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Draft Report

**PROGRAM PERFORMANCE
INFORMATION SYSTEM: USAID/SRI
LANKA**

February 1993

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CHAPTER I

INTRODUCTION

Since the first PRISM visit, USAID/Sri Lanka has made several important steps towards institutionalizing their Program Performance Information System (PPIS) framework and using it to manage their portfolio strategically.

- * USAID/Sri Lanka's strategic objective teams have been meeting to reformulate their strategic objectives and program outcomes to demonstrate the work they are doing to further integrate all of their activities into a more focused and concentrated strategy. This resulted in reducing their strategic objectives from four to three (see Chapter III, Section A).
- * The PRJ Office is currently developing plans for the new PVO project, CIPART, requiring that all new PVO activities funded under this project must contribute toward the achievement of one of the three strategic objectives. Plans for this new project include funds available for conducting on-going performance monitoring and special studies needed to explore concerns raised by the on-going M&E System to guide corrective actions and fine-tuning of project activities.
- * New activities funded by recent Congressional earmarks are going to be designed to support the achievement of existing strategic objectives.
- * In response to Congressional and AID/W concerns over the impact of the PL-480 Title III Program on national food security, the ANR office is carrying out a number of studies to improve the Mission's understanding and tracking of food security indicators.
- * PRM is presently developing plans to inventory the Mission's microenterprise activities in order to give the strategic framework a poverty alleviation focus and develop options as possible components to CIPART.

A. Purpose and Scope of Work

The primary purpose of this report is to help USAID/Sri Lanka move closer toward establishing and operationalizing their Program Performance Information System (PPIS). The data resulting from this PPIS will be critical for making strategic decisions for managing USAID/Sri Lanka's activities which support the three strategic objectives. All indicators were chosen on the basis of their importance for managing the performance of the USAID's programs, and for their power to adequately measure the effectiveness and impact of these same programs. This report documents the decisions that Mission staff have made at this point in time regarding the content of its PPIS.

The first part of the PRISM team's scope of work was to review the current status of the USAID's PPIS and to assist the mission staff in making any necessary refinements so that the strategic objectives (SO), program outcomes (PO) and indicators follow agency standards and represent a coherent strategy with strong and clear linkages between the SOs and POs. The second part of the scope of work involved developing M&E plans for each indicator. Several activities, described below, were conducted as part of the M&E plan development to ensure that the USAID/Sri Lanka PPIS becomes fully operationalized.

B. Description of the Process

On the first day the PRISM team, Sharon Benoliel and Mike Hendricks, met with Richard Brown, George Jones, David Garms and Randal Casey to discuss the scope of work for this PRISM visit and for the PRISM team to give some initial feedback on the changes made to the Mission's PPIS since the last PRISM team visit.

During the first and second weeks, the PRISM team held several individual meetings with each Strategic Objective Team to understand the decisions that prompted the changes they made to their Objective Tree and indicators since the last PRISM visit, to learn about any new project and non-project activities contributing to the achievement of the strategic objective, and to discuss and gain consensus on refinements that were needed in the strategic objectives, program outcomes and indicators. In addition to the Strategic Objective Teams, the Mission Director, Deputy Mission Director and Program Office staff participated in each of these meetings.

The PRISM team worked with the USAID staff to thoroughly review the coherency of their objective trees to ensure a strong and rational linkage between their strategic objectives and supporting program outcomes. Each indicator was examined to confirm that it would reflect progress toward achieving strategic objectives and program outcomes. The team assisted mission staff in eliminating or transforming indicators that measure output so that the majority of indicators in the PPIS now measure impact. While some output indicators were eliminated, the PRISM team supports the importance of monitoring these data at the project level.

Towards the end of the second week and throughout the third and final week, discussions were held to determine the precise definition of each term contained in the indicator statement, the specific source of data, the details of the data collection methods to be used, the frequency of data collection, costs associated with collection of the data and source of funds, the office and staff person responsible for obtaining the data, baseline and targets.

The PRISM TDY ended with a mission-wide meeting during which each strategic objective team leader presented the details of his or her strategic objective, program outcomes, indicators and plans for collecting the data. During this meeting, the PRISM team led a discussion of what steps were needed to move the mission to the point of being able to report the actual results for each of the indicators (PRISM Level 4) and systematically use program performance information for strategic management (PRISM Level 5 - final level).

C. Cross-Cutting Issues

In addition to the three strategic objectives, the Mission is also concerned with four important issues which cut across the entire portfolio: (1) policy reform, (2) the role of women in development, and (3) trade and investment. How the Mission will attend to each of these is discussed below.

Policy Reform

Selected legal, regulatory and policy reforms are a critical part of the Mission's overall strategy to help Sri Lanka become a democratic, "greener" NIC by the year 2001. One aspect of this process is to develop the institutional capabilities - primarily public sector, but also including some private sector institutions - to support an expanded private-public partnership. The activities necessary to develop this continuing institutional capability are listed in the appropriate program outcome under each of the three strategic objectives.

However, there is a second type of activity which is also essential to reforming the Sri Lankan environment, and those activities involve implementing a variety of one-time changes in laws, regulations, and/or policies affecting private sector development. These changes typically affect more than one strategic objective, and they must be monitored and reported accordingly.

During this PRISM visit, the team discussed with Mission management our suggestions for developing and monitoring this policy reform agenda. The Mission is currently developing an overall policy reform agenda which will list (a) each reform the Mission would like to see accomplished and (b) which of the three strategic objectives each reform will support. The Mission is considering various formats for this agenda, including a matrix of reform agenda items against strategic objectives (Annex 1).

In our opinion, there are two key points the Mission should keep in mind regarding this policy reform agenda. One point is to list not only the general reform which is desired, but also each of those specific steps which must be achieved in order to lead to the general reform to be implemented. Purely as an illustration, the Mission should list not only the general reform of "Eliminate constraints on private investment", but also the specific tasks of "Increase coverage of automatic approval of foreign investment", "Extend exemptions from transfer tax", "Replace tax holidays and special tax incentives with lower tax rates", etc. This will allow the Mission to follow intermediate progress leading to the overall reform, much as monitoring program outcomes allows one to follow progress leading to the strategic objective.

The second point to highlight is that the Mission should also develop an appropriate scale for assessing progress toward full implementation. Implementation is rarely an immediate accomplishment, and there are always intermediate steps leading to full implementation. By monitoring progress on this scale, the Mission will be able not only to assess its progress but

also to determine where more efforts are needed in order to speed progress.

During our discussions the PRISM team suggested a 7-point scale of progress toward full implementation.

Women in Development

CDIE and PRISM Project implementors have made a commitment to focusing on gender issues during the strategic planning process and while working with Mission staff. This commitment includes many dimensions, including constructing indicators to measure the impact of a Mission's program activities on women in particular.

All three of USAID/Sri Lanka's strategic objectives are concerned with having an impact on women's lives. Accordingly, the team discussed with Mission staff which strategic objective and program outcome indicators could usefully be collected on a sex-disaggregated basis and how this could be accomplished. Examples of useful disaggregated indicators include the employment of women in the private sector, the awareness of and involvement in environmental issues, and the extent to which market-based financial intermediary services are provided to women micro-entrepreneurs. The USAID's Women in Development Officer will need to follow up with individual offices to help ensure that these data are collected and to make plans for obtaining technical assistance where needed.

Trade and Investment

Two of the three strategic objectives involve trade and investment issues, and the Mission is particularly interested in tracking (a) the extent to which American products are purchased in Sri Lanka whenever they offer a competitive advantage and (b) the extent to which American investment in Sri Lanka grows along with the Sri Lankan economy. Each of these issues will be tracked in various PRISM indicators.

For example, both strategic objectives 1 and 2 encourage the introduction of improved technologies in both the agricultural and manufacturing sectors, and some of this technology is best available from the U.S. Similarly, both strategic objectives encourage more direct foreign investment in Sri Lankan industries and/or infrastructure, and some of these investments can also be expected to come from the U.S. By tracking these purchases and investments, the Mission will be able to monitor the extent of U.S. involvement in the growing Sri Lankan economy and also to identify opportunities for larger and more productive U.S. involvement in the future.

