



Guidance on LGBTI Integration in Budgeting, Planning, and Reporting

August 2015

INTRODUCTION

This guidance serves two purposes. First, it provides an overview of USAID guidance on ensuring that Mission Resource Requests (MRRs), Bureau Resource Requests (BRRs) and Operational Plans (OPs) capture the extent to which planned expenditures contribute to outcomes in Lesbian, Gay, Bisexual, Transgender, and Intersex (LGBTI) human rights. Second, it provides an overview of USAID requirements for reporting on progress toward LGBTI human rights in Performance Plans and Reports (PPRs).

Overview of budgeting and planning

- MRRs are the first step in the USAID budget formulation process. Each overseas post (mission) describes the foreign assistance resources required to make progress on its foreign policy in the MRR.
- The BRR is the next step in the budget formulation process and is informed by the MRR. The BRR provides each Bureau in Washington, D.C. with the opportunity to explain and justify the resources required to achieve its highest foreign policy priorities.
- OPs describe an operating unit's (OU's) planned expenditures for the fiscal year's appropriated budget. The MRR, BRR and OP must provide a budget attribution and narratives on LGBTI Key Issue, as applicable.

Overview of reporting

- The PPR is an annual data call for performance information to all OUs in USAID and the Department of State (DoS) that implement foreign assistance programs. The report reflects the successes and challenges of U.S. foreign assistance for each OU, and is used to understand, learn, and assess the overall performance of foreign assistance activities. It is also used to describe Agency-level performance to key stakeholders.
- This information is used to determine how well USAID activities around the world have met objectives related to LGBTI equality as defined by the LGBTI Key Issue. Information on USAID's activities that contribute to the LGBTI Key Issue are of special interest to Agency stakeholders, and align with reporting requirements in the international donor community.

This guidance document includes the LGBTI Key Issue definition and tips for accurately reporting budget attributions. A companion FAQs on LGBTI Integration in MRRs, OPs, and PPRs is available as an annex.

LGBTI KEY ISSUE: DEFINITION AND USE

MRRs and OPs rely on the same LGBTI Key Issue definition. The LGBTI Key Issue responds to the December 6, 2011 Presidential Memorandum and associated annual mandatory reporting requirement on activities that advance the human rights of LGBTI persons through foreign assistance programs. The Key Issue should also capture other foreign assistance that seeks to ensure LGBTI persons have non-discriminatory access to public goods and services, whether this outcome is a primary or secondary focus of foreign assistance programming.

The acronym LGBTI is inclusive of intersex persons and those with a minority sexual orientation and/or gender identity.

Information in the budget data and narratives should cover activities that protect, fulfill, and promote the human rights of LGBTI communities (consistent with the definition of “human rights” articulated in the Human Rights Key Issue), and/or advance non-discriminatory access to public goods and services for LGBTI individuals as part of a larger foreign assistance programming area, such as health, economic growth, or education. In cases where LGBTI programming is part of a larger foreign assistance program, only the LGBTI component should be attributed towards this Key Issue.

Examples of LGBTI implementing mechanism (IM) level activities are:

- Civil Society trainings to improve the capacity and leadership potential of advocates, human rights defenders, and board members of civil society organizations working on LGBTI human rights;
- Promoting and strengthening laws, policies, and practices (including decriminalization, reconciliation, transitional justice, and accountability mechanisms) to combat exploitation, abuse, discrimination, and violence against LGBTI persons;
- Programs to protect the human rights of LGBTI refugees and those that ensure that LGBTI refugees are able to access asylum, assistance, and protection;
- Activities to advance LGBTI human rights that are integrated into broader programs: for example, a rule of law project focusing on access to justice for vulnerable populations, including explicit implementation approaches to increase access to justice for LGBTI individuals;
- Social service activities, including HIV/AIDS activities, that go beyond service delivery to include specific initiatives that aim to respect, protect, fulfill, and promote LGBTI human rights and advance non-discriminatory access to public goods and services;
- Commissioned research and assessments on LGBTI human rights issues;
- Performance and impact evaluations of foreign assistance programming related to interventions affecting the LGBTI community that respect, protect, fulfill, and promote LGBTI human rights and non-discriminatory access to public goods and services.

LGBTI EQUALITY ENSURES THAT:

- The human rights of LGBTI persons are respected;
- The legal rights of LGBTI persons are upheld;
- LGBTI persons are able to live with dignity, free from discrimination, persecution, and violence;
- LGBTI persons are able to participate fully in democratic decision-making in their households, communities and countries;
- LGBTI persons have equal access to sustainable livelihoods, economic assets and resources;
- LGBTI persons are not barred from accessing the basic education, health and other services that are enjoyed by their fellow citizens and that are essential for personal well-being and growth.

LGBTI ATTRIBUTIONS IN THE MRR AND BRR

The MRR and BRR are budget documents rather than strategic plans. Thus, the attributions to the LGBTI Key Issue in MRR/BRR submissions are estimates. Program offices will have to estimate how much of the budget should be attributed to the LGBTI Key Issue. Project design teams, working with AORs and CORs, should be the primary source of information on what funds can be attributed to the LGBTI Key Issue.

