
Audit	Web link to Agency Financial Report	2.09
Country Strategy <sup>2</sup>	Web links to Country Development Cooperation Strategies (CDCS)	2.50
Disaggregated Budget by Recipient Country, Future year 1	Due to two errors in the XML output, USAID is not receiving full credit for the information currently reported. Once corrected, USAID expects to receive ⅓ of the total possible points due to only having one of three years of forward-looking budget data.	1.5
Organization Strategy	Web links to Quadrennial Diplomacy and Development Review (QDDR), the FY 2014-2017 USAID and Department of State Strategic Plan, Agency Performance Plan, and Agency Priority Goals	1.25
Procurement	Web link to USAID’s Automated Directive System (ADS) and Agency Acquisition and Assistance (A&A) Planning Functional Series, Chapter 300	1.25
Total Organization Budget, Future year 1	Due to an error in the XML output, USAID is not receiving full credit for the information currently reported. Once corrected, USAID expects to receive ⅓ of the total possible points due to only having one of three years of	1.5

<sup>2</sup> Because USAID does not currently have a CDCS for every country, full credit may not be given for this field in the 2015 ATI.

Indicator Name	Field Contents	Points to Gain in PWYF's ATI
	forward-looking budget data.	

### Additions to IATI Activity File

The following fields are requested in the IATI Activity standard and have not been published to date by USAID. USAID can move to publish when the following business rules, assumptions, and/or the provision of additional data are applied.

Indicator Name	Field Contents	Points to Gain in PWYF's ATI
Conditions	The Conditions field identifies the type of conditions attached to a project or activity. This field has a yes or no value stating whether conditions are attached to the activity. USAID does not attach explicit conditions to its activities. USAID will take a liberal interpretation of this field, and hard code this field to always be "no" with the exception of government-to-government (G2G) transactions, which will remain blank.	4.33
Activity/Current Status	This field provides users with "stage" of the activity. Pre-defined field values are pipeline, implementation, completion, post-completion, or cancelled. USAID does not have this information readily available in its corporate systems. However, although not perfect, business rules can be established and hard-coded to populate this field as follows: (1) if the reporting date is before the project start date, then "pipeline"; (2) if the reporting date falls between the project start and end dates, then "implementation"; (3) if the reporting date is after the project end date, then "completion".	1.63
DAC Sector Code	This field provides users with the five-digit sector classification (i.e. "purpose") code used by the Organization for Economic Cooperation and Development's (OECD) Development Assistance Committee (DAC). USAID does not have this information readily available in its corporate systems. However, a sector mapping was established using Program Elements and hard-coded to populate this field.	0 (IATI requirement not scored by PWYF)
Total Estimated Cost	USAID will pull the Total Estimated Cost (TEC) field housed in GLAAS to populate this field. USAID will add it to the data provided to FA.gov and passed onto IATI.  IATI defines Total Activity Budget as "the value of the aid activity's budget for each financial year as in the original project document," and the TEC was identified as the closest approximation for this indicator.  A notation will be included in the data set that states that	0 (IATI requirement not scored by PWYF)

Indicator Name	Field Contents	Points to Gain in PWYF's ATI
	<p>the TEC is not just limited to individual financial/fiscal years. It covers the life of the award.</p> <p>The TEC will be included in the U.S. Government IATI extension because it is not a required IATI field.</p>	

Currently, four data fields that USAID includes in its reporting to FA.gov are either not being published in the IATI format or are only receiving partial credit in PWYF's ATI.

Indicator Name	Field Contents	Points to Gain in PWYF's ATI
Collaboration Type	USAID currently provides Collaboration Type in the data it reports to FA.gov. State/F has committed to providing this field in the IATI format.	1.86
Aid Type/Aid Type Code	USAID currently provides Aid Type, Flow Type, and Finance Type in the data it reports to FA.gov. However, the data were only published to IATI as the hierarchy 1 level (country) and not provided at the activity level, resulting in only partial credit in PWYF's ATI. State/F has committed to providing these fields at the activity level.	.93
Flow Type		.47
Finance Type		.93

**D. Assumptions**

- The joint Department of State/USAID organization file includes links to official USAID documents;
- Business rules for Conditions, Current Status, and DAC Sector Code are implemented;
- State/F accepts additional data and publishes to the IATI XML schema; and
- State/F adds dates and country codes in the organization file.

**E. Level of Effort**

USAID can implement Phase One with current Agency resources with relatively minimal additional level of effort.

**F. Estimated Cost**

USAID can implement Phase One with existing resources.

**G. Timeline**

Completed in April 2015. USAID included all changes and additional data elements for Phase One in its FY 2015 quarter two data to FA.gov in order to be taken into account in the 2015 PWYF's ATI (the deadline for which was set as 1 June 2015).

**Phase Two: Direct Data Pull Established - *Approved***

**A. Objectives**

- Add or improve the data reported for seven IATI elements/indicators, representing 64 percent of the total;
- Move IATI data processing from spreadsheets into a database used for staging existing IATI data;
  - Spreadsheets are no longer used to assemble the IATI data;
  - Make direct pulls from existing data sources, so that USAID does not have to run a query to initiate the process;
- Create direct feeds from source data systems for new IATI data elements;
- Include existing data from additional sources which are low level of effort in IATI reporting;
  - Add data not currently included but that can be mined from other USAID systems without transformation or significant systems process changes, such as the Development Experience Clearinghouse (DEC) and FACTS Info/Operational Plans;
  - Add new computed fields Disbursement Channel and Activity Scope to the database and export;
  - Work with State/F to accept additional data via spreadsheet and augment IATI XML files;
- Reduce time required to generate IATI data;
  - USAID staff manage the IATI data directly in the database and not in spreadsheets;
  - Pull output spreadsheets for redaction from the database directly;
- Improve the quality and descriptiveness of award titles and descriptions by augmenting existing data with data from Operational Plans using FACTS Info; and
- Increase USAID’s PWYF ATI score by more than eight points.

**B. Description of Changes** (See Diagram in Annex 4 for visualization of Phase Two.)

- Instead of sending spreadsheets around to assemble the IATI data, USAID staff will have a database from which they can extract the data directly from the source systems, such as Phoenix, GLAAS, FACTS Info, and the Development Experience Clearinghouse. USAID will create a browser-based tool to allow data management in the database directly, including the changing of links, updating mapping files, and adding/modifying additional data.
- Pending a data quality assessment, add two additional fields in the IATI Activity file to provide activity titles and descriptions in recipient languages. USAID will provide language translations of activity titles and descriptions for manual inclusion.

**C. Estimated Improvement**

Indicator Name	Field Contents	Points to Gain in PWYF’s ATI
Evaluations	USAID evaluations are found on the DEC website. In Phase Two, USAID will link evaluations on the DEC to IATI activity data with the award number and add the link into the FA.gov/IATI data.	1.09
Impact Appraisals	Pre-project impact appraisals explain the totality of positive and negative primary and secondary effects expected to be produced by a development intervention. Environmental impact assessments as well as impact assessments which explain what objectives the project itself intends to provide are accepted. Impact Appraisals are listed as Evaluations in the DEC.	4.33

Indicator Name	Field Contents	Points to Gain in PWFY's ATI
Annual Activity Budget	Total estimated annual allocation for implementing mechanism. This information is contained in USAID Operational Plans and can be downloaded from FACTS Info.	3.25
Activity Titles in Recipient Language	USAID will use Google Translate to provide translated activity titles in recipient language. Pending an assessment of data quality, USAID will manually add these data to the file prior to submission to State/F each quarter. Google Translate will likely result in an imperfect translation. This is an interim solution that USAID will strategically address in Phase Four.	0 (IATI requirement not scored by PWYF)
Activity Description in Recipient Language	USAID will use Google Translate to provide translated activity descriptions in recipient language. Pending an assessment of data quality, USAID will manually add these data to the file prior to submission to State/F each quarter. Google Translate will likely result in an imperfect translation. This is an interim solution that USAID will strategically address in Phase Four.	0 (IATI requirement not scored by PWYF)
Activity Scope	This is a computed field based on data USAID already pulls from source systems. The possible values for the field are: regional, national and/or subnational, etc.	0 (IATI requirement not scored by PWYF)
Disbursement Channel	This is a computed field based on data USAID already pulls from source systems. Possible values are 1-4 based on the distribution method for funds.	0 (IATI requirement not scored by PWYF)

#### **D. Assumptions**

- USAID can utilize an existing database or create a new one to act as a database for assembly of IATI data;
- The existing database must be reviewed and approved for compliance by USAID, as necessary;
- Evaluations and Impact Appraisals from DEC are obtained and linked to the activity;
- USAID obtains access to FACTS Info and the agreed data fields from USAID-only Implementing Mechanisms from the Operational Plans; and
- Resources will be allocated for a database developer and database administrator to create links to data sources and a web developer to create a front end to eliminate spreadsheets for the duration of Phase Two.

#### **E. Level of Effort**

This phase will require additional short-term staff. USAID staff will be involved in their regular capacity.

#### **F. Timeline**

Once engaged, short-term staff should be able to complete in approximately four months, pending access to necessary resources. The ramp up time for new resources, contracting, and security clearance may be significant.