D. Critical assumptions for the Mission's program

Although each strategic objective has its own set of critical assumptions, the Mission believes that underpinning its program is a set of critical assumptions. These critical

assumptions are:

- The instability caused by and the expense of the LTTE insurgency does not worsen from current levels
- There is no major world recession or trade war
- USAID's annual DA level is not less than \$15 million per year and PL-480 Title III is not less than \$40 million per year

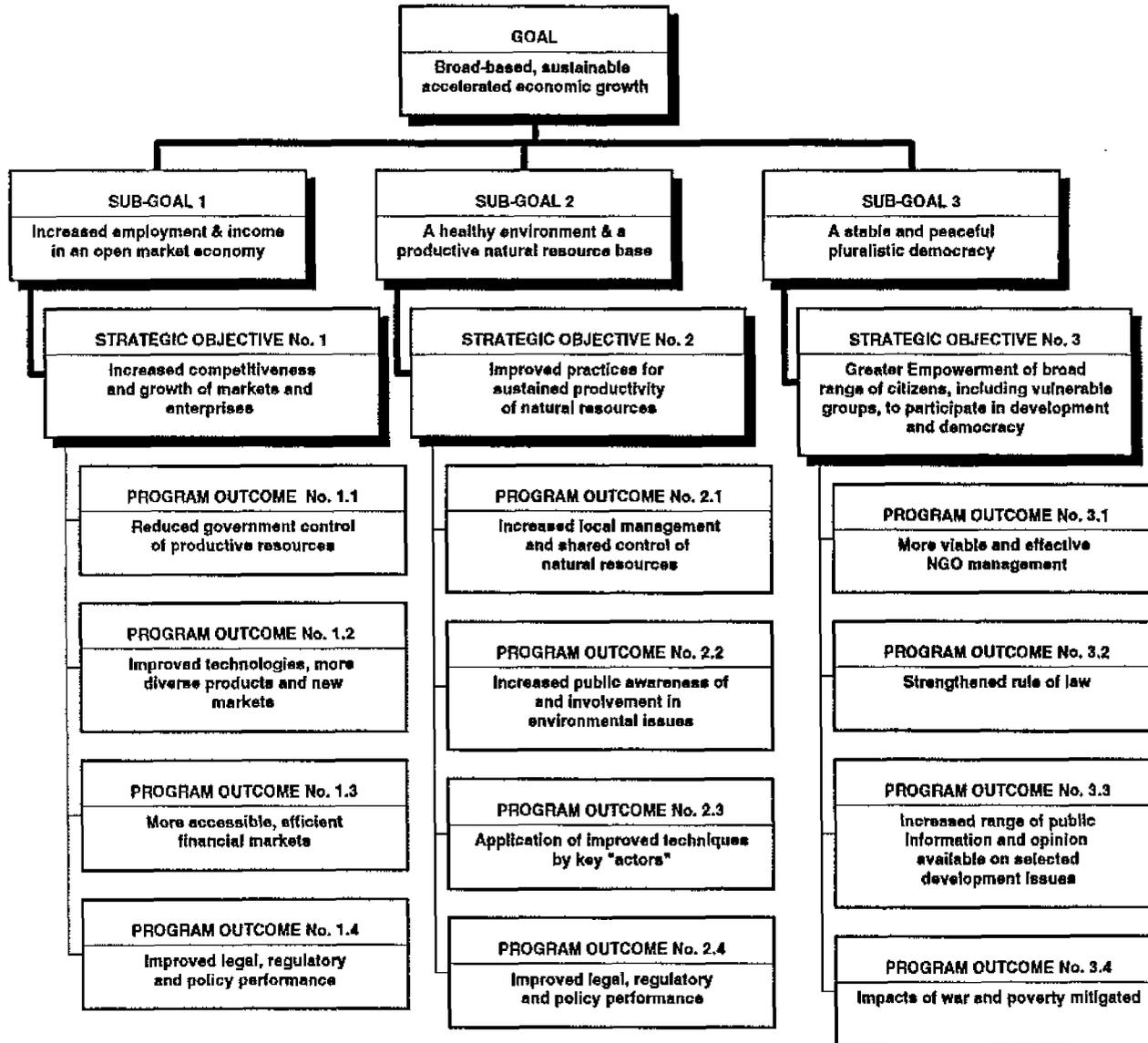
E. Recommendations for Next Steps

Some specific recommendations for next steps are found under each strategic objective section of this report. Our overall, general recommendations for getting to Level 5 of PRISM implementation include:

- * Brief contractors/grantees/GSL officials who will be involved in data collection for the Mission's PPIS;
- * Establish plans for any special studies or any data collection effort that is not built into project M&E systems;
- * Specify in detail when and how PRISM data will be used to manage strategically; and
- * Collect and use data.

An important next step relates to how the PPIS should be used by the mission for making future programming decisions. The PPIS framework can be utilized for making decisions about how to absorb any additional budget cuts or budget increases. In the case of budget cuts, one approach is to review project and program activities to determine which ones are absolutely essential to the support and achievement of program outcomes and their associated strategic objectives. Candidates for elimination may also be those project or program activities where little progress is being made or anticipated. In the case of increased funds, staff should review program outcomes for those that are not sufficiently supported by activities and funds, and then identify new activities to be added to increase the chance of achieving those program outcomes.

In addition to using the PPIS to make future programming decisions, this system will also be useful for fine-tuning activities that support each program outcome. Data from the on-going PPIS monitoring system will provide mission managers with information on what difference their activities are making on solving the development problems to which their project and program activities are directed rather than relying solely on project output data. Furthermore, the mission's PPIS will provide managers more regularly available performance data than what is obtained from mid-term evaluations with which to make project and program decisions.



MISSION'S STRATEGIC FRAMEWORK

CHAPTER II

CHAPTER III

USAID/SRI LANKA'S STRATEGIC OBJECTIVES

A. Strategic Objective No. 1: Increased Competitiveness and Growth of Markets and Enterprises

1. Current Status of Strategic Objective

This strategic objective has changed significantly since the first PRISM TDY. Previously there were two separate strategic objectives relating to the Mission sub-goal of Increased Employment and Income - "Increased competitiveness of Sri Lankan firms in selected export markets" and "Increased marketed and processed production of agricultural products". During the first PRISM visit, the commonalities between these two strategic objectives were noted and discussed, but the Mission at that time preferred to keep both strategic objectives.

Since then, the Mission has reconsidered this issue (especially in light of signals from AID/W to reduce the number of SOs from four to three) and has decided that these two strategic objectives are, in fact, sufficiently related to combine into a single strategic objective without delineation by particular economic sector. This new objective retains both the original emphasis on exports and also the original focus on non-traditional goods or services. It is to be noted that the objective is addressed through two distinct interventions in the agricultural and non-agricultural sectors.

While the PRISM team was able to facilitate the discussions on this strategic objective in a general sense, neither team member is an economist able to contribute much substantive expertise. As a result, much of the following details on the strategic objective, program outcomes, and indicators has been provided by Mission staff.

2. Changes in Indicators

Previously there were five indicators for the two original strategic objectives. After the reconceptualization of this strategic objective, none of these five indicators is being retained in its exact form, three indicators have been revised while two have been dropped. The new indicators are listed below.

Indicator 1 - Total value of non-traditional exports

This is a combination and improvement of the two earlier indicators "Increase in real value of exports" and "Increase in real value of non-traditional agricultural exports". It values all exports excluding garments, loose tea, labor, unprocessed rubber, and unprocessed coconut in order to show the progress of the non-traditional products of the Sri Lankan private sector in

competing effectively in international markets. The baseline for this indicator is the actual value for 1992. A 10% annual increase on the dollar value has been projected on arriving at its annual targets.

Indicator 2 - Amount of foreign investment approved

This again is a combination and improvement of the two earlier indicators "Increase in foreign investment as a percentage of total investment" and "Increase in direct foreign investment". It values all foreign investments (and disaggregates them into U.S. vs. other foreign country investments) in order to show the "competitiveness" of Sri Lanka in attracting foreign investment. A 10% annual increase in value has been projected on arriving at its annual targets.

Indicator 3 - Total value (GDP) of "other" agricultural production (i.e., non-plantation, non-paddy, non-fishery)

This is a new indicator which is desirable due to the large range and resources in agricultural development activities. It also indicates the degree to which growth is occurring in the relatively important rural agriculture sector and the degree to which the growth is in new production areas.

3. Current Status of Program Outcomes

Since the strategic objective has changed so significantly, the program outcomes have naturally changed as well. Previously there were seven separate program outcomes under the two strategic objectives. These seven have now been consolidated into the four program outcomes listed below.

Program Outcome 1.1 - Reduced government control of productive resources

The first, and perhaps most critical component of the Mission's strategy in this area is to transfer effective control over sections of Sri Lankan productive resources (primarily agriculture, manufacturing and infrastructure) away from the GSL and into private hands. This reduction of the government's role will streamline the management of these industries, improving both efficiency and productivity. Specific plans include formal restructuring and/or divestiture of state-owned enterprises, formal or informal arrangements for local groups to share day-to-day control over productive resources such as land and water, and an increasing private sector role in infrastructure development.

Program Outcome 1.2 - Improved technologies, more diverse products and new markets

The second component of the Mission's strategy is to strengthen Sri Lanka's capability to compete in new world markets by improving the development, production, and/or marketing

of its products. This involves both diversifying the types of goods or services which are exported and also increasing the use of new technical or managerial knowledge, skills, equipment, or processes used in those products.

Program Outcome 1.3 - More accessible, efficient financial markets

The third component of the Mission's strategy is to improve the functioning of Sri Lankan financial markets so that private firms can access the capital needed for their various activities. Currently the inefficiencies in the markets are a significant impediment to private sector expansion and business performance, yet steps are being taken to liberalize the restrictions. The Mission will further those efforts to increase both the breadth and depth of funds available for private sector purposes.

Program Outcome 1.4 - Improved legal, regulatory and policy performance

The fourth component of the Mission's strategy is to help ensure that enabling policies, regulations and laws exist within which private sector expansion and investment can occur. In this regard the Mission will actively support two types of changes. One priority is to effect those one-time reforms which are needed to remove legal, regulatory or policy obstacles to greater competitiveness and growth. These reforms will be explicitly listed in the Mission's policy reform agenda, and their progress will be monitored regularly (see CROSS-CUTTING ISSUES). The second priority is to help build those public institutional capacities which are essential to the functioning of an efficient private sector.