In addition to attributing funding to the LGBTI Key Issue, Missions should provide specific or notional examples in the narrative of how the request promotes LGBTI equality. Mission LGBTI Focal Points, as well as Washington-based Regional LGBTI Focal Points, are available for support and technical assistance as needed.

The BRR is a process by which regional and functional Bureaus assess their multi-year budgeting needs, taking into account their Joint Regional and Functional Bureau Strategic goals and objectives. The BRR is completed following the completion of the MRRs. The structure of the BRR is similar to that of the MRR and includes many of the same major components.

LGBTI ATTRIBUTIONS IN THE OP

Unlike MRRs and BRRs, OPs provide budget information at the IM level, which necessarily requires more detail and refinement in both the funding attribution and the narrative. LGBTI Key Issue narratives in the OP should describe how the IM specifically contributes to human rights and nondiscrimination for LGBTI persons. The narrative should also highlight any new or innovative part of the IM that is noteworthy, or any positive results already generated, and briefly draw attention to any major challenges encountered in the effort to empower LGBTI persons or promote LGBTI equality. It is important to include the name and location of the activity.

REPORTING ON LGBTI IN THE PPR

PPRs require narratives that describe how an OU's activities contribute to the Key Issue. Through PPRs, target and results information are usually collected on indicators specifically related to the Key Issue. With regard to the LGBTI Key Issue, USAID has not yet developed standard indicators for its LGBTI work, though there are PEPFAR indicators related to MSM HIV/AIDS program goals. In the absence of appropriate standard indicators the OU may include a higher level custom outcome indicator to meet the reporting requirements.

Though robust indicators are usually developed in the context of project design, below are some examples of possible custom outcome indicators for different program sectors:

- Level of awareness of LGBTI human rights principles among LGBTI leaders and organizations (or among judges, journalists, teachers, health care professionals, etc.)
- Number of LGBTI antidiscrimination cases brought to judicial bodies and concluded
- Number of LGBTI-owned microenterprises or SMEs

In addition to developing indicators for the purposes of the PPR, OUs can develop custom output and outcome indicators for project monitoring, evaluation and learning. For more examples of LGBTI custom indicators, see "Illustrative Indicators for LGBT-Inclusive Programs,"

https://programnet.usaid.gov/system/files/library/Illustrative_Indicators_for_LGBT_Inclusive_Programs_FINAL.pdf.

DOUBLE COUNTING

Double counting with other Key Issues (Human Rights; Gender; Trafficking; other) is allowable. For more information, please refer to the companion FAQs in the Annex.

PEPFAR REPORTING ON LGBTI

Missions already reporting on activities designed to address LGBTI issues or populations in their PEPFAR Country Operations Plan (COP) or their Regional Operations Plan (ROP) are exempt from reporting on the LGBTI key issue in the OP. Missions that receive PEPFAR funding but do not report through the COP or ROP and have programming that targets LGBTI communities (most commonly, men who have sex with men and transgender women) should report these activities against the LGBTI Key Issue. See below for additional information on PEPFAR 3.0 and 2015 COP guidance.

ADDITIONAL RESOURCES

The following websites contain other helpful materials:

- The Office of U.S. Foreign Assistance Resources (F) provides specific guidance every year for each step of the budgeting, planning, and reporting process. Contact your program manager for more information.
- USAID's LGBT Vision for Action
<http://www.usaid.gov/sites/default/files/documents/1874/LGBT%20Vision.pdf>
- Introductory Training on Lesbian, Gay, Bisexual, and Transgender (LGBT) Inclusion in USAID's Workplace and Programming
<http://university.usaid.gov/>
- Being LGBT in Asia – a landscape study of LGBT experience in eight focus countries
<http://www.asia-pacific.undp.org/content/rbap/en/home/operations/projects/overview/being-lgbt-in-asia.html>
- Toolkit for Integrating LGBT Rights Activities Into Programming in the E&E Region
<http://www.usaid.gov/sites/default/files/documents/1863/LGBT%20Toolkit%20092414.pdf>
- Testing the Waters: LGBT People in the Europe and Eurasia Region
<http://www.usaid.gov/documents/2496/testing-waters-lgbt-people-europe-and-eurasia-region>
- PEPFAR 3.0 Framework
<http://www.pepfar.gov/documents/organization/234744.pdf>
- PEPFAR 2015 COP Guidance
<http://www.pepfar.gov/documents/organization/237669.pdf>

ANNEX I: FREQUENTLY ASKED QUESTIONS LGBTI AND MRRs/OPs/PPRs

Why is there a new LGBTI Key Issue?

Over the past several years, USAID and the Department of State have been asked to report on global LGBTI activities as part of a reporting requirement of the [Presidential Memorandum on International Initiatives to Advance Human Rights of LGBT Persons](#). This Key Issue helps to streamline this effort by integrating it into F planning and reporting processes. We will also use the information provided to better understand our global activities related to LGBTI communities, which will allow us to communicate more effectively with stakeholders.

What should we include in the Operational Plan under the LGBTI Key Issue?