### Phase Three: Redaction Management - *Approved*

#### A. Objectives

- Add or improve the data reported for four IATI elements/indicators, representing 70 percent of the total;
- Manage and track redaction process via secure browser;
  - Eliminate the manual sharing of spreadsheets from the redaction process, which are prone to error;
  - Provide USAID data reviewers with a web interface for redaction requests;
- Add IATI data elements from more systems, such as [map.usaid.gov](http://map.usaid.gov);
- Add data from source systems which may require transformation or are more difficult to extract;
- Utilize State/F’s XML schema for direct publishing to FA.gov; and
- Increase USAID’s PWYF ATI score by three points.

#### B. Description of Changes (See Diagram in Annex 4 for visualization of Phase Three.)

Reviewers request and approve redactions via a web interface, and not with spreadsheets. This enables USAID to audit changes to the redaction rules and track reviewers who are delinquent. USAID begins to report data in IATI schema used by State/F.

#### C. Estimated Improvement

Indicator Name	Field Contents	Points to Gain in PWYF’s ATI
Sub-National Geographic Data	<p>The sub-national geographic location is information about where the activity is located within a country. This may be a province or city, or it could be geo-coded (the precise longitude and latitude is published). It needs to be stated separately and explicitly.</p> <p>For activities that are relevant at a country or regional level, information on the location to where the funds are sent will be accepted for this indicator. For example, capital city for a country, or location information of the implementing organization. This includes private sector investment, loans or debt relief payments, where the location of the relevant bank or organization is accepted.</p> <p>Activity is tied to sub-country geographic level (text) based on data extracted from map.usaid.gov.</p>	.62
Objectives	The objectives or purpose of the activity are those that the activity intends to achieve. The objectives need to include the detailed description of the activity, the target sector/group, and expected outcomes. USAID can retrieve these objectives from AIDtracker.	2.17

Indicator Name	Field Contents	Points to Gain in PWYF's ATI
Contact Details	USAID currently publishes contacts at USAID/Washington for all transactions. In Phase Three, the contact details will include mission websites or operational units.	0 (IATI requirement not scored by PWYF)
Activity Website	Currently this field, which PWYF does not track, is just a link to the FA.gov. This could contain links to mission websites or project websites which USAID would have to gather manually.	0 (IATI requirement not scored by PWYF)

**D. Assumptions**

- AIDtracker data, used by [map.usaid.gov](http://map.usaid.gov), will provide subnational information for an activity;
- Work is undertaken to provide more specific contact details and activity websites;
- USAID develops and maintains the capability to produce XML reporting; and
- USAID develops a web-based interface to manage the redaction process and trains POCs on the new interface.

**E. Level of Effort**

This phase will require additional web and database development in order for data reviewers to review the data and make requests for redaction via a secure web interface. USAID estimates the web development to take approximately 10 weeks in total to solicit and incorporate sufficient user input, conduct proper testing, and make any enhancements needed to database. Once developed, data reviewers will need sufficient training on the new system prior to rollout to ensure a smooth transition period and to uphold the objective of improved data quality. USAID staff would be involved in their regular capacity, as well as additional short-term staff.

**F. Timeline**

Once engaged, short-term staff should be able to complete Phase Three in approximately four months. The ramp up time for new resources, contracting, and security clearance may be significant.

**Phase Four: Maximum Compliance - *Deferred***

**A. Objectives**

- Add or improve the data reported for seven IATI elements/indicators, representing 81 percent of the total;
- Modify source systems and processes to provide more comprehensive data;
- Provide process guidance on data input procedures;
- Publish data more frequently and in a more timely manner; and
- Increase USAID's PWYF ATI score by more than five points.

**B. Description of Changes** (See Diagram in Annex 4 for visualization of Phase Four.)

- USAID will be technically capable of publishing monthly.
- USAID makes changes to upstream systems.
- Pull in Language Activity titles and descriptions from upstream system rather than using Google Translate.

Process Name	Description of Change	LOE
Alter either AIDtracker, GLAAS, or FACTS Info to include in-language titles and descriptions	Depending on which system is used as the source system for Activity titles and descriptions going forward (AIDtracker, GLAAS, or the Operational Plan [OP] in FACTS Info) the source system will need to have three new fields added for language title, language description, and language used. This process change would replace the use of Google Translate, as proposed in Phase Two.	Med
Ensure mission personnel are entering Latitude/Longitude coordinates	As this information will now be published to IATI, the absence of geospatial data of the activity will be more noticeable. Currently the information in AIDtracker, which powers map.usaid.gov, is not being regularly updated by mission personnel. This is causing data quality issues in both systems. Additionally, AIDtracker only has subnational text (for example, names of towns). The inclusion of exact geocoded coordinates will make the data more detailed. This information may need to be redacted during the review process. This process change would replace/augment the use of Aid Tracker to provide subnational information, as is proposed in Phase Three.	Hard
Include a link to the Tender in ASIST after it is posted to FedBizOpps	Currently, USAID is only scoring 50 percent for this indicator as the information is publicly posted to <a href="#">FedBizOpps</a> , but it is not available in the IATI format. USAID could improve its score on this indicator if after the tender is loaded into FedBizOpps, a link to the URL of the document on FedBizOpps is loaded back into ASIST along with the dates that the Tender is valid. Information from FedBizOpps cannot be automatically read, so users must enter a link when it becomes available.	Med
Gather results in AIDtracker	As part of DIS, results will be tracked as part of the results framework of the program cycle. This information, once captured in DIS, will need to be extracted and loaded into the IATI database for possible redaction and subsequent publishing in the XML schema.	Med
Gather indicator information from AIDtracker or DIS	The indicator(s) used to measure the results. There can be multiple indicators for each result. This is an extension of results reporting.	Med
Gather policy markers in AIDtracker or GLAAS	There are nine different policy markers to note policy or cross-cutting theme addressed by the activity. This element is a reporting requirement of the OECD/DAC Creditor Reporting System (CRS) that was adopted by IATI. These markers will need to be incorporated into AIDtracker or GLAAS. The nine policy markers are: Gender Equality; Aid to Environment; Participatory Development/Good Governance; Trade Development; Aid Targeting the Objectives of the Convention on Biological Diversity; Aid Targeting the Objectives of the Framework Convention on Climate Change - Mitigation; Aid Targeting the Objectives of the Framework Convention on Climate Change - Adaptation; Aid Targeting the Objectives of the Convention to Combat Desertification; and Reproductive, Maternal, Newborn and Child Health (RMNCH).	Hard
Gather information for "other flags" in AIDtracker or GLAAS	This field covers not only reporting of the terms of loans (which USAID no longer provides) but also four of OECD/DAC's CRS fields: "Free-standing Technical Cooperation", "Program-based Approach", "Investment Project" and "Associated Financing" which are used to tag relevant activities as such.	Med

### C. Estimated Improvement

Indicator Name	Field Contents	Points to Gain in PWYF's ATI
Tenders	Needs to be a specific URL for the activity from FedBizOpps. Tenders are the individual contracts or proposals that have been put out to invite bids from companies or organizations that want to provide goods and services for an activity. They may be on a separate website, possibly on a central government procurement website.	1.09
Results	<p>The results show whether activities achieved their intended outputs in accordance with the stated goals or plans. This information often refers to logical frameworks and results chains and may be within a specific results or evaluation section of the organization's website.</p> <p>Both current and completed activities are considered for this indicator. If the activity is ongoing, then the expected results should be available. If the activity has ended then the actual results should be available within 12 months of ending.</p> <p>Results come from AIDtracker as part of the results framework. A larger number of data fields need to be published to make results available including baselines, targets, and actuals.</p>	4.33
Indicators	The indicator(s) used to track results.	0 (An IATI data element not tracked by PWYF ATI)
Policy Markers	This is a set of codes which flag the policy or cross-cutting theme associated with each activity. Currently being done manually ex-post and reported on the OECD/DAC. Requires GLAAS changes to complete.	0 (An IATI data element not tracked by PWYF ATI)
In-language activity titles and descriptions	USAID will need to update AIDtracker, GLAAS or perhaps OPs to allow for in-language activity titles and descriptions.	0 (An IATI data element not tracked by PWYF ATI)
Geographic Exactness	Geocoded data will provide latitude and longitude lines to provide the exact coordinates of activities.	0 (An IATI data element not tracked by PWYF ATI)
Other flags	Assignment of flags that indicate an activity is in support of "Free-standing Technical Cooperation", "Program-based Approach", "Investment Project" and/or "Associated Financing".	0 (An IATI data element not tracked by PWYF ATI)
Related Activity	A reported IATI activity that is related to another reported IATI activity. The 'type' attribute describes the type of relationship: e.g., parent, child, multifunded. This field may apply to USAID once a project management system is established that can, for	0 (An IATI data element not tracked by PWYF ATI)

	example, associate multiple activities to one intermediate result, strategic objectives, etc.	
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**D. Assumptions**

- USAID processes and upstream systems can be changed and modified to facilitate IATI compliance or proposed changes can be incorporated into DIS implementation;
- Policy guidance and instructions are developed and circulated to USAID staff worldwide to describe process changes and additional variables; and
- USAID staff worldwide modify data entry processes to capture new pieces of data.