4. Changes in Program Outcome Indicators

Program Outcome 1.1: Reduced Government Control of Productive Resources

Indicator 1 - Percentage (and value) of targeted government investment and assets (by type) transferred to long-term private control

This is a combination of the six earlier indicators "Number of SOEs with over 50% private equity and management control," "Value of SOE assets transferred to private sector control as a percentage of total SOE assets," "Increase in number of state-owned enterprises divested," and "Increase in value of total productive assets divested," "Increase in number of irrigation systems transferred to farmer organizations and private sector investments in economic infrastructure". It counts and values three types of government assets - state-owned enterprises, government land, and other government assets such as buildings and irrigation canals and the value of investments in infrastructure which have been transferred to the private sector.

Program Outcome 1.2: Improved Technologies, More Diverse Products and New Markets

Indicator 1 - Value of investments in new technologies by targeted firms

This is a new indicator which values company expenditures on both fixed and working capital in order to show the spread and productive use of new technologies introduced by USAID programs. **The PRISM Team encourages the mission to rethink whether this single indicator is sufficient for determining progress on Program Outcome 1.2. The program outcome is considerably broader than the information captured by the indicator.**

Program Outcome 1.3: More Accessible, Efficient Financial Markets

Indicator 1 - Value of tradeable private equity and debt

This is a new indicator which values GSL quoted securities, OTC securities, corporate bonds and security market mortgages in order to show the volume of private savings being channeled by investment through these key financial instruments. **The PRISM Team encourages the mission to rethink whether this single indicator is sufficient for determining progress on Program Outcome 1.3. The program outcome is considerably broader than the information captured by the indicator. The initial set of indicators considered during the PRISM Team's visit covered the program outcome statement more comprehensively and the mission may want to consider adding one or more of these indicators.**

Program Outcome 1.4: Improved Legal, Regulatory and Policy Performance

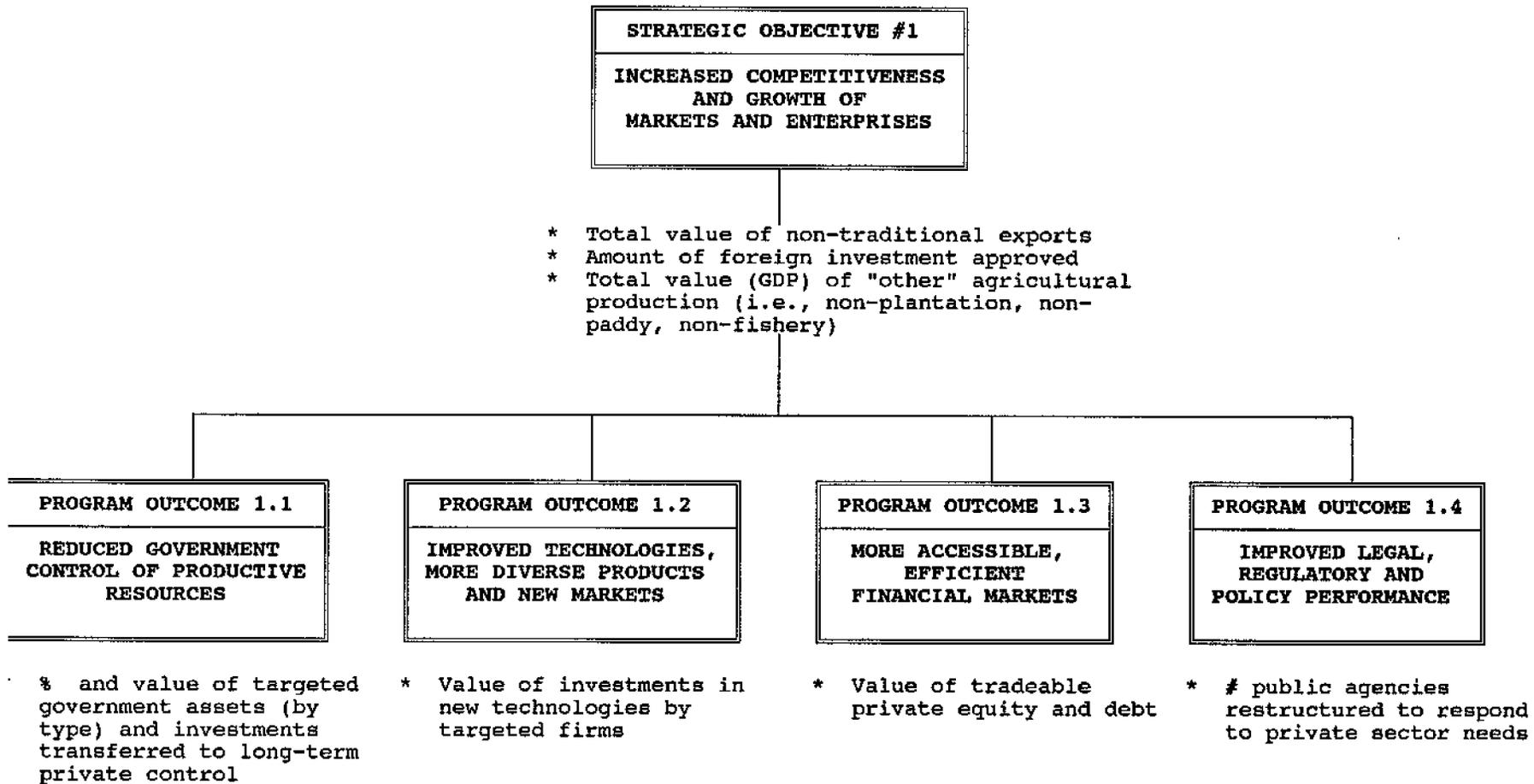
Indicator 1 - Number of public agencies restructured to respond to private sector needs

This is a new indicator which counts the number of public agencies, authorities or other administrative entities which have been reorganized, downsized, or disbanded in order to reduce public expenditure, reduce controls over the economy, and/or increase efficiency of services to the private sector. **The PRISM Team encourages the mission to rethink whether this single indicator is sufficient for determining the extent to which progress is being achieved on Program Outcome 1.4. The existing indicator is likely to measure potential performance rather than actual performance. The mission may want to consider identifying indicators that reflect specific results of legal, regulatory or regulatory change (i.e. time necessary to register private firms, time/access to foreign exchange).**

5. Critical Assumptions

1. Prices and markets for Sri Lanka's major traditional exports (garments, tea, etc.) do not decline significantly
2. Government of Sri Lanka continues to allow exchange rates to be largely market determined
3. GSL continues slow, but steady face of liberalization despite impending elections
4. No major droughts or physical disasters in Sri Lanka and generally normal weather patterns.

05/21/93



PERFORMANCE MONITORING PLAN FOR S.O. #1

SED COMPETITIVENESS AND GROWTH OF MARKETS AND ENTERPRISES

PRECISE DEFINITION OF INDICATOR	UNIT OF MEASUREMENT	SPECIFIC SOURCE OF DATA	DETAILS OF DATA COLLECTION METHODS AND APPROACH	TIMING AND FREQUENCY OF DATA COLLECTION	FUTURE COSTS OF COLLECTING INFORMATION AND SOURCE OF FUNDS	RESPONSIBLE PERSON/OFFICE AND SUPPORTING ACTIVITIES
<p>Value = In current dollars converted at current rate (in year of)</p> <p><u>Traditional Exports</u> = All exports garments, loose tea, labor, and rubber, unprocessed coconut.</p>	Value in current dollars	Export Development Board (EDB) database	EDB database is updated monthly. Nissanka Weerasekera of PSD will initially call EDB and obtain total exports, subtract traditional exports and convert the balance to dollars at the current rate. In future years, USAID will purchase the data directly from customs.	Monthly	Cost: Time of USAID staff.	<p>PSD: Nissanka Weerasekera</p> <p>TIPS 383-0108 AGENT 383-0111 MED 383-0090 MARD 383-0086 PL-480 Title III</p>
<p><u>Investment</u> = In dollars at time approved.</p> <p>= By BOI.</p>	Investment in Current Dollars	Board of Investment	Nissanka Weerasekera of PSD will call BOI to obtain data on this indicator.	Monthly	Cost: Time of USAID staff	<p>PSD: Nissanka Weerasekera</p> <p>PPI 383-0118 TIPS 383-0108 AGENT 383-0111 MED 383-0090 MARD 383-0086</p>
<p>Value = In dollars.</p> <p><u>Agriculture Production</u> = Includes natural products, except Paddy, Crops and Fisheries.</p>	Rate of increase of real value of production	Central Bank Report	Central Bank Reports are annually received by USAID. ANR will review the report to obtain the data.	Annually	Cost: Time of Mission Staff	<p>ANR: Tissa de Soyya</p> <p>MARD 383-0086 MED 383-0090 AGENT 383-0111 DARP 383-0058 Title III ISM 383-0080</p>

PERFORMANCE MONITORING PLAN FOR PO1.1

Strategic Objective 1: INCREASED COMPETITIVENESS AND GROWTH OF MARKETS AND ENTERPRISES