The LGBTI Key Issue is meant to include a variety of types of funding and programs in order to present as complete a picture as possible of global LGBTI activities. This means that both standalone LGBTI projects or activities, and portions of projects in other sectors (e.g., DG, health, EG) that include activities designed to address LGBTI issues should be reported against this Key Issue. As a consequence, some activities may be reported under more than one key issue in the OP. If the activities described under the LGBTI Key Issue reflect only a subset of all activities carried out under an implementing mechanism (IM), only the proportion of overall IM funds that are associated with those activities should be attributed to the LGBTI Key Issue.

What does it mean when the Key Issue says that, “[it] will not provide information on actual services provided to LGBTI persons as such activities, while important, are not applicable to reporting against the presidential memorandum?”

This specific reference refers to Missions already reporting on activities designed to address LGBTI issues or populations in their PEPFAR Country Operations Plan (COP) or their Regional Operations Plan (ROP). Missions that already report on Key Populations in the COP or ROP are exempt from reporting on the LGBTI key issue in the OP. Missions that receive PEPFAR funding but do not report through the COP or ROP and have programming that targets LGBTI communities (most commonly, men who have sex with men and transgender women) should report these activities against the LGBTI Key Issue.

The LGBTI Key Issue narrative notes that double counting is allowed with the Women, Peace and Security Key (WPS) Key Issue and “gender.” Is there a single key issue named “gender”?

No, in addition to WPS, there are three other, linked gender key issues. These are: (1) GENDER EQUALITY/WOMEN’S EMPOWERMENT-PRIMARY (GE/WE-P), which includes activities in which gender equality or women’s empowerment is the principal reason for undertaking the project/activity and therefore is fundamental to the implementing mechanism’s design, targeted results and impact; (2) GENDER EQUALITY/WOMEN’S EMPOWERMENT-SECONDARY (GE/WE-S), which includes activities or components of a broader implementing mechanism (IM) in which gender equality or women’s empowerment purposes, although important, are not among the principal reasons for undertaking the IM; and (3) GENDER-BASED VIOLENCE (GBV), which includes activities aimed at preventing and responding to GBV, which results in physical, sexual, and psychological harm to either women or men. Forms of gender-based violence include, but are not limited to, domestic or intimate partner violence; rape as a weapon of war; sexual violence and abuse; female infanticide; psychological or emotional abuse; sexual harassment or violence in the workplace or in educational institutions; and harmful traditional practices including female genital mutilation/cutting, honor crimes, early marriage, forced marriage, bride kidnapping, and dowry-related violence.

Is double counting allowed for all three of the linked gender Key Issues?

Yes, double counting is allowed for all three of these gender Key Issues, however, only one of the three may be chosen. The reason for this is that attributions to these three gender Key Issues must be mutually exclusive (see the OP Guidance on the gender Key Issues for more information). So, for example, if a small component of a broader rule of law program is focused on drafting laws to address gender-based violence, with explicit intention to including GBV against LGBTI people, this activity could be reported against the LGBTI Key Issue and either the GE/WE-S or GBV gender Key Issue template, but not both.

Are the rules the same for double counting against the WPS key issue?

No, there is a difference. Whereas the same funds cannot be attributed to more than one of the three linked gender Key Issues, funds that are attributed to WPS must also be attributed to one of the three linked gender Key Issues. So, if an OU attributes some funds to the LGBTI Key Issue and the WPS Key Issue, those same funds must also be attributed to one of the other three gender Key Issues (most likely GBV or GE/WE-S).

I understand that funds attributed to the LGBTI Key Issue may be double counted against the gender Key Issues. But does it also work the other way? Could funds attributed to one of the gender Key Issues also be attributed to the LGBTI Key Issue?

Yes, double counting in this direction is also allowed. For example, if a GBV project includes one small component that focuses on increasing access to services for LGBTI victims of violence, that portion of the overall project funds could be double counted against the LGBTI key issue.

Will all LGBTI projects automatically be eligible for double counting against one of the gender Key Issues?

No, only those activities that specifically include a focus on gender inequality or changing gender norms should be double-counted. That is, activities would not automatically also count as “gender activities” simply because they include LGBTI beneficiaries. Among the types of activities that may be most compatible with double counting are GBV activities, because the violence that is being addressed is explicitly related to gender. Activities that strengthen gender equality or anti-discrimination policies, legislation that includes an explicit focus on LGBTI people, and activities that seek to transform gender norms/beliefs at the regional, national, community, or household levels are also common examples of activities that could be double counted.

How should the LGBTI Key Issue capture activities that had previously been reported on through the Human Rights key issue?

Mission teams should report all LGBTI targeted activities under both key issues. The LGBTI Key Issue is meant to capture all LGBTI program funding globally. And, planned funding against this key issue is expected to be counted against multiple Key Issues.

Why LGBTI rather than LGBT?

This Key Issue uses LGBTI to remain consistent with previous reporting under the Presidential Memorandum from which this Key Issue originated. LGBTI is also an established term of art within the international community and is being increasingly adopted by donor agencies, non-governmental organizations and advocacy groups.