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United States Government Accountability Office
Washington, DC 20548

March 20, 2013

The Honorable Dianne Feinstein
Chairman
The Honorable Charles Grassley
Co-Chairman
Caucus on International Narcotics Control
United States Senate

Subject: Status of Funding, Equipment, and Training for the Caribbean Basin Security Initiative

Because of their geographic location, large coastlines, and small criminal justice systems, Caribbean countries are uniquely vulnerable to drug trafficking and high rates of crime and violence that undermine growth, threaten human welfare, and impede social development. In 2009, to help Caribbean countries respond to these threats, the United States created the Caribbean Basin Security Initiative (CBSI) with the strategic goals of substantially reducing illicit trafficking, advancing public safety and security, and promoting social justice. In fiscal years 2010 through 2012, the Department of State (State) and the U.S. Agency for International Development (USAID) collectively allocated about \$203 million in assistance for CBSI activities in the Bahamas, the Eastern Caribbean,¹ Guyana, Jamaica, Suriname, Trinidad and Tobago, and the Dominican Republic.

In response to your request for information on CBSI, this correspondence describes the status of CBSI funding in fiscal years 2010 through fiscal year 2012, as well as activities this funding has supported. Specifically, we describe the amounts of funding that U.S. agencies have disbursed for partner countries and describe related training, equipment, and other CBSI activities. CBSI funding has come from five foreign assistance accounts: International Narcotics Control and Law Enforcement (INCLE); Economic Support Fund (ESF); Development Assistance (DA); Nonproliferation, Antiterrorism, Demining, and Related Programs (NADR); and Foreign Military Financing (FMF). State manages INCLE, NADR, and FMF and shares responsibility with USAID for managing and administering ESF. USAID manages the DA account. In enclosure I, we provide a breakdown, by year of appropriation, of INCLE, ESF, DA, and NADR funding that State and USAID have allocated to each CBSI partner country. In enclosure II, we identify, by year of appropriation, amounts of FMF funding that State has allocated and committed to CBSI.²

¹State groups several Caribbean island nations into one program area referred to as the Eastern Caribbean: Barbados, Antigua and Barbuda, Dominica, Grenada, St. Kitts and Nevis, St. Lucia, and St. Vincent and the Grenadines.

²We present allocations and commitments of FMF funds separately, in enclosure II, because these funds are budgeted and tracked differently than the other CBSI accounts. Furthermore, the Department of Defense system

We collected data from State and USAID, including data on allocations, obligations, and disbursements of INCLE, ESF, DA, and NADR funds for CBSI activities in fiscal years 2010 through 2012. In addition, we collected information on FMF allocations and commitments to CBSI. We reviewed funding data and documents from State and USAID and interviewed relevant agency officials regarding these documents and data, including the reliability of the data that the agencies provided. We determined that the data we used were sufficiently reliable for the purposes of this review. Recognizing that agencies may use slightly different accounting terms, we provided agencies with definitions from GAO's *A Glossary of Terms Used in the Federal Budget Process*; asked the agencies to provide the relevant data according to these definitions; and, to the extent possible, worked with the agencies to ensure that they provided such data.³ Additionally, to identify the training, equipment, and related activities supported by CBSI funding, we reviewed programmatic documentation and interviewed relevant officials from State, USAID, and the Departments of Defense, Homeland Security, and Justice. To present the most complete possible picture of CBSI program implementation, we describe some activities occurring in fiscal year 2013 as well as planned future activities. See enclosure III for a complete description of our scope and methodology.

We conducted our work from November 2012 through March 2013 in accordance with all sections of GAO's Quality Assurance Framework that are relevant to our objective. The framework requires that we plan and perform the engagement to obtain sufficient and appropriate evidence to meet our stated objective and to discuss any limitations in our work. We believe that the information and data obtained, and the analysis conducted, provide a reasonable basis for any findings and conclusions in this product.

Summary

State and USAID disbursed \$27.2 million of INCLE, ESF, DA, and NADR funds and committed \$11.1 million of FMF funds from the combined total of about \$203 million allocated to support activities in CBSI partner countries from fiscal years 2010 through 2012. State and USAID used this funding for new and pre-existing programs that provide equipment, training, and other activities related to the CBSI strategic goals of substantially reducing illicit trafficking, advancing public safety and security, and promoting social justice in the Caribbean countries. Table 1 summarizes the INCLE, ESF, DA, and NADR allocations and disbursements and the FMF allocations and commitments by year of appropriation.

used to track FMF funds does not track this information consistently with our presentation of the data for the other accounts.

³GAO, *A Glossary of Terms Used in the Federal Budget Process*, GAO-05-734SP (Washington, D.C.: September 2005.)

Table 1: CBSI Funding by Foreign Assistance Account, by Year of Appropriation, Fiscal Years (FY) 2010-2012

Dollars in thousands

Account	FY 2010	FY 2011	FY 2012	Total
INCLE				
Allocated	\$27,257	\$37,500	\$30,000	\$94,757
Disbursed	10,111	6,765	1,367	18,243
ESF ^a				
Allocated	14,000	17,000	17,000	48,000
Disbursed	5,441	1,143	22	6,606
DA ^a				
Allocated	6,000	0	0	6,000
Disbursed	898	0	0	898
NADR				
Allocated	–	6,400 ^b	2,000	8,400
Disbursed	–	1,404	0	1,404
Total disbursed	\$16,450	\$9,312	\$1,389	\$27,151
FMF ^c				
Allocated	14,500	16,467	15,000	45,967
Committed ^d	11,090	0	0	11,090

Source: GAO analysis of State and USAID data.

Notes:

Data are as of September 30, 2012.

Dashes denote years in which no funds were allocated for CBSI and therefore no funds were disbursed.

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

See enclosure I for data showing allocations, obligations, and disbursements of INCLE, ESF, DA, and NADR funds by country and year of appropriation. See enclosure II for data on allocations and commitments of FMF funding by country and year appropriation.

^aAccording to USAID, its ESF and DA funding for CBSI has been allocated in the last month of each fiscal year, in part because of late appropriations as well as internal planning processes. Additionally, the majority of USAID's CBSI activities were new, requiring assessments, program design, competitive procurement processes, and coordination among partner governments. As a result, according to USAID, the implementation of many of its CBSI activities did not begin until fiscal year 2012.