Phase Four has more significant risks and unknowns than earlier phases. USAID identified AIDtracker as the target system for programmatic and qualitative data, but the Agency has not rolled out AIDtracker to all missions and bureaus. Also, AIDtracker modifications (including the in language titles) will be prioritized against other DIS objectives and may take longer to implement. The completeness of the data provided to IATI will be dependent upon AIDtracker and/or DIS rollout. Similarly, capturing complete tender data depends on how well USAID implements the required process changes.

**E. Level of Effort**

This phase will take at least five months for development, plus any additional level of effort for GLAAS and OP updates by business owners. This may require changes in source systems and process. As an example, GLAAS and/or AIDtracker may need to be modified to add a field to store the title of the activity in the native language.

**F. Timeline**

The expected duration of Phase Four is 6-9 months. Development can begin after Phase Two, and the updated training and processes will take several months to fully implement. Furthermore, Phase Four is reliant on information collected through AIDtracker/DIS, so timing of data availability will be dependent on AIDtracker and DIS roll-out/implementation.

**FURTHER CHALLENGES**

**I. Data Quality**

USAID chartered the IATI working group to determine how to bring USAID into maximum compliance with the IATI standard, to the extent allowed by U.S. laws and regulations, and to increase USAID’s scoring in the PWYF ATI. The IATI working group did not substantively investigate the quality of the data that USAID is publishing, only the quantity of data (number of elements reported).

The quality of USAID’s IATI data continues to be an issue. The IATI working group recommends the creation of subsequent working group centered around improving USAID’s IATI data quality. Working in conjunction with several other ongoing initiatives, this group would use reports and analysis to make recommendations to improve the quality of USAID data.

**II. Future Changes to IATI Standard**

USAID represents the U.S. Government on the IATI Steering Committee. The IATI Standard is always being reviewed and modified. For example, the IATI Standard may be modified in the near term to include two new elements: County Budget information and Capital Spend Percentage. As they are not

part of the current IATI Standard, the working group did not investigate the cost of reporting these data elements; however, neither would be easy for USAID to provide. Other data elements may be added during the duration of Phases Two through Four, resulting in changes in scope.

The IATI working group recommends that, when the IATI standard changes, the working group should reconvene to address those changes in a separate plan.

### III. Items USAID does not have and consequently cannot be published in IATI

These PWYF ATI categories rate documents or information that is not relevant to USAID’s business processes. USAID will continue to raise objections to their inclusion in the ATI.

PWYF ATI Category	XML File	Fields Contents	Points to Gain: PWYF’s ATI
Memorandum of Understanding (MOU)	Activity	A Memorandum of Understanding (MOU) is a document which details the agreement usually between the organization and recipient government for the provision of aid in the country. Some organizations do not sign MOUs, so jointly developed documents governing the relationship between the organization and the recipient are accepted as equivalent. (For example, investment codes or partnership/country agreements that have been developed in conjunction with recipient governments, agreements with implementing partners or with grantees.) USAID generally does not sign MOUs with recipient governments nor does it do so to guide project implementation. MOUs are generally not legally binding documents. USAID could investigate the possibility of making SOAGs/DOAGs public, but they are not applicable at the project/activity level.	2.17
Budget Documents	Activity	This is a specific budget detailing what the intended spending is for the different lines of the individual activity. It is often a document published on the organization’s website. Budget documents cannot simply be at the country level. If an activity budget is included in a larger country-level document, it is only accepted if the budget for the activity is broken down line by line. For organizations where budget documents might be considered commercially sensitive, documents with redactions of the commercially sensitive pieces of information are accepted but the specific reasons for the redactions need to be explicitly stated in detail and must clarify why the information is commercially sensitive and would cause material and direct harm if published. USAID does not have standard budget documents for all projects/activities available in its corporate systems.	2.17
Loan Data	Activity	IATI requires loan providers to report on the terms of their lending, loan amount, loan repayment period, grace period, interest rate, etc. USAID no longer gives loans, and therefore, is not required to report on this field.	
Legacy Data	Activity	The legacy data element allows for the reporting of values held in	

PWYF ATI Category	XML File	Fields Contents	Points to Gain: PWYF's ATI
		a field in the reporting organization's system which is similar, but not identical to an IATI element. USAID does not have legacy data.	
Planned Dates	Activity	The date on which the activity is planned to start, for example the date of the first planned disbursement or when physical activity starts. The date on which the activity is planned to end, for example the date of the last planned disbursement or when physical activity is complete. USAID has start and end dates, but is reporting these as actuals as opposed to planned dates. USAID corporate systems do not contain two sets of dates.	
Country Budget Identifier	Activity	This is still under development and has not been approved by the IATI Steering Committee Meeting. It was, therefore, not included as part of the CMP. The data element attempts to link the donor activity's sector code to the recipient country government's own budget codes. There are two parts to this indicator. The administrative classification can either be provided as the budget codes themselves, or as a common code that can map from a donor organization's detailed purpose codes to the recipient country's functional or administrative budget classifications. In addition, the economic classification provides the percentage of the budget that is capital versus current expenditure. USAID systems do not contain either the economic or administrative classifications. The provision of this information was not included in the plan as this field is still under consideration by IATI.	3.25

#### IV. Improvements that require political capital and/or policy change

USAID cannot unilaterally take action to improve on the PWYF ATI indicators below due to their whole-of-government nature.

##### A. Indicators assessed by PWYF's ATI that are included in the IATI Standard

PWYF Category	XML File	Assessment Criteria	Possible Action by USAID	Points to Gain: PWYF's ATI
Contracts	Activity	The individual contract(s) which is signed with a company, organization, or individual that provides goods and services for the activity. This could be on a procurement section of the organization's website, on a separate website or on a central government procurement website. Contract documents cannot simply be at the country level. If an activity contract is included in a larger country-level	Contracts are not public documents by policy. However, USAID could investigate publishing non-sensitive portions of the contracts (i.e. Statements of Work).	1.09

PWYF Category	XML File	Assessment Criteria	Possible Action by USAID	Points to Gain: PWYF's ATI
		document, it is only accepted if the contract mentions the activity specifically and in detail. Basic information about the activity contract is accepted if it contains three of the following five information items: awardee, amount, overview of services being provided, start/end dates, and unique reference to original tender documents.		
Total Budget for Organizational, future for years 2 & 3	Organization	The total organization budget is the total amount that the organization will be allocated by the government for the next three years. This is money going to the organization and can be indicative. Each year ahead is worth one third of the total possible score for this indicator. Aggregate budgets of 2–3 years are scored the same as 1-year forward budgets.	Work with OMB and Congress to (1) allow separate presentation of USAID and Department of State budgets in the CBJ and (2) allow USAID to provide three-year forward-looking budgets.	3.17
Disaggregated Budgets by Recipient Country, future for year 2 & 3	Organization	<p>The organization's annual forward planning budget for assistance is the disaggregated budget that the organization or agency will spend on different countries, programmes and institutions per year, for at least the next three years. The figure could be indicative.</p> <p>Scores are awarded on the basis of the number of years (up to three years) for which organizations are publishing budget information. Each year ahead is worth 33.33 points out of a total possible score of 100. Aggregate budgets of between 2–3 years are scored the same as 1-year forward budgets.</p> <p>Both country budgets and thematic budgets are accepted for organizations that prioritize their work by countries. Projected figures disaggregated along thematic and sectoral priorities, at a near similar level of detail to total organization budgets are accepted.</p>	Work with OMB and Congress to (1) allow separate presentation of USAID and Department of State budgets in the CBJ and (2) allow USAID to provide three-year forward-looking budgets.	3.17

PWYF Category	XML File	Assessment Criteria	Possible Action by USAID	Points to Gain: PWYF's ATI
Planned Disbursement	Activity	A scheduled payment, set up against the budget. The planned disbursement element should only be used to report specific planned cash transfers. These should be reported for a specific date or a meaningfully predictable period. These transactions should be reported in addition to budgets, which are, typically, annual breakdowns of the total activity commitment.	Work with OMB to revise the OMB Bulletin 12-01 to provide guidance to all U.S. Government agencies on the reporting of planned disbursement.	
Forward Spending Survey (FSS)	Activity	This section allows entry of data required for the OECD/DAC Forward Spending Survey at an activity level.	Work with OMB and Congress to (1) allow separate presentation of USAID and Department of State budgets in the CBJ and (2) allow USAID to provide three-year forward-looking budgets.	

Although USAID has five-year forward funding authority in FAA 635(h), due largely to OMB’s concerns regarding overall budget levels and controls on spending, USAID’s policy in its Automated Directives System Section 602 is to restrict forward funding to 12 months beyond the end of the fiscal year in which the obligation took place. This policy restriction was due to Inspector General (IG) and Government Accountability Office (GAO) scrutiny of the Agency’s pipeline as well as OMB concerns regarding overall budget levels.

Therefore, it would require strong political capital, in consultation with OMB and Congress, for USAID to make improvement on these indicators (Total Budget for Agency and Disaggregated Budgets by Country). OMB allowed the U.S. Government to endorse the Accra Agenda for Action and the Busan Outcome Document with medium-term predictability commitments on the understanding that these are budget estimates. A few other considerations:

- USAID has funds flowing into some countries from multiple operating units. While missions must complete CDCSs, pillar bureau strategies are not necessarily country-specific and sometimes add substantial sums to country budgets.
- This information would be public and there is a tendency to overlook the IATI Standard’s clarity that these are estimated values and might give the appearance of public commitments.
- Unpredictable timing of annual appropriations and variability in annual Congressional directive and allocation levels makes projections difficult to accurately estimate.