Program Outcome 1.1: REDUCED GOVERNMENT CONTROL OF PRODUCTIVE RESOURCES

PRECISE DEFINITION OF INDICATOR	UNIT OF MEASUREMENT	SPECIFIC SOURCE OF DATA	DETAILS OF DATA COLLECTION METHODS AND APPROACH	TIMING AND FREQUENCY OF DATA COLLECTION	FUTURE COSTS OF COLLECTING INFORMATION AND SOURCE OF FUNDS	RESPONSIBLE PERSON/OFFICE AND SUPPORTING ACTIVITIES
<p><u>STATE-OWNED ENTERPRISES:</u> Market value at time of sale, converted to time of sale. <u>Government Assets (Types)</u> = All SOEs on list (62). Any sales exceeding the value to be counted. <u>to Long Term Private Control</u> = ownership exceeds 50%.</p> <p><u>GOVERNMENT LAND:</u> Standard value per acre in dollars, converted from rupees at current exchange rate. <u>Government Assets (Types)</u> = GSL land, PL-480 agreements, MED Privatization Program. <u>to Long Term Private Control</u> = control exceeds 15 years.</p> <p><u>OTHER GOVERNMENT ASSETS:</u> Standard value per square foot (for per linear unit (for irrigation canals)). <u>Government Assets (Types)</u> = Mahaweli irrigation canals, MP. <u>to Long Term Private Control</u> = ownership exceeds 50% and/or private control exceeds 15 years.</p> <p><u>INVESTMENTS:</u> dollars. <u>Investments</u> = Infrastructure Projects; privately operated projects in power, transport, telecommunications, or</p>	<p><u>A. STATE-OWNED ENTERPRISES:</u> Percent of Assets (Percent of value cannot be calculated since values are unknown in advance. Instead, use percent of the number of firms on the list.) Value of Assets in Rupees or Dollars (see above)</p> <p><u>B. GOVERNMENT LAND:</u> Percent of Assets (Percent of lands transferred out of the total list to be transferred) Value of Assets in Rupees or Dollars (see above)</p> <p><u>C. OTHER GOVERNMENT ASSETS:</u> Percent of Assets (Percent of assets transferred out of the total list) Value of Assets in Rupees or Dollars (Converted to rupees at the rate of exchange at time of transfer)</p> <p><u>D. INVESTMENTS IN INFRASTRUCTURE</u> Value of Private Investments in Dollars</p>	<p><u>A. STATE-OWNED ENTERPRISES:</u> COPEd Ministry of Finance</p> <p><u>B. GOVERNMENT LAND:</u> PL-480 Title III documentation MED quarterly reports</p> <p><u>C. OTHER GOVERNMENT ASSETS:</u> PL-480 Title III documentation ISMP Quarterly Reports MARD Quarterly Reports SCOR Quarterly Reports MED Quarterly Reports</p> <p><u>D. INVESTMENTS IN INFRASTRUCTURE</u> SIDI - Secretariat for Infrastructure Development and Investment</p>	<p><u>A. STATE-OWNED ENTERPRISES:</u> Periodic interviews with COPEd director</p> <p><u>B. GOVERNMENT LAND:</u> Self-explanatory</p> <p><u>C. OTHER GOVERNMENT ASSETS:</u> Contractor monitoring of asset transfer</p> <p><u>D. INV. IN INFRASTRUCTURE</u> Project contractors will collect these data regularly from SIDI.</p>	<p><u>A. STATE-OWNED ENTERPRISES:</u> Available at any time; collect as needed.</p> <p><u>B. GOVERNMENT LAND:</u> Quarterly for MED and PL-480 Title III</p> <p><u>C. OTHER GOVERNMENT ASSETS:</u> Quarterly</p> <p><u>D. INV. IN INFRASTRUCTURE</u> Quarterly</p>	<p><u>A. STATE-OWNED ENTERPRISES:</u> <u>Cost:</u> Time of Mission Staff</p> <p><u>B. GOVERNMENT LAND:</u> <u>Cost:</u> Time of Mission Staff</p> <p><u>C. OTHER GOVERNMENT ASSETS:</u> <u>Cost:</u> Built into contractor reporting</p> <p><u>D. INVESTMENTS IN INFRASTRUCTURE</u> <u>Cost:</u> Built into project-level M&E systems. <u>Source:</u></p>	<p><u>A. STATE-OWNED ENTERPRISES:</u> PSD: Dinesha De Silva PSPS 383-0100 PL-480 Title III</p> <p><u>B. GOVERNMENT LAND:</u> ANR: Tiassa de Souza Indra Abeyackera PL-480 Title III MED</p> <p><u>C. OTHER GOVERNMENT ASSETS:</u> ANR Fahil Mohamed Indra Abeysekera ISMP MED <u>D. INV. IN INFRASTRUCTURE</u> PRJ: Leel Wickramaarachchi PPI 383-0118</p>

PERFORMANCE MONITORING PLAN FOR PO1.1.2

Strategic Objective 1: INCREASED COMPETITIVENESS AND GROWTH OF MARKETS AND ENTERPRISES

Program Outcome 1.2: IMPROVED TECHNOLOGIES, MORE DIVERSE PRODUCTS AND NEW MARKETS

PRECISE DEFINITION OF INDICATOR	UNIT OF MEASUREMENT	SPECIFIC SOURCE OF DATA	DETAILS OF DATA COLLECTION METHODS AND APPROACH	TIMING AND FREQUENCY OF DATA COLLECTION	FUTURE COSTS OF COLLECTING INFORMATION AND SOURCE OF FUNDS	RESPONSIBLE PERSON/OFFICE AND SUPPORTING ACTIVITIES
<p>Cost incurred, in dollars, at the rate prevailing at the time the investment is made.</p> <p>Investment = Company expenditure on working capital.</p> <p>Technologies = Any initiative by a firm that presents to that firm use of new managerial knowledge, skills, or processes used to develop, produce, and/or market goods or services.</p> <p>Firms = Client companies of the project, MED and MARD, ACDI.</p>	Value of Investments in Dollars	Project contractor or grantee quarterly reports	Nissanka Weerasekera from PSD and Lionel Jayaratne from ANR will obtain these data from a review of project quarterly reports.	Annually	<p><u>Cost:</u> Built into project-level M&E systems.</p> <p><u>Source:</u> TIPS, AgEnt, MED, MARD.</p>	<p><u>PSD Nissanka Weerasekera</u></p> <p><u>ANR Tissa de Soyza</u></p> <p>TIPS 383-0108 AGENT 383-0111 MED 383-0090 MARD 383-0086 ACDI 383-0101</p>

PERFORMANCE MONITORING PLAN FOR PO1.3

gic Objective 1: INCREASED COMPETITIVENESS AND GROWTH OF MARKETS AND ENTERPRISES

Program Outcome 1.3: MORE ACCESSIBLE, EFFICIENT FINANCIAL MARKETS

PRECISE DEFINITION OF INDICATOR	UNIT OF MEASUREMENT	SPECIFIC SOURCE OF DATA	DETAILS OF DATA COLLECTION METHODS AND APPROACH	TIMING AND FREQUENCY OF DATA COLLECTION	FUTURE COSTS OF COLLECTING INFORMATION AND SOURCE OF FUNDS	RESPONSIBLE PERSON/OFFICE AND SUPPORTING ACTIVITIES
<p>dollar value at time of initial issue converted to current dollars at time of issue.</p> <p><u>Private Equity</u> = GSL quoted JTC securities.</p> <p><u>Private Debt</u> = Corporate bonds, market mortgages.</p>	<p>Value of Equity in Dollars</p> <p>Value of Debt in Dollars</p>	<p>Colombo Stock Exchange of CDS</p>	<p>These data are available all the time. Vajira Kulatileke will contact the Colombo Stock Exchange of CDS to obtain these data.</p>	<p>Annually</p>	<p><u>Cost:</u> Time of Mission staff</p>	<p><u>PSD:</u> Vajira Kulatileke <u>HSG:</u> Kamalini Fernando</p> <p>PSPS 383-0100 HIG</p>

PERFORMANCE MONITORING PLAN FOR PO1.4

c Objective 1: INCREASED COMPETITIVENESS AND GROWTH OF MARKETS AND ENTERPRISES

Program Outcome 1.4: IMPROVED LEGAL, REGULATORY AND POLICY PERFORMANCE

BASE DEFINITION OF INDICATOR	UNIT OF MEASUREMENT	SPECIFIC SOURCE OF DATA	DETAILS OF DATA COLLECTION METHODS AND APPROACH	TIMING AND FREQUENCY OF DATA COLLECTION	FUTURE COSTS OF COLLECTING INFORMATION AND SOURCE OF FUNDS	RESPONSIBLE PERSON/OFFICE AND SUPPORTING ACTIVITIES
<p>eg= Selected corporations, other entities. Marketingaddy Marketing Board, Insurance Corp., Fisheries Fisheries Corp., Department, Mahaweli Authority of Sri an Services Department, artment.</p> <p>Reorganized, down-sized,</p> <p>ade more efficient.</p> <p>= Non-governmental ctor.</p> <p>ices and over-sight.</p>	<p>Number of Agencies</p>	<p>Project level M&E Systems of MARD, MED, Ag Planning, and PL480</p>	<p>Seneka Abeyratne, Tissa De Soyza and Jim Goggin of ANR will review the quarterly reports of Ag Planning and PL480 to obtain the data on this indicator.</p>	<p>Quarterly</p>	<p><u>Cost:</u> Built into project-level M&E Systems.</p> <p><u>Source:</u> Project funds</p>	<p><u>ANR: Gary Alex and Jim Goggin</u></p> <p>PL480 Title III APAP 383-0083 DARF 383-0058</p>