^bOriginal fiscal year 2011 allocation was \$6.4 million; however, in fiscal year 2012, State reprogrammed \$16,150 from this allocation to Jordan's bilateral NADR Antiterrorism Assistance account.

^cFMF disbursements are not shown, because FMF funds are budgeted and tracked differently than funds from the other CBSI accounts and are not tracked consistently with our presentation of financial data. See enclosure II for additional FMF funding data.

^dIn this report, "committed" amounts include both FMF funding that has been committed but not yet disbursed and FMF funding that has been disbursed to a case.

Background

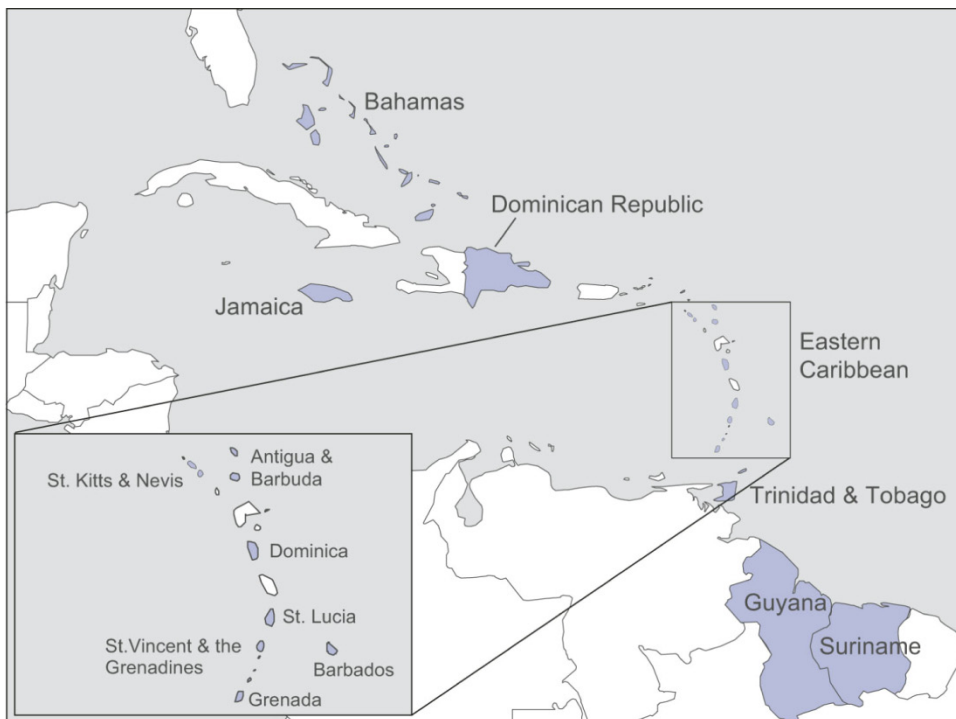
Situated between drug production sources in South America and consumer markets in North America and Europe, the Caribbean is a major transit zone for illicit narcotics. The United Nations Office on Drugs and Crime (UNODC) and the World Bank have identified this drug trafficking as a primary driver of homicide and other violent crime in the region.⁴ Caribbean countries suffer from some of the highest per-capita murder rates in the world. Many Caribbean countries lack the domestic capacity to fully respond to drug trafficking and other transnational threats. As small islands, many Caribbean countries have limited ability to fund the law enforcement coverage needed to control their large coastlines and territorial waters. Further, many Caribbean states face domestic challenges related to poverty, high rates of unemployment, social inequality, and inadequate criminal justice systems, further hampering

⁴UNODC and World Bank, *Crime, Violence, and Development: Trends, Costs, and Policy Options in the Caribbean*, March 2007.

their ability to combat the influence of the region's drug trade. High rates of crime in the Caribbean not only endanger human welfare but also hamper the region's long-term economic development.

In May 2010, the United States, Caribbean Community (CARICOM) member nations, and the Dominican Republic formally launched CBSI, a regional security partnership with the strategic priorities of substantially reducing illicit trafficking, advancing public safety and security, and promoting social justice in the Caribbean. The United States developed CBSI to complement the Mérida Initiative⁵ and the Central America Regional Security Initiative⁶ by mitigating potential criminal spillover resulting from successful reductions in drug trafficking and transnational crime in Mexico and Central America. Figure 1 shows the CBSI partner countries.

Figure 1: Map of CBSI Partner Countries



Source: State Department; Map Resources (map).

⁵The Mérida Initiative is a multiyear assistance package originally developed for Mexico and Central America to help address increasing violence and criminal activity, especially from drug trafficking organizations and other criminal organizations. For more information see GAO, *Merida Initiative: The United States Has Provided Counternarcotics and Anticrime Support but Needs Better Performance Measures*, GAO-10-837 (Washington, D.C.: July 21, 2010).

⁶In 2010, the Obama administration separated the Central America portion of the Mérida Initiative and renamed it the Central America Regional Security Initiative. This initiative is designed as a collaborative partnership between the United States and the region. It supports anti-corruption, judicial reform, anti-gang, community policing, and corrections efforts, as well as crime prevention, law enforcement, and counternarcotics programs. For more information see GAO, *International Affairs: Status of Funding for the Central America Regional Security Initiative*, GAO-13-295R (Washington, D.C.: Jan. 30, 2013).

CBSI differs from previous security assistance efforts in the region in that its activities are planned and coordinated among CBSI partner countries through a multilateral framework specific to the initiative. Under this framework, technical working groups meet as needed to advance technical cooperation, review implementation efforts, develop benchmarks, and propose additional measures. According to State, the CBSI Commission then meets annually to review the action plans developed by the technical working groups. In addition, the national security ministers of the United States and Caribbean countries attend the annual Caribbean-United States Security Cooperation Dialogue. The CARICOM Implementation Agency for Crime and Security acts as the CBSI secretariat for the Caribbean states and the United States, in that it is responsible for organizing, holding, and reporting on CBSI meetings and for facilitating negotiations on documents such as declarations and commission reports. U.S. agencies meet before these multilateral CBSI meetings to discuss ways to maximize the effectiveness of U.S. government involvement. In January 2013, State's Bureau of Western Hemisphere Affairs began formalizing this coordination by hosting interagency CBSI working groups.