**B. Indicators assessed by PWYF’s ATI that are not included in the IATI Standard**

PWYF Category	XML File	Assessment Criteria	Possible Action by USAID	Points to Gain: PWYF’s ATI
Freedom of Information Act (FOIA)	N/A	FOIA must be law in the strict sense, it must include the right of access to information, this right has to be enforceable and there must be compliant, court, and high court appeal possibilities. Decrees are included if they meet the same standards. In addition, the FOIA must be in use for at least the executive part of the government; therefore, FOIAs which are only adopted, approved, or still in draft form are not counted.	PWYF uses the <a href="#">Global Right to Information (RTI) Rating</a> which is an independent ranking for assessing the strength of the legal framework for guaranteeing the right to information in a given country. It is limited to measuring the legal framework, and does not measure quality of implementation. Last year, the U.S. scored 89 out of a possible 150 points. PWYF takes the RTI scores and assigns the following percentages: 1-60=33%, 61- 90=66%, 91-150=100%.	1.11
Implementation schedules	N/A	Schedules are scored on the level of ambition shown by organizations in implementing the IATI component of the Busan common standard.	The U.S. Government has one IATI implementation schedule for the whole-of-government that the interagency cleared and submitted to OMB. It would require political capital to raise the Agency’s score on this indicator. USAID has two options:  1) Approach OMB to update the U.S. Government common standard implementation schedule to make it more ambitious. 2) Approach OMB and argue that each U.S. Government agency should have its own implementation schedule (PWYF believes this is best approach, but it would backtrack on agreements with the interagency).  Both options will implicate all 20+ U.S. Government agencies funding or implementing foreign assistance activities.	2.30
Accessibility	N/A	The overall accessibility of aid information through the organizations’ portals, project databases, or searchable data sources. These are scored using three criteria: 1) the portal allows free, bulk export of data; 2) it contains detailed disaggregated data; 3) the data are published under an open license.	According to PWYF, FA.gov, which is used as the source for this indicator for USAID, does not make clear the license under which the data are provided.  USAID receives only partial credit for this indicator as FA.gov provides detailed disaggregated data and allows for free bulk data export. Full credit would be received if State/F specified the license under which the data on the FA.gov are provided.	1.11

## Annex 1: IATI Data Element Disposition

	Name	File	Does USAID Provide?
1	Activity Description	Activity	Yes
2	Activity Header	Activity	Yes
3	Activity Title	Activity	Yes
4	Actual Dates	Activity	Yes
5	Contact details (generic)	Activity	Yes
6	IATI Identifier	Activity	Yes
7	Organization Sectors	Activity	Yes
8	Participating Org	Activity	Yes
9	Funding Org	Activity	Yes
10	Accountable Org	Activity	Yes
11	Extending Org	Activity	Yes
12	Implementing Org	Activity	Yes
13	Recipient Country	Activity	Yes
14	Tied Status	Activity	Yes
15	Transaction type	Activity	Yes
16	Transaction Value	Activity	Yes
17	Organization Header	Org	Yes
18	Total Organization Budget, Current	Org	Yes
19	Total Organization Budget, Historical	Org	Yes
20	Disaggregated Budget by Recipient Country, Current	Org	Yes
21	Disaggregated Budget by Recipient Country, Historical	Org	Yes
22	Activity/Current Status	Activity	Phase One

	Name	File	Does USAID Provide?
23	Aid Type/Aid Type Code	Activity	Phase One
24	Collaboration type	Activity	Phase One
25	Conditions	Activity	Phase One
26	DAC Sector Code	Activity	Phase One
27	Finance Type	Activity	Phase One
28	Flow type	Activity	Phase One
29	Allocation Policy	Org	Phase One
30	Annual report	Org	Phase One
31	Audit	Org	Phase One
32	Country Strategy	Org	Phase One
33	Organizational Strategy	Org	Phase One
34	Procurement Policy	Org	Phase One
35	Total Organization Budget, Future year 1	Org	Phase One
36	Disaggregated Budget by Recipient Country, Future year 1	Org	Phase One
37	Annual Activity Budget	Activity	Phase Two
38	Activity Description in recipient language	Activity	Phase Two
39	Activity Scope	Activity	Phase Two
40	Activity Title in recipient language	Activity	Phase Two
41	Disbursement Channel	Activity	Phase Two
42	Evaluations	Activity	Phase Two
43	Impact Appraisals	Activity	Phase Two
44	Activity website	Activity	Phase Three
45	Contact Details (specific)	Activity	Phase Three
46	Objectives	Activity	Phase Three

	<b>Name</b>	<b>File</b>	<b>Does USAID Provide?</b>
47	Subnational Geographic Information	Activity	Phase Three
48	Indicators	Activity	Phase Four
49	Other Flags	Activity	Phase Four
50	Policy Markers	Activity	Phase Four
51	Related Activity	Activity	Phase Four
52	Results	Activity	Phase Four
53	Tenders	Activity	Phase Four
54	Geographic Exactness (lat/long coordinates)	Activity	Phase Four
55	Contracts	Activity	No - By Policy
56	FSS	Activity	No - By Policy
57	Planned Disbursements	Activity	No - By Policy
58	Total Organization Budget, Future year 2	Org	No - By Policy
59	Total Organization Budget, Future year 3	Org	No - By Policy
60	Disaggregated Budget by Recipient Country, Future year 2	Org	No - By Policy
61	Disaggregated Budget by Recipient Country, Future year 3	Org	No - By Policy
62	Budget Documents	Activity	No - USAID Doesn't use
63	Country Budget Identifier	Activity	No - USAID Doesn't use
64	Legacy Data	Activity	No - USAID Doesn't use
65	Loan data	Activity	No - USAID Doesn't use
66	MOUs	Activity	No - USAID Doesn't use
67	Planned Dates	Activity	No - USAID Doesn't use

## Annex 2: Definition and Status of Indicators

### **Aid Transparency Commitment Indicators:**

**Accessibility:** The overall accessibility of aid information through the organizations' portals, project databases or searchable data sources. These are scored using three criteria: 1) the portal allows free, bulk export of data; 2) it contains detailed disaggregated data; 3) the data are published under an open license. Data sources are the organizations' own aid portals, publicly accessible databases, or websites – accessed in that order. The portal or database must include information on current activities for the countries or sectors the organization is working in rather than just one individual country/sector or a selected group. It should contain information on at least five of the activity-level indicators, at least one of which should cover financial information.

**FOIA Information:** PWYF uses the same definition as the one used in the RTI'S Global Rights to Information which is a system for assessing the strength of the legal framework for guaranteeing the right to information in a given country. RTI states that a country's Freedom of Information Action must be a law in the strict sense, it must include the right of access to information, this right has to be enforceable and there must be compliant, court and high court appeal possibilities. Decrees are included if they meet the same standards. In addition, the FOIA must be in use for at least the executive part of the government; therefore, FOIAs which are only adopted, approved or still in draft form are not counted. Without changing the entirety of the United States' FOIA laws, there is nothing USAID can do to improve the score it receives in this field.

**Implementation Schedule:** The Busan Partnership agreement required schedules for implementing the common standard to be published by December 2012. Publish What You Fund conducted an assessment of the schedules completed by development providers and submitted to the OECD common standard implementation website. Schedules are scored on the level of ambition shown by organizations in implementing the IATI component of the common standard. The complete assessment can be found on Publish What You Fund's Aid Transparency Tracker website. IATI implementation schedules are also accepted. PWYF gives each donor country a category grade. The USAID's rank is "Unambitious." However, the U.S. takes a whole-of-government approach to reporting IATI data and therefore, has one implementation that was cleared via the inter-agency and submitted to OMB.

### **Organizational Indicators:**

**Allocation Policy:** Aid allocation policies are the detailed policy documents by which the organization chooses where to spend its resources, i.e. on which countries or themes rather than others. Relatively general documents or web pages outlining which countries, themes and institutions the agency will fund are accepted, as long as this is forward looking and not wholly retrospective. The allocation policy is outlined each year in the Congressional Budget Justification (CBJ). USAID only receives half of the PWYF ATI points for this field because the link to the report is not published in USAID's IATI file, the CBJ is only found online. In Phase One, USAID will include the link to the CBJ in the IATI data.

**Annual Report:** Annual reports outline basic (normally aggregate) information about how aid was spent in the previous year, broken down by sector and/or country. This should be backward looking. Annual reports which are up to date within their regular cycle, i.e. the organization publishes an annual report a year behind, the most recent document within this time frame are accepted. USAID does not currently fulfill this IATI element or receive full credit for this field by PWYF, because the Agency's reports are not

in USAID's IATI XML file. In Phase One, USAID will include links to the Agency Performance Report and the annual Agency Letter.

**Audit:** The organization's annual audit of its activities is an official inspection of the accounts and activities of this organization, typically by an independent body. Audits up to date with regular audit cycles are accepted, i.e. if the organization publishes biennial audits, the most recent document within this time frame is accepted. A formally approved audit of annual accounts is required to score on this indicator. Audits conducted by official government agencies such as State Audit Offices or Controller General Reports are accepted for this indicator. USAID does not currently fulfill this IATI element or receive full credit for this field by PWYF, because the Agency's reports are not in USAID's IATI XML file. In Phase One, USAID will include links to the Agency Financial Report.