Table 1.0.b: DATA FOR SOI: BASELINE, EXPECTED RESULTS, AND ACTUAL RESULTS
Strategic Objective 1: INCREASED COMPETITIVENESS AND GROWTH OF MARKETS AND ENTERPRISES

BASELINE DATA		EXPECTED AND ACTUAL RESULTS											
		1993		1994		1995		1996		1997		1998	
YEAR	VALUE	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL
92	Rs.41,185 Million (@46.00)												
1992	895M	(BL+10%) 1000M		('93+10%) 1100M		1200M		1300M		1400M		1600M	
1992	Rs.23,245 Million (@46.00)												
1992	505M	(BL+10%) 560M		('93+10%) 610M		670M		740M		810M		900M	
1992	Rs.14,426 Million (@46.00)												
1992	310M	(BL+8%) 335M		('93+8%) 360M		390M		420M		455M		490M	

DATA FOR PO1.1 – BASELINE, EXPECTED RESULTS, AND ACTUAL RESULTS
Strategic Objective 1: INCREASED COMPETITIVENESS AND GROWTH OF MARKETS AND ENTERPRISES
Program Outcome 1.1: REDUCED GOVERNMENT CONTROL OF PRODUCTIVE RESOURCES

BASELINE DATA		EXPECTED AND ACTUAL RESULTS											
		1993		1994		1995		1996		1997		1998	
YEAR	VALUE	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL
1992	167M	332M		500M									
1992	1M	12M		53M		95M		138M		181M		219M	
1992	25M	45M		58M		69M		74M		81M		82M	

1993	0	0		20M		60M		140M		260M		440M	
1992	193M 16%	389M 31%		631M 51%		724M 58%		852M 69%		1022M 82%		1241M 100%	

DATA FOR PO1.2 -- BASELINE, EXPECTED RESULTS, AND ACTUAL RESULTS
Strategic Objective 1: INCREASED COMPETITIVENESS AND GROWTH OF MARKETS AND ENTERPRISES
Program Outcome 1.2: IMPROVED TECHNOLOGIES, MORE DIVERSE PRODUCTS AND NEW MARKETS

	BASELINE DATA		EXPECTED AND ACTUAL RESULTS											
			1993		1994		1995		1996		1997		1998	
	YEAR	VALUE	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL
1992	4.2M	4.2M	4.7M	8.9M	7.1M	16.0M	11.6M	27.6M	8.8M	36.4M	5.5M	41.9M		

DATA FOR PO1.3 -- BASELINE, EXPECTED RESULTS, AND ACTUAL RESULTS

agic Objective 1: INCREASED COMPETITIVENESS AND GROWTH OF MARKETS AND ENTERPRISES

Program Outcome 1.3: MORE ACCESSIBLE, EFFICIENT FINANCIAL MARKETS

BASELINE DATA		EXPECTED AND ACTUAL RESULTS											
		1993		1994		1995		1996		1997		1998	
YEAR	VALUE	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL
1991	8.07M												
1992	28.3M	41M		46M		53M		59M		72M		82M	
	0	1M		5M		9M		9M		10M		11M	
	28.3M	42M		51M		62M		68M		82M		93M	

DATA FOR PO1.4 -- BASELINE, EXPECTED RESULTS, AND ACTUAL RESULTS
Strategic Objective 1: INCREASED COMPETITIVENESS AND GROWTH OF MARKETS AND ENTERPRISES
Program Outcome 1.4: IMPROVED LEGAL, REGULATORY AND POLICY PERFORMANCE

BASELINE DATA		EXPECTED AND ACTUAL RESULTS											
		1993		1994		1995		1996		1997		1998	
YEAR	VALUE	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL
1992	2	-		2		3		1					

B. Strategic Objective No. 2: Improved Practices for Sustained Productivity of Natural Resources

1. Current Status of Strategic Objective

There has been a significant change made to the wording of this strategic objective. The former wording was "Sustainable Productivity of Natural Resources," but the Mission recognizes that this level of impact is beyond its manageable interest. The recent work by the Africa Bureau, CDIE, and RTI to develop the five-level E/NRM indicator framework has shown that the former strategic objective represented is, in fact, a Level V impact. The Mission, like many other Missions, now believes that it is far more appropriate to aim for a Level III strategic objective - the adoption of better management practices by natural resource users. Accordingly, this strategic objective is now directed at altering behavioral practices, accepting the assumption that improved practices then lead to improved biophysical conditions and to development.

2. Changes in Indicators

None of the previous six indicators are being retained. Two new indicators are listed below.

Indicator 1 - Number of hectares and percentage of targeted land with improved conservation techniques

This is a new indicator to capture the concept of agricultural production practices designed to produce sustainable resource use. It also captures the concept of protecting wildlife and biodiversity. It replaces the earlier indicator "More private rural investments (time, money) in land and water resource improvements."

Indicator 2 - Percentage of new investments which are subject to EIA requirements that have substantially complied with EIA recommendations

This is an improvement of the earlier indicator "Greater percentage of new investments complying with environmental review regulations and recommendations."

3. Current Status of Program Outcomes

Program Outcome 2.1 - Increased local management and shared control of natural resources

The only small change made to this program outcome is to refine the phrase "local participation" to read "local management," in order to capture more precisely the outcome desired.

Program Outcome 2.2 - Increased public awareness of and involvement in environmental issues

There have been no changes made to this program outcome.

Program Outcome 2.3 - Application of improved techniques and technologies by key "actors"

The only small change made to this program outcome is to refine the phrase "new techniques" to read "improved techniques", in order to recognize that not all new techniques are necessarily better and that some excellent techniques are, in fact, quite old.

Program Outcome 2.4 - Improved legal, regulatory and policy performance

This program outcome formerly read "Environmentally-oriented policies, regulations and procedures in place and enforced" and was indicated as a sub-program outcome supporting the three program outcomes. The Mission has raised it to the program outcome level in order to indicate that accomplishments in this area have a direct as well as an indirect influence on the strategic objective. In all other ways this remains the same concept as before.

4. Changes in Program Outcome Indicators

Program Outcome 2.1: Increased Local Management and Shared Control of Natural Resources

Indicator 1 - Number of hectares, percentage of targeted area covered by agreements between the GSL and local resource user groups

This is an improvement of the earlier indicator "Greater number of agreements between the GSL and local resource management groups in selected geographic areas."

Additional Changes in Program Outcome Indicators

Two indicators, "Greater number of land titles issued" and "Greater number of public scoping sessions and public hearings held on environmental issues and development projects" have been dropped because they do not directly reflect the program outcome.

Program Outcome 2.2: Increased Public Awareness of and Involvement in Environmental Issues

Indicator 1 - Percentage of general public involved in environmental issues

This is an improvement of the earlier indicator "Greater public involvement in environmental issues".

Additional Changes in Program Outcome Indicators

The indicator "Greater number of children receiving environmental education in targeted school districts" has been dropped because of its less-direct connection with Mission activities. The indicator "Greater public awareness of environmental issues" has also been dropped.

Program Outcome 2.3: Application of Improved Techniques and Technologies by Key "Actors"

Indicator 1 - Percentage of targeted farm households using improved environmental techniques

This is a new indicator to capture how many farm households change their behavior, regardless of the size of their farmland.

Additional Changes in Program Outcome Indicators

Seven of the eight original indicators have been dropped. They are: "Greater percentage of USAID-sponsored environmental assessment recommendations implemented," "Greater number of mitigation plans approved by licensing agency for high-polluting industries," "Greater percentage of selected high-polluting factories implementing approved mitigation plans," "Greater number of environmentally-oriented technological units imported," and "Greater number of new information systems operational," "Increasing investments by resource management groups in new technologies in selected areas," and "Greater number of private Sri Lankan firms with environmental capabilities."

Program Outcome 2.4: Improved Legal, Regulatory and Policy Performance

Indicator 1 - Number of judicial actions enforcing the National Environmental Action Plan (NEAP)

This is a new indicator to capture the GSL's environmental enforcement performance.

5. Critical Assumptions

1. GSL takes actions to devolve real authority over resource management to local and community groups
2. Changes in taxation and subsidies provide disincentives to consumption of environmental goods
3. GSL ensures qualified staffing in environmental cells.