The following are descriptions of the five foreign assistance accounts that have funded CBSI:

- *INCLE*. State manages the INCLE account, which provides assistance to foreign countries and international organizations to assist them in developing and implementing policies and programs that maintain the rule of law and strengthen institutional law enforcement and judicial capabilities, including countering drug flows and combating transnational crime.
- *ESF*. State and USAID share responsibility for managing the ESF account, which assists foreign countries in meeting their political, economic, and security needs by funding a range of activities. ESF-funded activities include those designed to counter terrorism and extremist ideology, increase the role of the private sector in the economy, develop effective legal systems, build transparent and accountable governance, and empower citizens.
- *DA*. USAID manages the DA account, which responds to longer-term challenges to human and economic security by funding activities in a range of areas, including economic growth and education.
- *NADR*. State manages the NADR accounts, which fund contributions to certain organizations supporting nonproliferation and provides assistance to foreign countries for nonproliferation, demining, antiterrorism, export control assistance, and other related activities.
- *FMF*. State manages, and the Defense Security and Cooperation Agency (DSCA) implements, the FMF account, which provides grants and loans to foreign governments and international organizations for the acquisition of U.S. defense equipment, services, and training.

The Department of Defense also supports partner countries in the Caribbean through training, equipment, and information sharing, which complement CBSI.

Status of INCLE Assistance

In fiscal years 2010 through 2012, State disbursed \$18.2 million of almost \$94.8 million of INCLE funds allocated to support and develop the police and justice sectors of CBSI partner countries. See table 2.

Table 2: INCLE Disbursements for CBSI, Fiscal Years 2010-2012

Dollars in thousands

Country	FY 2010	FY 2011	FY 2012	Total
Bahamas	\$33	\$603	\$882	\$1,519
Dominican Republic	0 ^a	283	333	616
Eastern Caribbean	9	233	918	1,160
Guyana	0	9	57	66
Jamaica	246	655	2,777	3,678
Suriname	0	7	134	140
Trinidad and Tobago	13	58	227	298
Regional ^b	0	2,722	8,043	10,765
Total disbursed	\$302	\$4,570	\$13,371	\$18,243

Source: GAO analysis of State data.

Notes:

Data are as of September 30, 2012, and indicate disbursements made in each fiscal year.

Dashes denote years in which no funds were allocated for CBSI and therefore no funds were disbursed.

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

See enclosure I for more detailed INCLE funding data by year of appropriation.

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

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

State's Bureau of International Narcotics and Law Enforcement Affairs uses INCLE funding to support a variety of programs intended to enhance border control, provide police training and enhance information sharing, build criminal justice capacities, and reduce drug demand in CBSI partner countries. For example:

- Border control enhancement.** State uses INCLE funds to support the Advance Passenger Information System (APIS), which is managed by U.S. Customs and Border Protection (CBP). APIS contains advance flight and commercial vessel manifest data that officials can use to identify high-risk individuals arriving at and departing from participating CARICOM member states. If APIS identifies a person of concern, CBP coordinates law enforcement responses with regional authorities and U.S. agency counterparts. Although APIS predates CBSI, State is using INCLE funding to expand APIS to the Bahamas and Suriname pending the passage of the required legislation in these countries to allow such information sharing. According to DHS officials, CBP's goal is to install all necessary hardware and finish training host-country staff by the end of fiscal year 2014. State and CBP are also using INCLE funding to conduct regional border security training and capacity building in existing APIS countries. In addition, State is using INCLE funding to support the UNODC Container Control Program by establishing and training interagency container-profiling units in the detection, identification, and inspection of high-risk containers.
- Police training and information sharing.** State uses INCLE funds to support police training and information-sharing programs throughout the Caribbean. For example, State supported training on, among other topics, homicide investigations, surveillance, investigation and interrogation techniques, and firearms tracking in the region. Additionally, State plans to provide 8-week polygraph operator training in

Jamaica to develop a group of regional polygraph experts. State also plans to use INCLE funds to place a U.S. Department of Justice International Criminal Investigative Training Assistance Program resident police advisor in Barbados to assist with training of law enforcement personnel throughout the Eastern Caribbean. With regard to information sharing, the Regional Integrated Ballistics Information Network seeks to expand CBSI partner countries' abilities to share digital ballistic data. State has established hubs in Barbados, Jamaica, and Trinidad and Tobago that are capable of sharing data and has provided training in the use of equipment and software to police lab technicians in Barbados. Additionally, State has established the Regional Information Sharing Project, which provides CBSI partner countries with equipment to collect and share digital fingerprint data through the Automated Fingerprint Identification System. According to State, this system is currently in use in Antigua and Barbuda, St. Kitts, and St. Lucia. The majority of other CBSI partner countries have begun or completed conversion of their fingerprint records to digital format but have not yet installed the system equipment.

- *Criminal justice capacity building.* The Office of Technical Assistance at the U.S. Department of the Treasury sends representatives to CBSI partner countries to provide mentoring to law enforcement and judicial personnel in preparing financial crime cases for prosecution. Similarly, the U.S. Department of Justice's Office of Overseas Prosecutorial Development, Assistance, and Training is providing two legal advisors for capacity building in the Caribbean region. For example, according to State, one regional legal advisor has begun to establish a homicide task force in St. Kitts and Nevis, including Federal Bureau of Investigation vetting of police officers for the task force, 4-day crime scene training, and 5-day homicide investigation training. State also uses INCLE funds to support, jointly with the United Kingdom, the UK Prosecutor Project, in which a Crown Prosecutor is based in Barbados to assist Eastern Caribbean partner countries in promoting criminal justice reform.
- *Drug demand reduction and counternarcotics.* State uses INCLE funds to support drug demand reduction through a pre-existing program that trains and certifies drug abuse and treatment counselors. State used INCLE funds to develop a drug treatment and prevention curriculum and train 45 instructors to deliver this curriculum. State also uses INCLE funds to train law enforcement officers on topics such as counternarcotics investigations, including the identification of controlled substances.

Status of ESF and DA Assistance

As stated earlier, State and USAID share responsibility for managing the ESF account, and USAID manages the DA account. In fiscal years 2010 through 2012, USAID disbursed about \$7.5 million of \$53.9 million of ESF and DA funds allocated to develop and implement CBSI crime prevention programs. In addition, in fiscal year 2011, State allocated \$75,000 in ESF funds for a grant program in Barbados, to be administered by the Bureau of Western Hemisphere Affairs, but had not disbursed these funds as of the end of fiscal year 2012. See table 3.