**Country Strategy:** A country strategy paper sets out the organization's planned approach and activities in the recipient country. For it to be accepted it needs to be a detailed document, rather than just a paragraph on the organization's website. USAID does not currently fulfill this IATI element or receive full credit for this field by PWYF, because the Agency's country strategies are not in USAID's IATI XML file. In Phase One, USAID will include the link to *all available* Country Development Cooperation Strategies (CDCS).

**Disaggregated Budget:** The organization's annual forward planning budget for assistance is the disaggregated budget that the organization or agency will spend on different countries, programs, and institutions per year, for at least the next three years. The figure could be indicative. Scores are awarded on the basis of the number of years (up to three years) for which organizations are publishing budget information. Each year ahead is worth 33.33 points out of a total possible score of 100. Aggregate budgets of between 2–3 years are scored the same as 1 year forward budgets. Both country budgets and thematic budgets are accepted for organizations that prioritize their work by countries. Projected figures disaggregated along thematic and sectoral priorities, at a near similar level of detail to total organization budgets are accepted. IFIs and DFIs sometimes publish "road maps" which contain this information. This field is categorized as a "further challenge" because USAID does not publish disaggregated budgets by activity.

**Organizational Strategy:** An overarching strategy document explains the general approach and policies of the organization towards international development. This should be forward looking. USAID does not currently fulfill this IATI element or receive full credit for this field by PWYF, because the Agency's strategy documents are not in USAID's IATI XML file. In Phase One, USAID will include links to the QDDR, the USAID-Department of State Strategic Plan, the Agency Performance Plan, and the Agency Priority Goals.

**Procurement Policy:** An organization's procurement procedures explain the process used to tender and contract (invite bids for) goods and services. This must fully explain the criteria on which decisions are made, and could be in a single procurement policy document or attached to each tender. USAID does not currently fulfill this IATI element or receive full credit for this field by PWYF, because the Agency's procurement policy is not in USAID's IATI XML file. In Phase One, USAID will include the link to ADS 300 series.

**Total Budget:** The total organization budget is the total amount that the organization will be allocated by the government or its funders per year for the next three years. This is money going to the

organization and can be indicative. Each year ahead is worth one-third of the total possible score for this indicator. Aggregate budgets of between 2–3 years are scored the same as 1 year forward budgets. USAID and the Department of State have a joint budget so this field will be difficult to report against.

### **Activity Indicators:**

**Activity Description:** The description of the activity is a descriptive text, longer than the title, explaining what the activity is. Sometimes it is just a short sentence but could also be more detailed. Either is accepted. The Department of State defines the field as a brief, but meaningful narrative that provides an understanding of the undertaking for which the implementing mechanism has been funded, its objectives and the hypothesis of the mechanism's development impact. USAID is partially compliant with this field however, not all awards in USAID corporate systems have titles and those that do are full of acronyms and jargon. This is a data quality issue. To begin to address this issue, in February 2014, USAID issued an Agency notice and updated GLAAS training materials to improve the quality and comprehensiveness of Award titles entered into corporate systems, but more needs to be done.

**Activity Description in Recipient Language:** IATI recommends providing a description in the language(s) spoken in the country(ies) where the activity takes place, or is aimed. USAID is currently unable to publish information in recipient languages, however it will use Google Translate to provide translated activity descriptions in recipient language in Phase One. USAID will manually add these data to the file prior to submission to the Department of State each quarter. Phase Four amends source systems and obtains activity descriptions in the recipient language from upstream systems, rather than using Google Translate.

**Activity Title:** The title of the activity is the name of the activity. This is preferably the formal name of the activity, but does not have to be. The title needs to be complete with any abbreviations or acronyms explained. The Department of State defines the fields as the official title of the implementing mechanism, preferably the name used in the official documents. USAID is partially compliant with this field; however, not all awards in USAID corporate systems have titles and those that do are full of acronyms and jargon. This is a data quality issue. To begin to address this issue, in February 2014, USAID issued an Agency notice and updated GLAAS training materials to improve the quality and comprehensiveness of Award titles entered into corporate systems, but more needs to be done.

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**Actual Dates:** The actual date the activity starts and ends, for example the date of the first disbursement or when physical activity starts or the date of the last disbursement when the activity ends.

**Activity Scope:** The activity scope is a code that articulates the geographic scope of activity. Codes can include global, regional, multinational, national, subnational (Multi-first-level administrative areas), subnational (Single first-level administrative area), subnational (Single second-level administrative area),

or single location. USAID can compute the field based on data it already pulls from source systems, and will do so as part of Phase Two.

**Activity Website:** The activity website field should include a link to a website providing more information about the aid activity to data users. Currently this field, which PWYF does not track, is just a link to the FA.gov. This could contain links to mission websites or project websites, which USAID would have to gather manually as part of Phase Three.

**Activity/Current Status:** This field provides users with “stage” of the activity. Pre-defined field values are pipeline, implementation, completion, post-completion, or cancelled. USAID does not have this information readily available in its corporate systems. However, although not perfect, USAID can establish business rules and hard-code them to populate this field as follows: (1) if the reporting date is before the project start date, then “pipeline”; (2) if the reporting date falls between the project start and end dates, then “implementation”; (3) if the reporting date is after the project end date, then “completion.”

**Aid Type/Aid Type Code:** The type of aid shows whether the activity is classed as budget support, a project, technical assistance, debt relief, administrative costs, and so on. This needs to be explicitly stated per activity, or once in a country strategy paper or on a clear place on the organization’s website if there is only one aid type for the whole organization, e.g. “all aid is project-type interventions”. USAID currently provides Aid Type, in the data it reports to FA.gov. However, the data were only published to IATI as the hierarchy 1 level (i.e., country) and not provided at the activity level, resulting in only partial credit in PWYF’s ATI.

**Annual Activity Budget:** The value of the aid activity’s budget for each financial quarter or year over the lifetime of the activity. The purpose of this element is to provide predictability for recipient planning on an annual basis.

**Budget Documents:** This is a specific budget detailing what the intended spending is for the different lines of the individual activity. It is often a document published on the organization’s website. Budget documents cannot simply be at the country level. If an activity budget is included in a larger country-level document, it is only accepted if the budget for the activity is broken down line by line. USAID does not current report on this field.

**Collaboration Type:** Distinguished between bilateral and multilateral funding. USAID currently provides Collaboration Type in the data it reports to FA.gov; however, this field is not currently being published in the IATI format.

**Conditions:** The terms and conditions of the activity may also be referred to as benchmarks, priors, or involve words such as “subject to...”. They are specific to an individual activity and explain what the recipient must do in order to be eligible for the funds to be released. The conditions should include loan repayment terms if the activity is financed by a loan. This field is a yes or no value stating whether conditions are attached to the activity. USAID does not attach explicit conditions to its activities. If USAID takes a liberal interpretation of this field, it could hard code this field to always be “no.”

**Contact Details (generic):** Contact information for the activity. Currently, USAID provides a generic contact at USAID/Washington for all transactions.

**Contact Details (specific):** Contact information for the activity. Contact details will include mission websites or operational units. USAID will manually gather and enter this information.

**Contracts:** The individual contract(s) which is signed with a company, organization, or individual that provides goods and services for the activity. This could be on a procurement section of the organization's website, on a separate website, or on a central government procurement website. Contract documents cannot simply be at the country level. If an activity contract is included in a larger country-level document, it is only accepted if the contract mentions the activity specifically and in detail. Basic information about the activity contract is accepted if it contains three of the following five information items: awardee, amount, overview of services being provided, start/end dates, unique reference to original tender documents. USAID contracts are supposed to be made available in ASIST. However, contracts may contain proprietary information and are not currently public.

**Country Budget Identifier:** The budget classification is a way of linking the activity to the recipient country government's own budget codes. There are two parts to this indicator. The administrative classification can either be provided as the budget codes themselves, or as a common code that can map from a donor organization's detailed purpose codes to the recipient country's functional or administrative budget classifications. In addition, the economic classification provides the percentage of the budget that is capital versus current expenditure. The budget identifier helps to explain aid flows in the context of the recipient government's own budget. It does not relate only to those flows that are direct to the government ("on budget"), but also to other flows which may relate to the government's own budget. In cases where the organization is only providing private sector investment, budget classifications are still possible. Such activities could, for example, be classified as current expenditure under the microfinance and financial services function. USAID does not report on the budget indicator.

**Current Status:** Current status of an award includes the categories: pipeline, implementation, completion, post-completion, and cancelled. In Phase One, USAID will incorporate a status of "completion" or "implementation" for each award.

**DAC Sector Code:** This field provides users with the five-digit sector classification (i.e., "purpose") code used by the Organization for Economic Cooperation and Development's (OECD) Development Assistance Committee (DAC). USAID does not have this information readily available in its corporate systems. However, it established a sector mapping using Program Elements and hard-coded the information to populate this field are part of Phase One.

**Disbursement Channel:** This is a computed field based on data USAID already pulls from source systems. Possible values are 1-4 based on the distribution method for funds. Codes articulate if money is disbursed through central Ministry of Finance or Treasury, if money is disbursed directly to the implementing institution and managed through a separate bank account, aid in kind (donors utilize third party agencies, e.g., nongovernmental organizations or management companies), or aid in kind (donors manage funds themselves). USAID will populate this field in Phase Two.