05/21/93

STRATEGIC OBJECTIVE #2

**IMPROVED PRACTICES FOR
SUSTAINED PRODUCTIVITY
OF NATURAL RESOURCES**

- * # hectares, % targeted land with improved conservation techniques
- * % new investments which are subject to EIA requirements that have substantially complied with EIA recommendations

PROGRAM OUTCOME 2.1

**INCREASED LOCAL
MANAGEMENT AND SHARED
CONTROL OF NATURAL
RESOURCES**

- * # hectares, % targeted area covered by agreements between the GSL and local resource user groups

PROGRAM OUTCOME 2.2

**INCREASED PUBLIC
AWARENESS OF AND
INVOLVEMENT IN
ENVIRONMENTAL ISSUES**

- * % general public involved in environmental issues

PROGRAM OUTCOME 2.3

**APPLICATION OF
IMPROVED TECHNIQUES
AND TECHNOLOGIES
BY KEY "ACTORS"**

- * Investments by resource user groups in environmentally sound techniques and technologies in selected areas

PROGRAM OUTCOME 2.4

**IMPROVED LEGAL,
REGULATORY AND
POLICY PERFORMANCE**

- * # of judicial actions enforcing environmental laws

PERFORMANCE MONITORING PLAN FOR S.O. #2

PROVED PRACTICES FOR SUSTAINED PRODUCTIVITY OF NATURAL RESOURCES

PRECISE DEFINITION OF INDICATOR	UNIT OF MEASUREMENT	SPECIFIC SOURCE OF DATA	DETAILS OF DATA COLLECTION METHODS AND APPROACH	TIMING AND FREQUENCY OF DATA COLLECTION	FUTURE COSTS OF COLLECTING INFORMATION AND SOURCE OF FUNDS	RESPONSIBLE PERSON/OFFICE AND SUPPORTING ACTIVITIES
<p><u>and</u> = Selected areas in System B, several watersheds in SP, and two western coastal sites. block of park land within 3 parks.</p> <p><u>Conservation Techniques</u> = fuel woodlots, land and water on, riverine revegetation, coastal movements, park lands.</p>	<p>Number of Hectares Percent of land</p>	<p>Contractor quarterly project reports:</p> <p>NAREP/URI and CARA SCOR/HIMI MARD/DAI DWLC</p>	<p>Data will be collected as part of the project level M&E systems of NAREP, SCOR, and MARD. Project Contractors will provide results in their quarterly reports.</p>	<p>Annually</p>	<p><u>Cost</u>: Built into project-level M&E systems. <u>Source</u>: Project funds.</p>	<p><u>PRJ</u>: <u>Avanthi Jayatileke</u> NAREP 383-0109</p> <p><u>ANR</u>: <u>Mohan Siribaddana</u> SCOR 383-0109 <u>Fallil - System B</u></p> <p><u>ANR</u>: <u>Nimal Javasingha</u> MARD 383-0086</p>
<p><u>Investments</u> = Any new site or existing site</p> <p><u>EIA Requirements</u> = As given in regulations</p> <p><u>Fully Complied</u> = All regulations to be followed upto the operations/production.</p> <p><u>Recommendations</u> = As written in the report</p>	<p>Percent of the Number of New Investments Requiring EIAs</p>	<p>CEA and PAA records, EIAs, consultant reports, input by citizen groups</p>	<p>Local consultant will be hired to review EIAs for regulations/recommendations, review CEA and PAA records, visit sites and/or send questionnaire, and interview NGOs to assess compliance.</p>	<p>Annually, probably during the fourth quarter</p>	<p><u>Cost</u>: Approx. \$3,000 <u>Source</u>: NAREP Project Funds</p>	<p><u>PRJ</u>: <u>Avanthi Jayatileke</u> NAREP 383-0109</p>

PERFORMANCE MONITORING PLAN FOR PO 2.1

ED PRACTICES FOR SUSTAINED PRODUCTIVITY OF NATURAL RESOURCES

SED LOCAL MANAGEMENT AND SHARED CONTROL OF NATURAL RESOURCES

PRECISE DEFINITION OF INDICATOR	UNIT OF MEASUREMENT	SPECIFIC SOURCE OF DATA	DETAILS OF DATA COLLECTION METHODS AND APPROACH	TIMING AND FREQUENCY OF DATA COLLECTION	FUTURE COSTS OF COLLECTING INFORMATION AND SOURCE OF FUNDS	RESPONSIBLE PERSON/OFFICE AND SUPPORTING ACTIVITIES
<p>Average of a sampling of 10 areas.</p> <p><u>Area</u> = 62,100 hectares. in selected watershed/irrigation</p> <p><u>Key Agreements</u> = These are agreements between the parties</p> <p><u>User Groups</u> = Irrigation, or village groups</p>	<p>Number of Hectares</p> <p>Percent of Area Covered</p>	<p>NAREP Reports</p> <p>SCOR Reports</p> <p>Irrigation Management Division of GSL</p>	<p>Avanthi Jayatilaka will extract data from NAREP reports.</p> <p>Mohan Siribaddana of ANR will review SCOR quarterly reports for data.</p> <p>Mohamed Fallil of ANR will extract data from Irrigation Management Division reports.</p>	<p>Annually</p>	<p><u>Cost</u>: Built into project-level M&E systems.</p> <p><u>Source</u>: Project funds.</p>	<p><u>PRJ</u>: Avanti Jayatilake</p> <p><u>ANR</u>: Mohan Siribaddana and Mohamed Fallil</p> <p>NAREP</p> <p>SCOR 383-0109</p> <p>MARD 383-0086</p> <p>ISMP & IMPSA (old project with benefit stream continuing to influence progress on this indicator)</p>

PERFORMANCE MONITORING PLAN FOR PO 2.2

3D PRACTICES FOR SUSTAINED PRODUCTIVITY OF NATURAL RESOURCES

3D PRACTICES FOR SUSTAINED PUBLIC AWARENESS OF AND INVOLVEMENT IN ENVIRONMENTAL ISSUES

PRECISE DEFINITION OF INDICATOR	UNIT OF MEASUREMENT	SPECIFIC SOURCE OF DATA	DETAILS OF DATA COLLECTION METHODS AND APPROACH	TIMING AND FREQUENCY OF DATA COLLECTION	FUTURE COSTS OF COLLECTING INFORMATION AND SOURCE OF FUNDS	RESPONSIBLE PERSON/OFFICE AND SUPPORTING ACTIVITIES
<p><u>Public</u> = Cross-section of Sri Lankans as established in the plan.</p> <p>Indicating activity on the</p> <p><u>Environmental Issues</u> = Any environmental issues related to the Mission's activities.</p>	<p>Percent of General Public (disaggregated by sex)</p>	<p>IRG public opinion poll</p>	<p>IRG will conduct a public opinion poll involving individual interviews with 4,000 people. The first poll (baseline) will be conducted in 1993.</p>	<p>1993 1994 1997 (End of Project)</p>	<p><u>Cost:</u> Included under PO 2.2 Indicator 1 costs. <u>Source:</u> NAREP</p>	<p><u>PRJ:</u> <u>Avanthi Jayatileke</u> NAREP 383-0109 PVO II (TAF) 383-0101</p>

PERFORMANCE MONITORING PLAN FOR PO 2.3

ADAPTED PRACTICES FOR SUSTAINED PRODUCTIVITY OF NATURAL RESOURCES

ADAPTION OF IMPROVED TECHNIQUES AND TECHNOLOGIES BY KEY "ACTORS"

PRECISE DEFINITION OF INDICATOR	UNIT OF MEASUREMENT	SPECIFIC SOURCE OF DATA	DETAILS OF DATA COLLECTION METHODS AND APPROACH	TIMING AND FREQUENCY OF DATA COLLECTION	FUTURE COSTS OF COLLECTING INFORMATION AND SOURCE OF FUNDS	RESPONSIBLE PERSON/OFFICE AND SUPPORTING ACTIVITIES
<p><u>Farm Households</u> = (MARD, 1,400)</p> <p>This will be determined according to the technique. For Integrated Pest Management, criteria will have to be e.g. used on at least 1/3 of land.</p> <p><u>Environmental Techniques</u> = Pest Management, Windbreaks, Conservation, On Farm Water Management, Drainage Improvements.</p>	Percent of Farm Households	Project M&E Systems of: MARD, SCOR.	Project Contractor/Grantee for each project will submit these data in their quarterly reports which will then be retrieved by USAID Project Managers (Nimal Jayasuriya, Mohan Siribaddana).	Annually		<p><u>ANR: Nimal Jayasuriya, Mohan Siribaddana</u></p> <p>MARD 383-0086 SCOR 383-0109</p>

PERFORMANCE MONITORING PLAN FOR PO 2.4

AD ENVIRONMENTAL PRACTICES FOR SUSTAINED PRODUCTIVITY OF NATURAL RESOURCES

ED LEGAL, REGULATORY AND POLICY PERFORMANCE

PRECISE DEFINITION OF INDICATOR	UNIT OF MEASUREMENT	SPECIFIC SOURCE OF DATA	DETAILS OF DATA COLLECTION METHODS AND APPROACH	TIMING AND FREQUENCY OF DATA COLLECTION	FUTURE COSTS OF COLLECTING INFORMATION AND SOURCE OF FUNDS	RESPONSIBLE PERSON/OFFICE AND SUPPORTING ACTIVITIES
<p><u>itions</u>= Judicial actions could suits.</p> <p>s clearly specified in the already-AP and Fauna and Flora</p>	<p>Number of actions, disaggregated by administrative vs. judicial</p>	<p>CEA legal department, public interest law groups, environmental NGOs, DWLC, Forestry Department</p>	<p>PIGs and NGOs will provide regular reports; environmental NGO and the GSL might also do a special study</p>	<p>Annually</p>	<p><u>Cost</u>: \$1,000 <u>Source</u>: NAREP, GSL</p>	<p><u>PRJ</u>: Avanthi Jayatileke NAREP 383-0109</p>