Table 3: ESF and DA Disbursements for CBSI, Fiscal Years 2010-2012

Dollars in thousands

Country	FY 2010	FY 2011	FY 2012	Total
USAID ESF				
Dominican Republic	\$0	\$160	\$175	\$336
Guyana	0	32	838	871
Jamaica	0	2,080	3,085	5,166
Regional ^a	0	5	229	234
USAID DA				
Regional ^a	0	67	831	898
State ESF ^b				
Barbados	–	0	0	0
Total disbursed	\$0	\$2,346	\$5,158	\$7,504

Source: GAO analysis of State and USAID data.

Notes:

Data are as of September 30, 2012, and indicate disbursements made in each fiscal year.

Dashes denote years in which no funds were allocated for CBSI and therefore no funds were disbursed.

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

See enclosure I for more detailed ESF and DA funding data by year of appropriation.

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

^bState allocated \$75,000 in ESF funding for CBSI in fiscal year 2011 for a small grants program for youths.

USAID used ESF and DA funds to establish CBSI programs focused on improving education, developing the workforce, reforming the juvenile justice system, and supporting community-based policing and anticorruption efforts at the country level. For example:

- *Education improvement.* USAID established programs in Jamaica focused on improving basic education and literacy. For instance, USAID engaged reading coaches to assist teachers and principals at low-performing schools. USAID also identified children who were furthest behind in reading development and provided them with additional instruction. According to program documentation, as of fiscal year 2012, USAID had provided instruction to more than 9,950 Jamaican students.
- *Workforce development.* USAID established workforce development programs in several countries to facilitate school-to-work transition, train youths in entrepreneurship, and design career development programs. In Barbados and the Eastern Caribbean, USAID's program is intended to expand employment and education opportunities for at-risk youths by providing technical and vocational training as well as career counseling and job placement assistance. According to USAID officials, 1,260 people in the Eastern Caribbean had completed workforce development programs by the end of fiscal year 2012. USAID also began similar programs in Jamaica, which more than 12,500 individuals had completed by the end of fiscal year 2012, according to USAID officials. In the Dominican Republic, the At-Risk Youth Initiative targets youths that have dropped out of school or live in difficult family situations and provides them with employment and vocational training. This program began in fiscal year 2013 and is planned to continue for 5 years.
- *Juvenile justice reform.* USAID's juvenile justice reform programs in Guyana and Jamaica work with legal authorities to introduce alternative sentencing for young offenders and support the separation of juveniles from adults within the correctional system. These programs also help to divert youths into community-based rehabilitation services and reintegrate them into work and society. For example, USAID established the Skills and Knowledge for Youth Employment Project in Guyana, which includes work at the New Opportunity Corps juvenile detention

facility. USAID established similar programs in Jamaica that also focus on work with police, correctional services, and civil society.

- *Community-based law enforcement and judiciary programs.* USAID is supporting community-based projects in Jamaica and the Dominican Republic. In Jamaica, USAID has supported community-based policing with an emphasis on police reform and improved community relations. In the Dominican Republic, USAID's efforts to improve citizen security include support to civil society, technical assistance to the Dominican Congress on drafting legislation for police and judicial reform, and the training of police and prosecutors in criminal case management and strategic management. In addition, USAID has established four "community justice houses" in high crime areas in the Dominican Republic. These facilities serve 15,000 people annually, providing access to justice services such as legal orientation, alternative dispute resolution, and public defense services.
- *Anticorruption efforts.* USAID supported anticorruption efforts in Jamaica. USAID is assisting Jamaica's office of tax administration in developing improved systems to review tax returns of those more likely to be involved in laundering currency from illicit activities. In addition, according to USAID officials, more than 1,300 Jamaican officials received anticorruption training as of the end of 2012.

In addition, State allocated \$75,000 of its ESF funding for CBSI in fiscal year 2011 and has disbursed about \$65,000 in fiscal year 2013 for a December 2012 youth conference in Barbados. This conference brought together more than 40 students and teachers from the Bahamas, the Eastern Caribbean, Guyana, and Jamaica.

Status of NADR Assistance

In fiscal years 2010 through 2012, State disbursed \$1.4 million of the \$8.4 million of NADR funds it had allocated to CBSI in support of two security assistance programs: Export Control and Related Border Security (EXBS) and Antiterrorism Assistance (ATA). State allocated \$4.4 million in NADR funding to the CBSI EXBS program in fiscal years 2010 through 2012 and disbursed \$270,000 of these funds in fiscal year 2012.⁷ State allocated approximately \$4 million in ATA funding to CBSI in fiscal years 2010 through 2012 and disbursed approximately \$1.1 million of these funds in fiscal year 2011. See table 4.

⁷State did not provide disbursement data by country for NADR EXBS funds administered by the Bureau of International Security and Nonproliferation because the bureau's CBSI programs are regional in nature.

Table 4: NADR Disbursements for CBSI, Fiscal Years 2010–2012

Dollars in thousands

Country	FY 2010 ^a	FY 2011	FY 2012	Total
NADR EXBS				
Regional ^b	–	\$0	\$270	\$270
NADR ATA				
Bahamas	–	260	0	260
Eastern Caribbean	–	83	0	83
Dominican Republic	–	325	0	325
Jamaica	–	218	0	218
Trinidad and Tobago	–	249	0	249
Total disbursed	–	\$1,135	\$270	\$1,405

Source: GAO analysis of State data.

Notes:

Data are as of September 30, 2012, and indicate disbursements made in each fiscal year.

Dashes denote years in which no funds were allocated for CBSI and therefore no funds were disbursed.

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

See enclosure I for more detailed NADR funding data by year of appropriation.

^aNo NADR funds were allocated to CBSI in fiscal year 2010.