**Evaluations:** Evaluation documents consider what the activity achieved, whether the intended objectives were met, what the major factors influencing the achievement or non-achievement of the objectives were and an assessment of the impact, effect and value of the activity. This information may be on a specific evaluation section of the organization's website. If the activity under assessment is not

completed but evaluation documents are available for other completed activities, the organization can score for this indicator. Not all organizations carry out evaluations for all of their activities. Organizations can score on this indicator as long as they publish evaluations within their regular evaluation cycles, i.e. the organization publishes country evaluations every three years, the most recent documents within this time frame are accepted. The Development Experience Clearinghouse website contains USAID evaluations. In Phase Three, USAID will link evaluations on the DEC to awards and add the link into the FA.gov/IATI data.

**Finance Type:** The type of finance shows whether the activity is a grant, loan, export credit or debt relief. USAID currently provides Finance Type, in the data it reports to FA.gov. However, the data were only published to IATI as the hierarchy 1 level (i.e., country) and not provided at the activity level, resulting in only partial credit in PWYF's ATI.

**Flow Type:** The flow type shows whether the organization states this activity counts as Official Development Assistance (ODA), Other Official Flows (OOF), or any other type of flow. USAID currently provides Flow Type, in the data it reports to FA.gov. However, the data were only published to IATI as the hierarchy 1 level (i.e., country) and not provided at the activity level, resulting in only partial credit in PWYF's ATI.

**FSS:** The OECD/DAC Forward Spending Survey. This data field allows entry of data required for this at an activity level. USAID does not provide this information due to the U.S. Government not providing forward-looking budget information. In order to provide this field, a policy change would need to occur in which OMB and Congress (1) allow separate presentation of USAID and Department of State budgets in the CBJ, and (2) allow USAID to provide three-year forward-looking budgets.

**Geographic Exactness (lat/long coordinates):** More specific geographic identification of activities. When possible, exact latitude and longitude lines.

**Impact Appraisals:** Pre-project impact appraisals explain the totality of positive and negative, primary and secondary effects expected to be produced by a development intervention. Environmental impact assessments as well as impact assessments which explain what objectives the project itself intends to provide are accepted. The DEC lists Impact Appraisals as evaluations, and to the extent possible, USAID will link the data via the award number in Phase Two.

**Indicators:** The indicator(s) is used to measure the results. There can be multiple indicators for each result. This is an extension of results reporting. USAID will gather this information from DIS or AIDtracker in Phase Four.

**Legacy Data:** The legacy data element allows for the reporting of values held in a field in the reporting organization's system which is similar, but not identical to an IATI element. USAID does not have legacy data and will not report on this field.

**Loan Data:** The ATI requires loan providers to report on the terms of their lending, loan amount, loan repayment period, grace period, interest rate, etc. USAID no longer gives loans, and therefore, is not required to report on this field.

**Memorandum of Understanding:** A Memorandum of Understanding (MoU) is a document which details the agreement usually between the organization and recipient government for the provision of aid in the country. Some organizations do not sign MoUs, so jointly developed documents governing the relationship between the organization and the recipient are accepted as equivalent, e.g. investment codes or partnership/country agreements that have been developed in conjunction with recipient governments, agreements with implementing partners or with grantees. USAID does not have available MoUs for every award nor are they systematically tracked. Preliminary findings indicate that if they exist, they are in ASIST with the contract information.

**Objectives:** The objectives or purposes of the activity are those that the activity intends to achieve. The objectives need to include the detailed description of the activity, the target sector/group and expected outcomes. The contract documents and the Operational Plans (OPs) contain the objectives for each award. In Phase Four, USAID will further explore the feasibility of publishing the objectives in the OPs by pulling data from Facts Info.

**Organization Sectors:** The description of a sector defined by the reporting organization.

**Other Flags:** This field covers not only reporting of the terms of loans (which USAID no longer provides) but also four of OECD/DAC's Creditor Reporting System (CRS) fields: "Free-standing Technical Cooperation", "Program-based Approach", "Investment Project", and "Associated Financing", which are used to tag relevant activities as such. Reporting on this field will require modification of current Agency processes to assign Policy Markers and Other Flags in source systems, rather than manual assignment post completion in the DAC reporting process

**Participating Organization:** The organization participating in the activity. IATI defines multiple roles an organization can have within an activity. An organization can play more than one role within an activity.

1. Funding - The government or organization which provides funds to the activity.
2. Accountable - An organization responsible for oversight of the activity and its outcomes.
3. Extending - An organization that manages the budget and direction of an activity on behalf of the funding organization.
4. Implementing - The organization that physically carries out the activity or intervention; also called the vendor and/or channel of delivery.

**Planned Dates:** The planned dates are the dates that the activity is scheduled to start and end on. If there are one set of dates but they are not explicitly planned or actual dates, given that these are for activities which are current (i.e., being implemented at the time of data collection) it is assumed that they are planned dates. Both month and year are required to score on this indicator in recognition of recipient countries needing to be able to map activities to their own financial year rather than the calendar year. If the activity has started or has finished, the original planned start and end dates must be retained in addition to the actual dates in order to score on this indicator. Most USAID activities have planned start and end dates, but not all, so USAID is getting partial credit for this indicator.

**Planned Disbursements:** Planned disbursements include scheduled payments, set up against the budget. The planned disbursement element should only be used to report specific planned cash transfers. These should be reported for a specific date or a meaningfully predictable period. These transactions should be reported in addition to budgets, which are typically annual breakdowns of the total activity commitment. USAID currently cannot report on this field, and OMB Bulletin 12-01 will

need to be revised to update the guidance to U.S. Government agencies reporting on planned disbursements.

**Policy Markers:** There are nine different policy markers to note policy or cross-cutting themes addressed by the activity. This element is a reporting requirement of the OECD/DAC CRS that IATI adopted. USAID will need to incorporate these markers into AIDtracker or GLAAS. The nine policy markers include: Gender Equality, Aid to Environment, Participatory Development/Good Governance, Trade Development, Aid Targeting the Objectives of the Convention on Biological Diversity, Aid Targeting the Objectives of the Framework Convention on Climate Change - Mitigation, Aid Targeting the Objectives of the Framework Convention on Climate Change - Adaptation, Aid Targeting the Objectives of the Convention to Combat Desertification, Reproductive, Maternal, Newborn and Child Health (RMNCH). USAID will include this field in Phase Four.

**Recipient Country:** Name of recipient country or intended beneficiary.

**Related Activity:** Related activities include a reported IATI activity that is related to another reported IATI activity. The 'type' attribute describes the type of relationship: e.g., parent, child, multifunded, etc. This field may apply to USAID once a project management system is established that can, for example, associate multiple activities to one intermediate result, strategic objectives, etc.

**Reporting Organization:** The organization will always be USAID, and this is conveyed through a reference number. Although USAID should be fully compliant with this field, the reference number is not always consistent and does not always show up in the output file. USAID will ensure it consistently applies the reference code to each transaction so that it is 100 percent compliant with this field.

**Results:** The results show whether activities achieved their intended outputs in accordance with the stated goals or plans. This information often refers to logframes and results chains and may be within a specific results or evaluation section of the organization's website. This indicator considers both current and completed activities. If the activity is ongoing, then the expected results should be available. If the activity has ended, then the actual results should be available within 12 months of ending. USAID does not capture results information in its own corporate system. However, the Dollars to Results website makes available results for each sector for over 40 countries, with more countries expected to be added next year.

**Subnational Geographic Information:** The subnational geographic location is information about where the activity is located within a country. This may be a province or city, or it could be geo-coded (whereby the precise longitude and latitude is published). It needs to be stated separately and explicitly. For activities that are relevant at a country or regional level, information on the location where the funds are sent to will be accepted for this indicator. For example, capital city for a country, or location information of the implementing organization. This includes private sector investment or loans or debt relief payments, where the location of the relevant bank or organization is accepted. USAID provides country-level location elements in its IATI files; however, it does not disaggregate the data to the subnational level. However, geo-coded information on projects is available through [map.usaid.gov](http://map.usaid.gov). USAID receives some points from PWYF for having this information online, although it is not in the IATI file. In Phase Three, USAID will work to pull this information from the source system and publish it to FA.gov and in the IATI format. However, USAID may need a redaction system to mitigate security risks associated with certain awards.

**Tenders:** Tenders are the individual contracts or proposals that have been put out to invite bids from companies or organizations that want to provide goods and services for an activity. They may be on a separate website, possibly on a central government procurement website. USAID is supposed to make solicitations internally available in ASIST.

**Tied Aid Status:** The tied aid status shows whether the organization states that this activity counts as “tied” (procurement is restricted to the donor organization country) or “untied” (open procurement). Specifying location requirements in activity documents such as procurement policies or tenders is accepted as publishing tied aid status.