LINE, EXPECTED RESULTS, AND ACTUAL RESULTS
ACTICES FOR SUSTAINED PRODUCTIVITY OF NATURAL RESOURCES

BASELINE DATA		EXPECTED AND ACTUAL RESULTS											
		1993		1994		1995		1996		1997		1998	
YEAR	VALUE	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL
1992	40H .1%	40,425H 13.1%		117,550H 30%		194,675H 50%		290,600H 74%		384,100H 98%		495,100H 127%	
1992	TBD	40%		50%		60%		70%		80%		90%	

-- BASELINE, EXPECTED RESULTS, AND ACTUAL RESULTS

D PRACTICES FOR SUSTAINED PRODUCTIVITY OF NATURAL RESOURCES

ED LOCAL MANAGEMENT AND SHARED CONTROL OF NATURAL RESOURCES

BASELINE DATA		EXPECTED AND ACTUAL RESULTS											
		1993		1994		1995		1996		1997		1998	
YEAR	VALUE	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL
1992	11,040H 17%	16,400H 26%		27,500H 44%		37,700H 61%		46,600H 75%		55,600H 90%		62,100H 100%	

-- BASELINE, EXPECTED RESULTS, AND ACTUAL RESULTS

D PRACTICES FOR SUSTAINED PRODUCTIVITY OF NATURAL RESOURCES

3ED PUBLIC AWARENESS OF AND INVOLVEMENT IN ENVIRONMENTAL ISSUES

BASELINE DATA		EXPECTED AND ACTUAL RESULTS											
		1993		1994		1995		1996		1997		1998	
YEAR	VALUE	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL
92/93	24%					40%						50%	

3 -- BASELINE, EXPECTED RESULTS, AND ACTUAL RESULTS

3D PRACTICES FOR SUSTAINED PRODUCTIVITY OF NATURAL RESOURCES

ADoption OF IMPROVED TECHNIQUES AND TECHNOLOGIES BY KEY "ACTORS"

BASELINE DATA		EXPECTED AND ACTUAL RESULTS											
		1993		1994		1995		1996		1997		1998	
YEAR	VALUE	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL
1993	600 2%	600 2%		2,450 8%		6,150 20%		13,600 45%		22,300 73%		30,400 100%	

- **BASELINE, EXPECTED RESULTS, AND ACTUAL RESULTS**

1 PRACTICES FOR SUSTAINED PRODUCTIVITY OF NATURAL RESOURCES

D LEGAL, REGULATORY AND POLICY PERFORMANCE REGULATIONS

BASELINE DATA		EXPECTED AND ACTUAL RESULTS											
		1993		1994		1995		1996		1997		1998	
YEAR	VALUE	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL	EXP'ED	ACTUAL
1992	8	15		22		30		37		44		50	

Strategic Objective No. 3: Greater empowerment of broad range of citizens, including vulnerable groups, to participate in development and democracy

1. Current Status of Strategic Objective

Reflecting the newness and continued evolution of democracy as a program component for the Mission, this strategic objective has undergone extensive discussion and revision. The earlier wording was "broader and more effective citizen participation in selected democratic systems." The mission has decided, however, to emphasize the links between democratic processes and social/economic development, and the need to empower all people to to participate fully in economic, social and political development. USAID/Sri Lanka's development experience points to the importance of empowering people through the provision of basic sustenance, rights to resources, and protection of political rights and freedoms before they are in a position to participate in and benefit from development. The shift in emphasis also strengthens the connections between this strategic objective and the other two. **While the PRISM Team understands that the earlier wording of the strategic objective reflected a more limited strategy, the team recommends that the mission rethink the additional phrase of "Greater empowerment". Empowerment is often considered either a means of accomplishing broader and more effective participation or has been used to mean almost the same thing as participation (e.g. when people participate, they feel empowered). Another rationale for possibly eliminating this phrase is that the two indicators chosen measure the results of the mission's empowerment work: broader and more effective participation rather than the activities used to empower citizens to participate. Therefore, by framing of the strategic objective in terms of participation alone (dropping empowerment), the concept/purpose embodied in the SO is communicated more directly, the indicators identified to measure progress are more consistent with the objective statement, and the mission concerns regarding the links between democratic processes and social/economic development continue to be addressed.**

This focus encompasses a wide range of public-policy issues and citizen interests. It gives explicit importance to enabling the disadvantaged and disenfranchised to enter fully into the country's progress, and it recognizes the key role that citizen-based non-government organizations (NGOs) play in advocating the interests of these groups. Poverty alleviation is highlighted as a focus, as is mitigation of the effects of the civil conflict.

While including this broader range of development issues, the democracy strategic objective retains the core political concerns of human rights, rule of law and freedom of information. The common thread in this broadly-defined objective is thus the notion of citizen empowerment, with support for the NGO movement as the centerpiece of implementation. Extensive changes have also been made to the program outcomes and indicators supporting the achievement of the reformulated strategic objective.

2. Changes in Strategic Objective Indicators

Indicator 1 - Percentage of surveyed citizens personally active in promoting democracy and development, and/or attributing value/effectiveness to citizen activism.

This is a new indicator designed to measure increased perceptions of the effective role citizens can play in advancing economic, social and political conditions, as well as actual participation in efforts toward that end, with special emphasis on group activities. A baseline survey will assess people's current attitudes toward the role of citizen activism in a democratic society, with follow-up surveys in future years measuring increases in such perceptions and participation as public confidence in "people power" grows. The survey will consist of a basic questionnaire addressed to a statistically valid random sample of citizens as well as more in-depth interviews with community and NGO leaders. Attitudes of government officials toward citizen activism and organizations will also be assessed at the outset through interviews, and tracked for change. A proposal for AID/Washington funding of this survey has been submitted to the Asia Democracy Program; a copy of the proposal is attached to this report as Annexure 2.

Indicator 2 - Number of targeted public-policy decisions influenced by organized citizen input.

This indicator seeks to capture actual progress made by citizens, especially those working through NGOs, in exerting influence over government decisions that affect people's well-being. It is a reformulation of two prior program outcome indicators, "Increased number of key public policy issues identified and advocated by NGOs," and "An upward trend in the number of key public policy debates/decisions that NGOs have directly influenced." Key decisions in areas central to our development objectives will be selected each year for case-study analysis to determine the role played by citizens (especially citizen groups) in determining their outcomes. Such decisions may include economic policy reforms, environmental approvals of development projects, legal or human-rights policies (such as decisions to invoke or relax emergency regulations) or social policies (such as improving social safety-net programs).

3. Current Status of Program Outcomes

Program Outcome 3.1 - More viable and effective NGO movement

This program outcome is an abbreviated version of the earlier wording, "an active, independent, effective NGO community influencing public policy on behalf of their constituencies." The concept, however, is the same.

As indicated above, the Mission's democracy strategy is predicated on the assumption that citizen organizations are key to the development of a healthy civil society and economy

number of NGOs, and the Mission has a long tradition of support to private voluntary organizations (PVOs), a subset of the NGO community. The aim of this strategy, however, is to strengthen the role of NGOs in democracy and development by increasing their focus on public-policy advocacy of policies and programs that enhance the quality of life for all citizens, especially vulnerable populations. The advocacy function will include not only the more obvious areas of environmental quality and human rights, but also support for policies beneficial to the NGOs' constituent groups. For example, NGOs with a focus on women and children will be encouraged not only to carry out programs for their benefit but also to publicize and advocate their interests in conjunction with public-policy development and debate (such as promoting legislation on education, child labor or prostitution).

The viability and effectiveness of the NGO movement also includes institutional strengthening and improvement of NGOs' operating environment (i.e., the legal and regulatory framework under which they function and gain governmental recognition), and both of these concepts will be central features of the Mission's next-generation NGO Project, Citizen Participation in Development and Democracy (CIPART), which is scheduled to begin in FY 1994.

Program Outcome 3.2 - Strengthened rule of law

This program outcome is a simplification and broadening of the prior program outcome, "human rights well protected and defended by government and citizenry." Human rights concerns continue at the forefront of U.S. foreign-policy concerns in Sri Lanka, and USAID/Sri Lanka continues to support education, research and advocacy aimed at fostering improvement in the situation. The principal current activity in this regard is grant support for the Centre for the Study of Human Rights at the University of Colombo. The Centre recently scored a significant success by conducting (with USAID funding) an extensive and influential analysis of the country's emergency regulations and developing a policy paper advocating drastic reduction in the number and scope of these regulations, which remove many normal constitutional and legal protections. Reforms recently announced by the government implemented some of the Centre's recommendations, and GSL spokesmen stated at the recent meeting of the U.N. Human Rights Commission in Geneva that the Government intends to implement the Centre's other recommendations in the near future.

USAID/Sri Lanka also continues to support legal systems development through its democracy grant to the Asia Foundation. The new CIPART Project will have a major component for assisting legal and human rights advocacy groups.

Program Outcome 3.3 - Increased range of public information and opinion available on selected development issues

The oft-repeated truism that "information is power" underlies this aspect of the empowerment strategy. This program outcome is a redraft and combination of the earlier "a

more independent and professional electronic and print media" and "more informed legislative and public-policy decision-making." The new program outcome is broader in one sense and narrower in another; "public information and opinion" encompasses a wider range than "electronic and print media," but the kinds of information/opinion of interest to the Mission is narrowed to that covering "selected development issues." The earlier focus on legislators and public policy makers as the information end-users remains valid but is no longer the exclusive interest; rather, information availability to the broader population is also important and thus no qualifier is applied.