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

State’s Bureau of International Security and Nonproliferation administers EXBS to assist foreign governments in establishing effective trade and border control systems to stem the proliferation of weapons of mass destruction (WMD) and irresponsible transfers of conventional weapons. For CBSI, State has used NADR EXBS funding to support antitrafficking programs and training, WMD identification workshops, firearms destruction and stockpile management, and a cargo targeting system. For example:

- *Antitrafficking programs and training.* State is partnering with the U.S. Department of Justice’s Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF) in a program to provide firearms interdiction and training. For example, ATF plans to send two regional firearms advisors to the region in the spring of 2013 to supervise training; provide technical, legal, and firearms investigation and tracing support; and establish antifirearms trafficking programs. According to State, ATF has additional plans to provide legal, regulatory, and parliamentary assistance to enable effective antifirearms trafficking legislation. ATF also plans to establish a forensic ballistics training program and develop an exchange program for Caribbean law enforcement officials to work alongside their ATF counterparts in the United States.
- *WMD identification workshops.* State has established a partnership with the U.S. Department of Energy to provide workshops on the identification of WMD-related materials, tentatively planned for the spring of 2013. One workshop is intended to familiarize up to 45 customs inspectors and other subject-matter experts from Caribbean partner countries with WMD-related materials and equipment. The other planned training is a curriculum-development workshop to prepare 25 regional instructors to deliver further WMD identification workshops in the region.
- *Firearms destruction and stockpile management.* State used NADR EXBS funding to provide a grant to the United Nations Regional Center for Peace, Disarmament and Development in Latin America and the Caribbean to provide technical assistance and equipment for stockpile management and destruction of firearms, ammunition, and explosives to 14 CBSI partner countries. Additionally, the center plans to provide

training on firearms trafficking for law enforcement officials and make recommendations on firearms trafficking-related legal reforms.

- *Cargo targeting.* State used NADR EXBS funds to award a grant to the World Customs Organization to conduct pilot deployments of the Cargo Targeting System. The system is intended to provide host nations with the capability to identify high-risk cargo, such as WMD components and advanced conventional arms, for control and inspection. According to State officials, the World Customs Organization plans to provide hardware, software, full training, support, and maintenance for the pilot deployments in Jamaica, the Bahamas, and Trinidad and Tobago in late 2013.

State's Counterterrorism Bureau provides policy guidance while the Bureau of Diplomatic Security's Office of Anti-Terrorism Assistance implements the ATA program to train civilian security and law enforcement personnel in police procedures related to terrorism. State has used NADR ATA funds to offer training to security and law enforcement officials in terrorism-related police procedures to CBSI countries. According to State officials, many of the ATA programs in the Caribbean have been ongoing since at least the late 1980s, and CBSI funding has provided opportunities to coordinate and leverage these pre-existing resources as well as create new programs. Since fiscal year 2010, State has provided 24 courses and related equipment to the Bahamas, Barbados, the Dominican Republic, Jamaica, and Trinidad and Tobago. For example, State provided equipment and training courses on analyzing digital computer and cell phone evidence in the Bahamas, the Dominican Republic, and Jamaica. State also provided training on topics such as managing security for harbors and airports and protecting liquefied natural gas terminals.

Status of FMF Assistance

In fiscal years 2010 through 2012, State committed \$11.1 million of \$46 million of FMF funds allocated to support CBSI countries. State's Bureau of Political-Military Affairs administers FMF assistance to support CBSI countries in building maritime security capacity and securing maritime borders against transnational threats. State was unable to provide data on annual fiscal year disbursements for CBSI FMF funds because FMF funds are budgeted and tracked in a different way than the other CBSI accounts and the system that is used does not track information consistent with our presentation of the financial data.⁸ See enclosure II for further details on how FMF funds were allocated and committed, by year of appropriation, toward activities in CBSI partner countries.

State used FMF funds to provide support for maritime security and operational readiness activities in CBSI partner countries. For example, State used these funds to provide Defender Class SAFE boats to Antigua, Dominica, Grenada, St. Kitts and Nevis, and St. Vincent and the Grenadines (see fig. 2).⁹ According to State, in 2012 each country received

⁸The DSCA and the Defense Financing and Accounting Services (DFAS) are responsible for the financial systems that account for FMF funds, as well as tracking the implementation and expenditure of those funds. According to DSCA officials, DSCA's system can track only FMF commitments, not annual disbursements. DFAS uses the Defense Integrated Finance System to track obligations and disbursements; however, there is no direct link between the DSCA and DFAS systems, and the DFAS system does not track funding for specific initiatives, such as CBSI.

⁹SAFE refers to the manufacturer SAFE Boats International.

two of these special-purpose law enforcement boats, a spare-parts package for 2 years of operations, and 2 weeks of on-site support from the manufacturer. Additionally, State used FMF funds to deliver two Metal Shark aluminum boats to Guyana, spare parts and training in operation and maintenance to St. Lucia and Grenada, and radios and support to Trinidad and Tobago and to Barbados.¹⁰

Figure 2: Defender Class SAFE Boat in Grenada



Source: State Department.

State also uses FMF funds to provide technical assistance to CBSI countries through the regional Technical Assistance Field Team. Since 1986, the field team has provided logistical and technical assistance intended to improve the operational readiness of Caribbean countries' security forces and assets for search-and-rescue, maritime security, and law enforcement operations. State is using FMF funds to expand the field team from 3 to 15 personnel. According to U.S. Coast Guard officials, this expansion will enable the field team to provide technical assistance to a greater number of CBSI countries. Additionally, a goal of the expanded field team will be to increase CBSI countries' self sufficiency in the areas of maritime maintenance, sustainment, and logistics.

As of January 2013, State had allocated FMF funds to implement additional regional programs. For example, State was planning

- a regional domain awareness system that would integrate participating CBSI countries' radar and sensor data in a web-based system, to improve regional coordination and the ability to detect and intercept maritime, air, and land threats;

¹⁰Metal Shark refers to the manufacturer Metal Shark LLC.

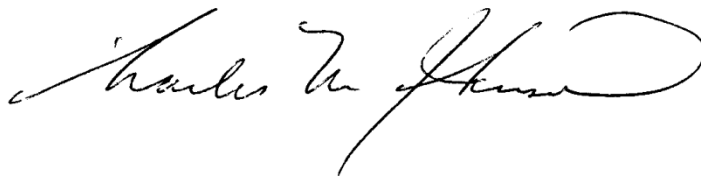
- a regional maritime strategy to help CBSI countries establish coordinated operating procedures with the aim of improving security against illicit trafficking and other threats; and
- an information-sharing program among certain Caribbean countries to improve interdiction coordination through enhanced capacity to detect and report suspect vessels and aircraft.