**Transaction Type:** Predefined list of fields to describe the financial transaction taking place.

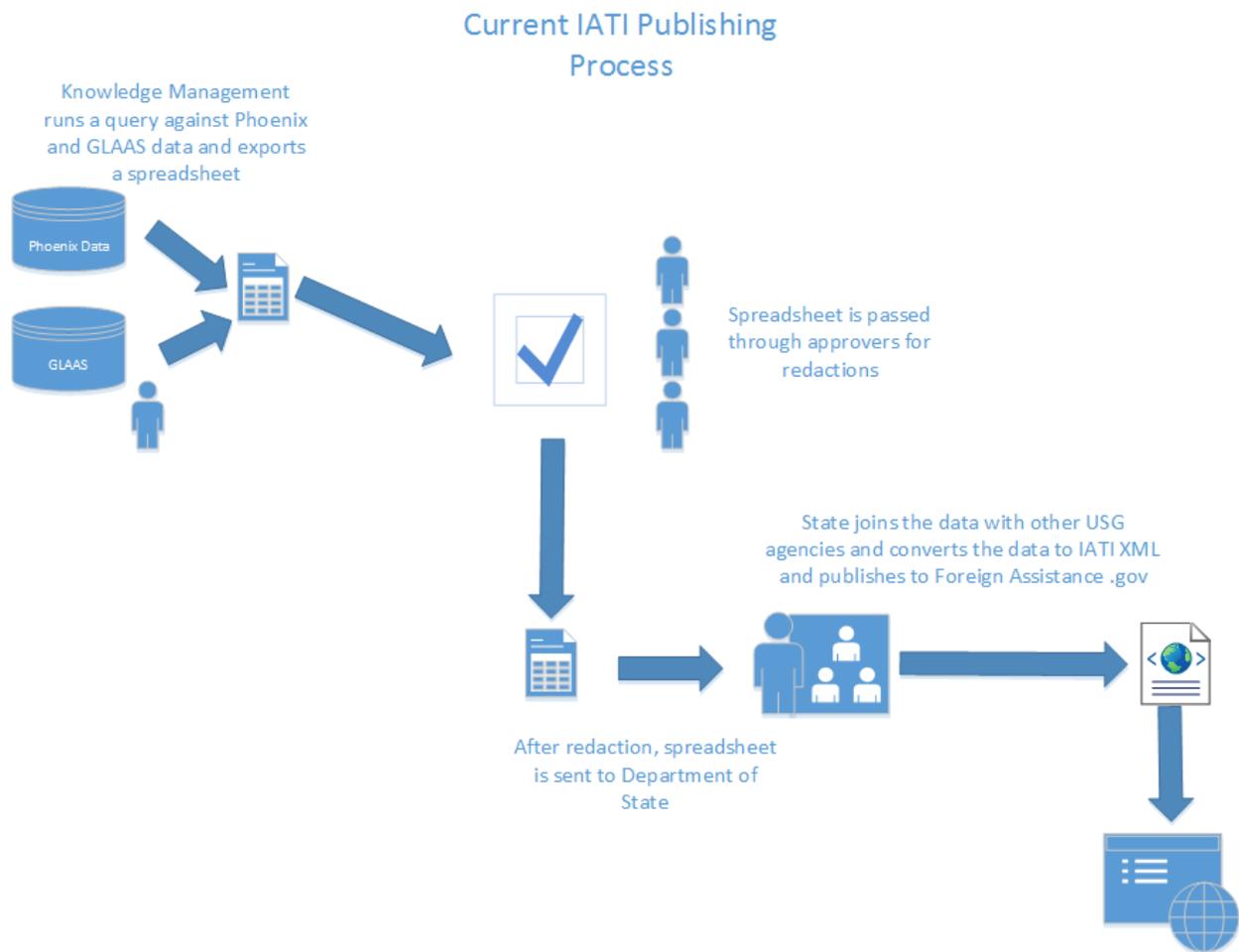
- Incoming Funds: Funds received for use on the activity, which can be from an external or internal source.
- Commitment: A firm, written obligation from a donor or provider to provide a specified amount of funds, under particular terms and conditions, for specific purposes, for the benefit of the recipient.
- Disbursement: Outgoing funds that are placed at the disposal of a recipient government or organization, or funds transferred between two separately reported activities. Under IATI traceability standards the recipient of a disbursement should also be required to report their activities to IATI.
- Expenditure: Outgoing funds that are spent on goods and services for the activity. The recipients of expenditures fall outside of IATI traceability standards.
- Interest Repayment: The actual amount of interest paid on a loan or line of credit, including fees.
- Loan Repayment: The actual amount of principal (amortization) repaid, including any arrears.
- Reimbursement: A type of disbursement that covers funds that have already been spent by the recipient, as agreed in the terms of the grant or loan
- Purchase of Equity: Outgoing funds that are used to purchase equity in a business
- Sale of Equity: Incoming funds from the sale of equity.
- Credit Guarantee: A commitment made by a funding organization to underwrite a loan or line of credit entered into by a third party.

**Transaction Value:** Dollar amount of the transaction.

## Annex 3: Current USAID IATI Publishing Processes

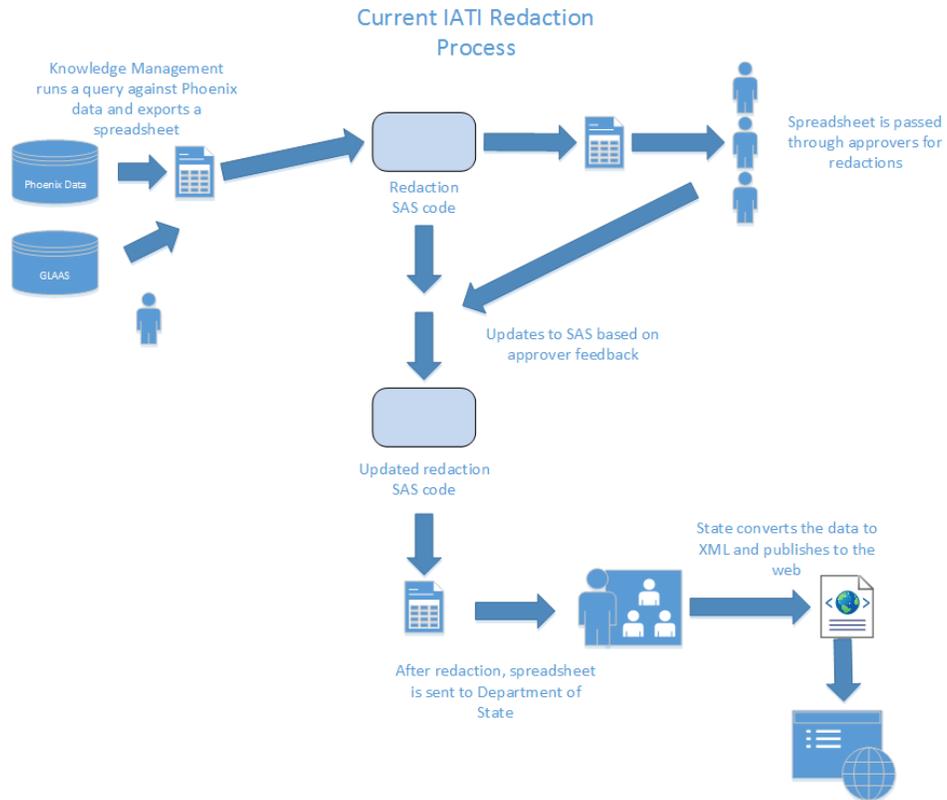
**Organization File:** The IATI Organization file is generated by Department of State and includes both Department of State and USAID data. Department of State extracts the budget information from the Congressional Budget Justification.

**Activity File:** The current IATI Activity file begins with a query which extracts financial activity information from Phoenix. USAID augments the data with the Total Estimated Cost field in GLAAS and the Operational Plan data fields from FACTS Info, redacts sensitive fields removed from USAspending.gov data, runs the file against previous redactions from prior quarters, and then sends the spreadsheet to relevant USAID staff. These staff review the file and send the data out to POCs in each bureau and independent office to identify any further redactions. Additionally, USAID incorporates food aid commodity costs to the data (these costs are not captured in Phoenix). After the data are passed through the updated redaction list, it is sent to Department of State for publishing on FA.gov.