Agency Comments

We provided State, USAID, and the Departments of Defense, Justice, and Homeland Security with a draft of this report for their review. State, USAID, and the Departments of Defense and Homeland Security provided technical comments, which we incorporated as appropriate. The Department of Justice had no comments.

As agreed with your offices, unless you publicly announce the contents of this report earlier, we plan no further distribution until 30 days from the report date. At that time, we will send copies to the appropriate congressional committees; the Secretaries of Defense, Homeland Security, and State; the U.S. Attorney General; and the Administrator of USAID. In addition, the report will be available at no charge on the GAO website at <http://www.gao.gov>.

If you or your staff members have any questions about this report, please contact me at (202) 512-7331 or johnsoncm@gao.gov. Contact points for our Offices of Congressional Relations and Public Affairs may be found on the last page of this report. GAO staff who made major contributions to this report are listed in enclosure IV.



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

Enclosures (4)

Enclosure I: Status of Caribbean Basin Security Initiative Funds

To demonstrate how funding for Caribbean Basin Security Initiative (CBSI) activities have been allocated, obligated, and disbursed, we are providing a status of CBSI funds as of September 30, 2012. The following tables show CBSI funding from the International Narcotics Control and Law Enforcement (INCLE); Economic Support Fund (ESF); Development Assistance (DA); and Nonproliferation, Anti-terrorism, Demining, and Related Programs (NADR) accounts. These tables illustrate, by year of appropriation, how U.S. agencies have allocated, obligated, and disbursed funds for activities in CBSI partner countries. Specifically, the tables include unobligated balances—that is, portions of obligational authorities that have not yet been obligated—and unliquidated obligations (or obligated balances) —that is, amounts already incurred for which payment has not yet been made.¹¹

Table 5: CBSI INCLE Funding for Activities in CBSI Partner Countries, by Year of Appropriation, Fiscal Years (FY) 2010-2012

Dollars in thousands

Country	FY 2010	FY 2011	FY 2012	Total
Bahamas				
Allocated	\$3,145	\$2,718	\$2,550	\$8,413
Unobligated balance ^a	177	25	2,344	2,545
Unliquidated obligations	1,913	2,435	1	4,349
Disbursed ^b	1,055	258	206	1,519
Dominican Republic				
Allocated	- ^c	7,979	4,050	12,029
Unobligated balance ^a	-	194	3,762	3,955
Unliquidated obligations	-	7,439	19	7,458
Disbursed ^b	-	347	269	616
Eastern Caribbean				
Allocated	10,894	5,052	2,640	18,586
Unobligated balance ^a	333	53	2,550	2,939
Unliquidated obligations	9,882	4,601	6	14,489
Disbursed ^c	679	397	84	1,160
Guyana				
Allocated	100	547	960	1,607
Unobligated balance ^a	2	1	960	963
Unliquidated obligations	47	531	0	578
Disbursed ^b	51	15	0	66
Jamaica				
Allocated	3,623	4,477	3,950	12,050
Unobligated balance ^a	1	190	3,658	3,849
Unliquidated obligations	594	3,907	21	4,523
Disbursed ^b	3,028	379	271	3,678
Suriname				
Allocated	100	582	1,300	1,982
Unobligated balance ^a	0	25	1,290	1,315
Unliquidated obligations	18	508	1	526
Disbursed ^b	83	48	10	140
Trinidad and Tobago				
Allocated	556	1,370	2,010	3,936
Unobligated balance ^a	167	113	1,962	2,241
Unliquidated obligations	197	1,200	1	1,398
Disbursed ^b	193	58	47	298

¹¹From GAO, *A Glossary of Terms Used in the Federal Budget Process*, GAO-05-734SP (Washington, D.C.: September 2005).

Regional ^d				
Allocated	8,839	14,776	12,540	36,155
Unobligated balance ^a	0	148	12,060	12,208
Unliquidated obligations	3,816	9,366	0	13,182
Disbursed ^b	5,023	5,262	480	10,765

Source: GAO analysis of State data.

Notes:

Data are as of September 30, 2012.

Dashes denote years in which no funds were allocated for CBSI and therefore no funds were disbursed.

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

^aAccording to State officials, unobligated balances from fiscal years 2010 and 2011 are no longer available for obligation.

Unobligated balances from fiscal year 2012 are available for obligation until September 30, 2013.

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

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

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

Table 6: CBSI ESF Funding Managed by USAID for Activities in CBSI Partner Countries, by Year of Appropriation, Fiscal Years 2010-2012

Dollars in thousands

Country	FY 2010	FY 2011	FY 2012	Total
Dominican Republic				
Allocated	\$5,400	\$4,490	\$4,590	\$14,480
Unobligated balance ^a	0	0	0	0
Unliquidated obligations ^b	5,086	4,490	4,568	14,144
Disbursed ^c	314	0	22	336
Guyana				
Allocated	1,300	0	0	1,300
Unobligated balance ^a	0	0	0	0
Unliquidated obligations ^b	429	0	0	429
Disbursed ^c	871	0	0	871
Jamaica				
Allocated	5,700	4,845	5,145	15,690
Unobligated balance ^a	150	0	911	1,061
Unliquidated obligations ^b	1,504	3,726	4,234	9,463
Disbursed ^c	4,046	1,119	0	5,166
Regional^d				
Allocated	1,600	7,590	7,265	16,455
Unobligated balance ^a	0	0	100	100
Unliquidated obligations ^b	1,389	7,567	7,165	16,121
Disbursed ^c	211	23	0	234

Source: GAO analysis of USAID data.

Notes:

Data are as of September 30, 2012.

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

According to USAID, due in part to late appropriations as well as internal planning processes, its ESF and DA funding for CBSI has been allocated in the last month of each fiscal year. Additionally, the majority of USAID’s CBSI activities were new, requiring assessments, program design, competitive procurement processes, and coordination among partner governments. As a result, according to USAID, the implementation of many of its CBSI activities did not begin until fiscal year 2012.

^aAccording to USAID officials, unobligated balances from fiscal year 2010 are no longer available for obligation. Unobligated balances from fiscal year 2012 are available for obligation until September 30, 2013.

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

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

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

Table 7: CBSI ESF Funding Managed by State for Activities in CBSI Partner Countries, by Year of Appropriation, Fiscal Years 2010-2012

Dollars in thousands

Country	FY 2010	FY 2011	FY 2012	Total
Barbados				
Allocated	-	\$75	\$0	\$75
Unobligated balance	-	0	0	0
Unliquidated obligations ^a	-	75 ^b	0	75
Disbursed ^c	-	0	0	0

Source: GAO analysis of State data.

Notes:

Data as of September 30, 2012.

Dashes denote years in which no funds were allocated for CBSI and therefore no funds were obligated or disbursed.

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

^aAccording to State officials, amounts that have been obligated but not disbursed or expensed and remain as invoiced or unpaid are recorded as unliquidated obligations for ESF.

^bState's Bureau of Western Hemisphere Affairs has disbursed about \$65,000 of these funds for a public diplomacy project for youth in Barbados in fiscal year 2013.

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

Table 8: CBSI DA Funding for Activities in CBSI Partner Countries, by Year of Appropriation, Fiscal Years 2010-2012

Dollars in thousands

Country	FY 2010	FY 2011	FY 2012	Total
Regional ^a				
Allocated	\$6,000	\$0	\$0	\$6,000
Unobligated balance	0	0	0	0
Unliquidated obligations ^b	5,102	0	0	5,102
Disbursed ^c	898	0	0	898

Source: GAO analysis of USAID data.

Notes:

Data are as of September 30, 2012.

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

According to USAID, due in part to late appropriations as well as internal planning processes, its ESF and DA funding for CBSI has been allocated in the last month of each fiscal year. Additionally, the majority of USAID's CBSI activities were new, requiring assessments, program design, competitive procurement processes, and coordination among partner governments. As a result, according to USAID, the implementation of many of its CBSI activities did not begin until fiscal year 2012.

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

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

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

Table 9: CBSI NADR Funding for Activities in CBSI Partner Countries, by Year of Appropriation, Fiscal Years 2010-2012

Dollars in thousands

Country	FY 2010 ^a	FY 2011	FY 2012	Total
NADR EXBS^b				
Regional^c				
Allocation	–	\$4,400	–	\$4,400
Unobligated balance ^d	–	0	–	0
Unliquidated obligations ^e	–	4,130	–	4,130
Disbursed	–	270	–	270
NADR ATA				
Bahamas				
Allocation	–	525	300	825
Unobligated balance ^d	–	17	300	317
Unliquidated obligations ^e	–	249	0	249
Disbursed	–	260	0	260
Eastern Caribbean				
Allocation	–	100	0	100
Unobligated balance ^d	–	2	0	2
Unliquidated obligations ^e	–	15	0	15
Disbursed	–	83	0	83
Dominican Republic				
Allocation	–	500	500	1,000
Unobligated balance ^d	–	2	500	502
Unliquidated obligations ^e	–	174	0	174
Disbursed	–	325	0	325
Jamaica				
Allocation	–	500	600	1,100
Unobligated balance ^d	–	29	600	629
Unliquidated obligations ^e	–	253	0	253
Disbursed	–	218	0	218
Trinidad and Tobago				
Allocation	–	375	600	975
Unobligated balance ^d	–	4	600	604
Unliquidated obligations ^e	–	122	0	122
Disbursed	–	249	0	249

Source: GAO analysis of State data.

Notes:

Data are as of September 30, 2012.

Dashes denote years in which no funds were allocated for CBSI and therefore no funds were disbursed.

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

^aNo NADR funds were allocated to CBSI in fiscal year 2010.

^bAccording to State officials, NADR EXBS funding cannot be broken out by country because it is allocated regionally.

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

^dAccording to State officials, unobligated balances from fiscal year 2011 are no longer available for obligation. Unobligated balances from fiscal year 2012 are still available for obligation.

^eAccording to State officials, amounts that have been obligated but have not been disbursed or expensed and remain as uninvoiced or unpaid and for which the service may not yet have been rendered are recorded as unliquidated obligations for NADR ATA.

Enclosure II: Status of Caribbean Basin Security Initiative Foreign Military Financing Account Funds

This enclosure provides the status of Caribbean Basin Security Initiative (CBSI) Foreign Military Financing (FMF) funds as of September 30, 2012. Table 1 shows the Department of State’s (State) allocations and commitments of FMF funds, by year of appropriation, for activities in CBSI partner countries. The presentation of FMF allocations and commitments is different from presentations on allocations, obligations, and disbursements of the other CBSI accounts in enclosure I because FMF funds are budgeted and tracked in a different way.

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

Table 10: CBSI FMF Funding for Activities in CBSI Partner Countries, by Year of Appropriation, Fiscal Years 2010-2012

Dollars in thousands

Country	FY 2010	FY 2011	FY 2012	Total
Antigua and Barbuda				
Allocated	\$1,670	\$250	\$283	\$2,203
Unobligated balance	0	0	0	0
Uncommitted ^a	0	250	283	533
Committed ^b	1,670	0	0	1,670
Bahamas				
Allocated	0	300	385	685
Unobligated balance	0	0	0	0
Uncommitted ^a	0	300	385	685
Committed ^b	0	0	0	0
Barbados				
Allocated	182	250	280	712
Unobligated balance	0	0	0	0
Uncommitted ^a	0	250	280	530
Committed ^b	182	0	0	182
Dominica				
Allocated	1,749	250	283	2,282
Unobligated balance	0	0	0	0
Uncommitted ^a	0	250	283	533
Committed ^b	1,749	0	0	1,749
Dominican Republic				
Allocated	0	2,250	2,750	5,000
Unobligated balance	0	0	0	0
Uncommitted ^a	0	2,250	2,750	5,000
Committed ^b	0	0	0	0
Grenada				
Allocated	1,670	250	283	2,203
Unobligated balance	0	0	0	0
Uncommitted ^a	0	250	283	533