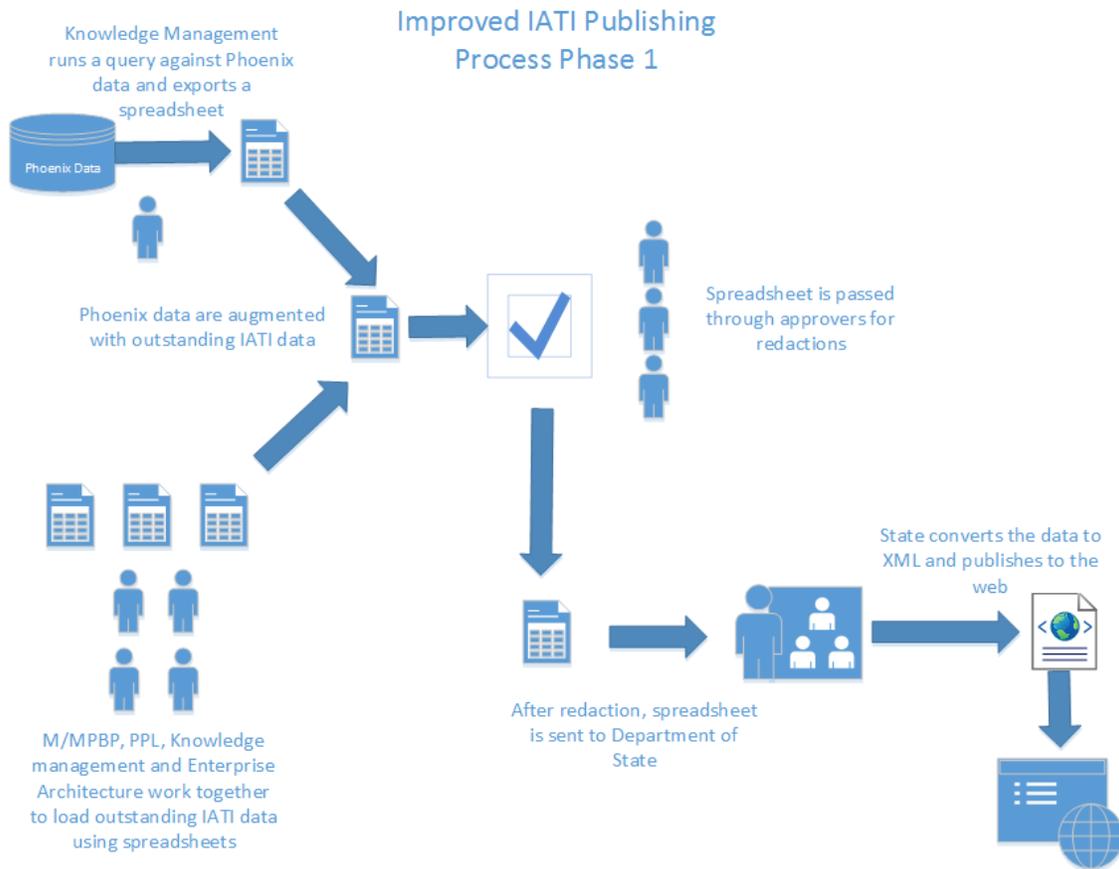


**Redacting Sensitive Data:** Although USAID makes every effort to be as transparent as possible, some data/information such as names of individuals in foreign countries, are sensitive and need to be protected. The redaction process, where POCs from each bureau and independent office review the data quarterly and request the withholding of certain data elements deemed sensitive, is a central and

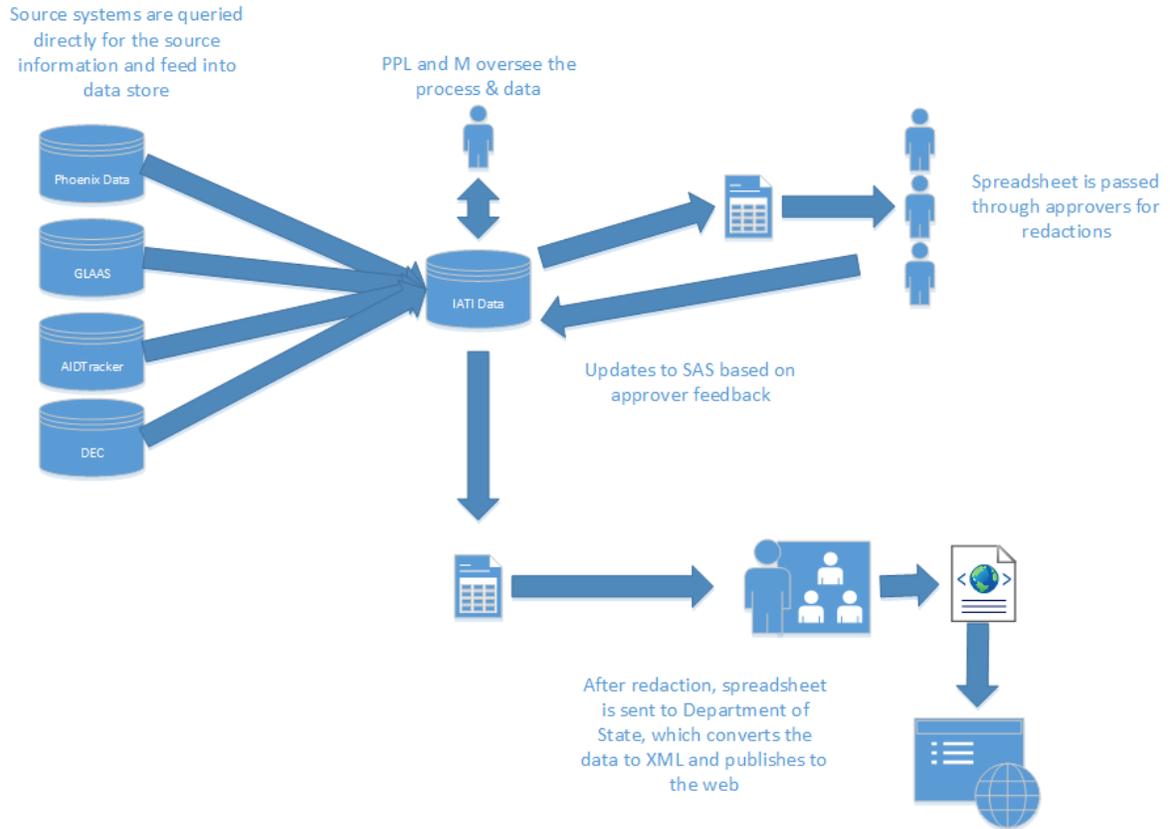
time consuming part of the FA.gov publishing process. After USAID extracts the data from Phoenix, it passes the data through a set of redaction rules which remove some data elements. Currently, the information is passed to reviewers in spreadsheets. After reviewing the quarterly data, the redactors send back their results and USAID updates the redaction rules. USAID then reruns the original data through the updated redaction rules, verifies the results, and sends to Department of State for publishing. The current redaction process is slow and difficult to track. Because spreadsheets are used to track changes and updates are made indirectly, it is prone to error.



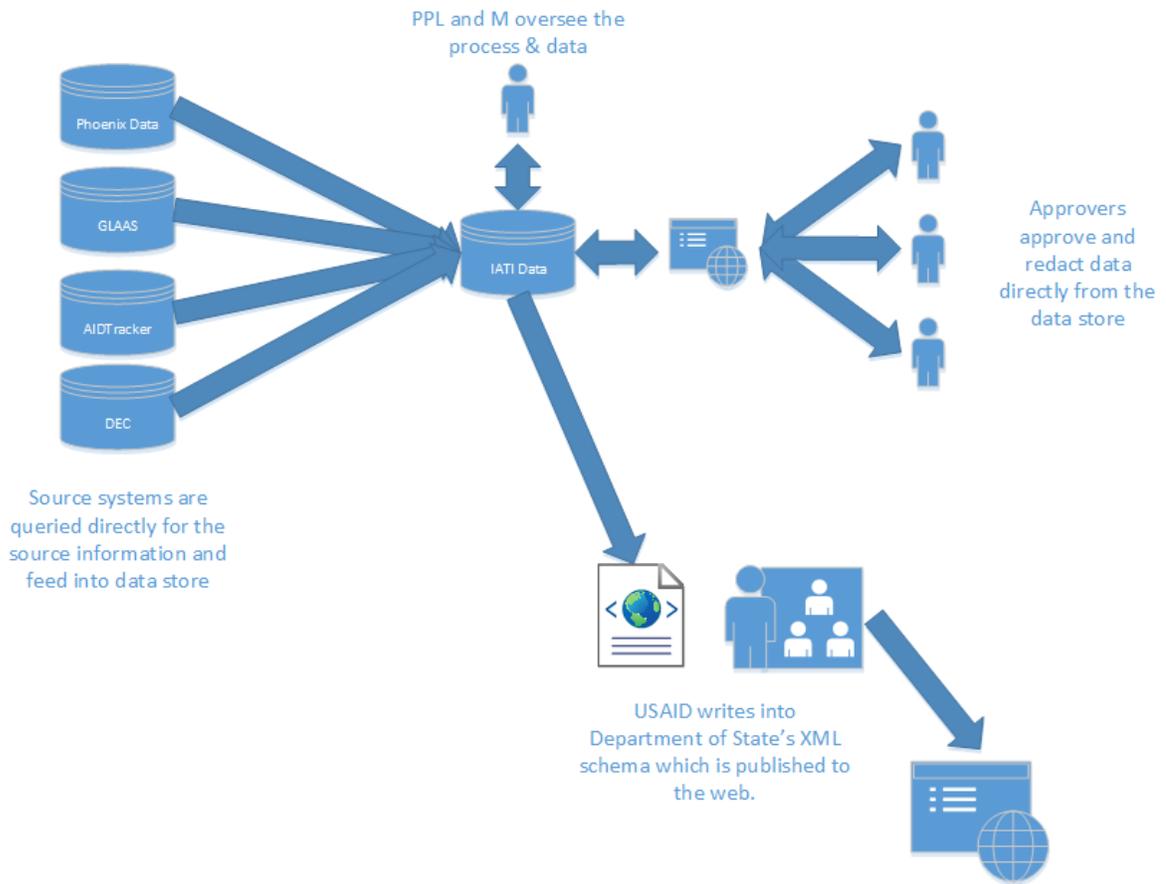
## Annex 4: Diagrams of Four-Phased Approach



## Improved IATI Publishing Process Phase 2



## Improved IATI Publishing Process Phase 3



## Improved IATI Publish Process Phase 4