Committed ^b	1,670	0	0	1,670
Guyana				
Allocated	1,749	450	272	2,471
Unobligated balance	0	0	0	0
Uncommitted ^a	1	450	272	723
Committed ^b	1,748	0	0	1,748
Jamaica				
Allocated	0	2,500	3,375	5,875
Unobligated balance	0	0	0	0
Uncommitted ^a	0	2,500	3,375	5,875
Committed ^b	0	0	0	0
St. Kitts and Nevis				
Allocated	1,749	250	283	2,282
Unobligated balance	0	0	0	0
Uncommitted ^a	0	250	283	533
Committed ^b	1,749	0	0	1,749
St. Lucia				
Allocated	109	250	283	642
Unobligated balance	0	0	0	0
Uncommitted ^a	0	250	283	533
Committed ^b	109	0	0	109
St. Vincent and the Grenadines				
Allocated	1,670	250	283	2,203
Unobligated balance	0	0	0	0
Uncommitted ^a	0	250	283	533
Committed ^b	1,670	0	0	1,670
Suriname				
Allocated	351	2,000	0	2,351
Unobligated balance	0	0	0	0
Uncommitted ^a	351	2,000	0	2,351
Committed ^b	0	0	0	0
Trinidad and Tobago				
Allocated	331	500	240	1,071
Unobligated balance	0	0	0	0
Uncommitted ^a	0	500	240	740
Committed ^b	331	0	0	331
Regional Security System				
Allocated	3,269	200	0	3,469
Unobligated balance	0	0	0	0
Uncommitted ^a	3,058	200	0	3,258
Committed ^b	211	0	0	211
Regional Domain Awareness – Cooperative Situational Information Integration Initiative				
Allocated	0	1,725	0	1,725
Unobligated balance	0	0	0	0
Uncommitted ^a	0	1,725	0	1,725
Committed ^b	0	0	0	0
CBSI Technical Assistance Field Team				
Allocated	0	4,792	5,000	9,792
Unobligated balance	0	0	0	0
Uncommitted ^a	0	4,792	5,000	9,792
Committed ^b	0	0	0	0
Maritime Strategy				
Allocated	0	0	1,000	1,000
Unobligated balance	0	0	0	0
Uncommitted ^a	0	0	1,000	1,000
Committed ^b	0	0	0	0

Source: GAO analysis of State data.

Notes:

Data are as of September 30, 2012.

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

^aIn this report, "uncommitted" amounts represent FMF obligations not yet committed for expenditure.

^bIn this report, "committed" amounts include FMF funding that has been committed but not yet disbursed and FMF funding that has been disbursed to a case.

Enclosure III: Objectives, Scope and Methodology

To describe the status of Caribbean Basin Security Initiative (CBSI) funding as well as the activities supported by this funding, we obtained data and program documentation from the Department of State (State) and the U.S. Agency for International Development (USAID) concerning funds allocated to support programs in Caribbean countries under CBSI through five accounts—International Narcotics Control and Law Enforcement (INCLE); Economic Support Fund (ESF); Development Assistance (DA); Nonproliferation, Anti-terrorism, Demining, and Related Programs (NADR); and Foreign Military Financing (FMF). We obtained the data from each State bureau that administers those accounts (Bureau of International Narcotics and Law Enforcement, Bureau of Western Hemisphere Affairs, Bureau of International Security and Nonproliferation, Bureau of Diplomatic Security, and Bureau of Political-Military Affairs). In addition, we obtained data from USAID, which also allocates and implements the ESF and DA accounts. In particular, State and USAID provided data on the status of allocations, unobligated balances, unliquidated obligations, and disbursements in fiscal years 2010 through 2012 for the ESF and DA accounts; State also provided such data for the INCLE and NADR accounts.

State's bureaus and USAID administer the accounts separately and use separate data collection systems and budgeting terms. To address differences between their systems, we provided State and USAID with the definitions from GAO's *A Glossary of Terms Used in the Federal Budget Process* (GAO-05-734SP) and requested that they provide the relevant data according to those definitions. To the extent possible, we worked with State and USAID to ensure that they provided data that met these definitions. However, FMF funds are budgeted and tracked in a different way than the other foreign assistance accounts that support CBSI. The Defense Security Cooperation Agency (DSCA) and the Defense Financing and Accounting Service (DFAS) are responsible for the financial systems that account for FMF funds as well as for tracking the implementation and expenditure of those funds. DSCA's system can track only uncommitted and committed amounts, not unliquidated obligations or disbursements, of FMF funds. DFAS tracks obligations and disbursements using the Defense Integrated Finance System; however, there is no direct link between the DSCA and DFAS systems, and the DFAS system does not track funding for specific initiatives, such as CBSI. Therefore, State was not able to provide data on unliquidated obligations or disbursements; however, State provided data on CBSI FMF allocations and commitments in fiscal years 2010 through 2012.

We interviewed officials from each of State's bureaus and USAID regarding their budgeting process and terms to determine the best method for collecting comparable data across accounts. We then reviewed the data and consulted with State and USAID regarding the accuracy and completeness of the information. When we found discrepancies, we contacted relevant agency officials and worked with them to resolve the discrepancies. There were differences in ways the agencies collected, categorized, or reported their data. To assess the reliability of the data provided, we requested and reviewed information from agency officials regarding the underlying financial data systems and the checks, controls, and reviews used to generate the data and ensure its accuracy and reliability. For the purposes of this review, we determined that the data we used were sufficiently reliable.

To identify equipment, training, and other related activities supported by CBSI funding, we reviewed program documentation and interviewed relevant officials from State; USAID; and the Departments of Defense, Homeland Security, and Justice regarding the status of program implementation and the types of equipment, training, and other activities provided

to CBSI countries to date. To present the most complete possible picture of CBSI program implementation, we have described some activities occurring in fiscal year 2013 as well as planned future activities.

We conducted our work from November 2012 through March 2013 in accordance with all sections of GAO's Quality Assurance Framework that are relevant to our objective. The framework requires that we plan and perform the engagement to obtain sufficient and appropriate evidence to meet our stated objective and to discuss any limitations in our work. We believe that the information and data obtained, and the analysis conducted, provide a reasonable basis for any findings and conclusions in this product.

Enclosure IV: GAO Contact and Staff Acknowledgments

GAO Contact

Charles Michael Johnson, Jr., (202) 512-7331, or johnsoncm@gao.gov

Staff Acknowledgments

In addition to the contact named above, Valérie Nowak (Assistant Director), Mattias Fenton, David Hancock, and Paige Muegenburg made major contributions to this report. Martin de Alteriis, Mary E. Moutsos, Reid Lowe, and Grace Lui also provided assistance.

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