USAID/Sri Lanka currently supports an extension and improvement of information/opinion availability through the journalism training programs of the Asia Foundation and its local partner organizations (the Marga Institute and the University of Colombo). Additional activities are planned under the CIPART Project, including sponsorship of public opinion research on key development topics and technical assistance to one or more organs of the alternative press. In addition, various components of other existing projects support increased information flow and transparency in key development areas, such as financial markets.

Program Outcome 3.4 - Impacts of war and poverty mitigated

This new program outcome is responsive to two critical constraints on people empowerment in Sri Lanka. USAID/Sri Lanka's program is substantially directed toward low-income people and households and toward generation of higher incomes. In addition, various components of the Mission's work with NGOs address the needs of other vulnerable groups, including children and victims of the long-standing ethnic conflict. To participate fully in generating and benefitting from economic and social development and in exercising their political rights, people must be free of the barriers caused by war and poverty.

Additional Changes in Program Outcomes

In addition to the changes described above, the following program outcomes have been dropped: "Legal and institutional framework conducive to increased broad-based private control of productive assets" is now implied in program outcome 1.1. "Better citizen access to the legal system, and better performance by entry-level judges and lawyers" remains a sub-project level target, but does not merit designation as a program outcome.

4. Changes in Program Outcome Indicators

In keeping with USAID/Sri Lanka's strong desire to reduce the total number of indicators to a manageable number with practical and realistic tracking prospects, the number of program outcome indicators related to Strategic Objective No. 3 has been reduced from 26 to 6. Those selected for inclusion are directly related to program activities, so that in most cases monitoring can be accomplished within the context of existing and planned projects and sub-projects.

This Strategic Objective (and its related Program Outcomes) does not lend itself to quantifiable indicators as easily as the other two. Furthermore, there is little data currently available to use as baselines against which to measure future performance. Consequently, the Mission will soon undertake a major effort to develop an analytical plan that will result in reasonable means for tracking movement toward these program outcomes relying heavily on surveys, case studies, interviews and narrative reports. The analytical plan and baseline data will be formulated in the summer of 1993 with the assistance of two student interns.

Program Outcome 3.1: More viable and effective NGO movement

Indicator - Number of NGOs educating the public and/or advocating policies and programs benefitting vulnerable groups, human rights and environmental quality, and following recognized standards of performance and accountability.

This new indicator will use a survey of NGOs to measure the increase of NGOs' attention to the advocacy and public-awareness functions described above. Tracking will measure both the emergence of new groups and the reorientation or expansion of existing groups into advocacy and public awareness-building. Thus (to again use the example of children) the indicator would count as a gain an NGO that previously operated orphanages and now moves into lobbying for reform of laws on adoption or child labor. Using existing NGO data bases, the Mission will initially identify those currently involved in advocacy and/or awareness-building and will annually track the increase in the number of NGOs so involved as a result of USAID efforts. The baseline survey (and later follow-ups) being designed to track the first Strategic Objective Indicator will also be used to help identify NGO advocacy and awareness activities.

The second part of this indicator focuses improvements in the program performance and accountability of NGOs. Many Sri Lankan NGOs now operate in somewhat closed, non-democratic styles with less-than-stringent financial controls. The Mission is supporting development of acceptable regulatory or voluntary codes of conduct for NGOs -- not only to meet the requirements of A.I.D. and other donors, but also to discourage over-regulation of - or interference with -- NGO operations by the government. Financial, administrative, ethical and programmatic standards or norms will be developed in collaboration with the NGO community to encourage increased levels of NGO adherence to accepted practices. The NGO survey will question NGOs about their practices and their subscription to recognized codes of conduct or to consortia representing such codes.

Program Outcome 3.2: Strengthened rule of law

Indicator - # of human rights violations and/or limitations on constitutional rights and protections reported by watchdog NGOs

This new indicator gives appropriate emphasis to the USG's fundamental foreign-policy concern with human rights in Sri Lanka and the abridgement of political rights and freedoms -- for example, through the promulgation of emergency powers -- that has occurred in the country over the last several years. It also highlights the important role that NGOs play in monitoring trends in this area. While initial data-gathering is likely to focus on tracking by Amnesty International and Asia Watch, the Mission expects to see increased activism in human-rights data-gathering by local NGOs such as the Mission-supported Centre for the Study of Human Rights. Specific indicators, such as the number of disappearances or political killings, or the existence of individual emergency regulations such as suspension of time limits on pre-trial detention, will be selected for tracking.

Program Outcome 3.3: Increased range of public information and opinion available on selected development issues

Indicator - Number of publications & articles offering non-partisan, in-depth reporting, commentary and public-opinion data on key development issues

The shortage of high-quality reporting, editorial comment and public-opinion research on development topics is being addressed by the Mission in its support for journalism education and pilot efforts in public opinion polling, and USAID/Sri Lanka will increase its emphasis on this area in the near future. Recent encouraging evidence of the emergence of a viable "alternative" press suggests that there should be visible improvement over the next several years. Key publications and information services will be tracked and their contents analyzed at selected times each year.

Program Outcome 3.4: Impacts of war and poverty mitigated

Indicator 1 - Number of targeted low-income households achieving incomes and increasing assets above poverty level

This indicator of the empowerment of the poor will focus on households participating in USAID/Sri Lanka's various income-enhancing efforts such as micro-enterprise development programs and skills training supported by the PVO and CIPART Projects, agro-industry promotion through the MED and AgEnt Projects, and land-tenure reform through NAREP/SCOR and P.L. 480 Title III self-help measures. Measurable improvements in income, particularly graduation from poverty (defined as income-based eligibility for food stamps) and accumulation of productive and social assets will be tracked by survey.

Indicator 2 - Percentage of infants & pre-school children with chronic malnutrition

The most fundamental form of empowerment, of course, is the provision of physical energy through adequate nourishment so people can be productive and can develop to their fullest potential. While Sri Lanka's social indicators -- including infant/child mortality and life expectancy -- are generally unusually good for a low-income country, there is evidence of pockets of malnutrition and of widespread under-nutrition (as seen in low weight and height indicators for children). The Mission is addressing nutritional and food-security concerns through the P.L. 480 program and is working with the GSL to improve the availability of timely and accurate data on child nutrition by supporting the pilot phase of an innovative new nutrition survey. This survey, to begin in mid-1993, will make data available rapidly and regularly (at six-month intervals) for the first time in all areas other than the conflict-affected northeast, and the results of the surveys will serve as the primary data source for this indicator.

The Mission hopes to assist with the extension of the survey to the northeast in the near future; in the meantime, USAID/Sri Lanka is promoting food security in the conflict area through a self-help agricultural "productive relief" program in which seeds, fertilizer and other inputs, as well as revolving loan funds, are made available to farmers in the war zone, with CARE and local NGOs serving as intermediaries. The Mission is tracking nutritional indicators in the conflict zone to the extent possible, and will also consider these in determining performance under this indicator.

Indicator 3 - Percentage of persons displaced by war/disaster with access to basic human needs and income-generating activities

In addition to the nutrition surveillance of the conflict zone just described -- which focuses primarily on people remaining in their own homes within the conflict zone -- the Mission will also follow indicators of basic health and welfare among the estimated 600,000 people displaced by the conflict and currently residing in camps both inside and outside the conflict zone. Data will be collected from GSL and international NGO sources and possibly by a direct survey of displaced persons.

The Mission's assistance to displaced people is evolving, and will emphasize empowerment and "productive relief" aimed at minimizing dependency and welfare. Provision of resources for income generation and self-employment will be the primary focus of these programs. Efforts of a number of local and international NGOs will be tracked to determine USAID/Sri Lanka's effectiveness in implementing this concept and promoting its adoption by other donors. More specifically, and depending on the feasibility of obtaining the data, the Mission will try to track the number of people who have started self-employment enterprises, the number of cooperatives started by refugees, the number of loans for productive activities received by displaced persons, and/or the number of acres cultivated by residents of refugee camps.

5. Critical Assumptions

The major assumptions underlying Strategic Objective No. 3 and its related Program Outcomes and Indicators are:

1. Basic political stability, including the existence of a democratically elected government, will be maintained adequately enough for citizen activism to function effectively;
2. The GSL will maintain a cooperative stance with regard to NGOs, permitting them to maintain their independence and freedom from interference, and acceding to their dedication of adequate financial resources for their own effective operations and development;
3. No severe impediments to freedom of association or expression, or to the availability of information, are imposed by any party; and
4. USAID's own financial resources will be adequate to maintain a viable program supporting this strategic objective.

The Mission will review the status of these assumptions as part of its annual PRISM reporting exercise.

6. Outstanding Issues and Next Steps

The major remaining task is the development of the analytical plan (including survey designs), the gathering of baseline data and the establishment of targets for the indicators supporting strategic objective no. 3. As mentioned above the Mission now expects to make significant progress toward these ends with the assistance of two student research assistants between June and August 1993. This effort will occur in parallel with the design of the Citizen Participation in Development and Democracy (CIPART) Project, with the resulting research data contributing both to PRISM monitoring and to project design, since the CIPART Project will serve as the lead (though not the sole) Project for the Mission's "empowerment" objective.

Among the specific steps required are:

1. Design and implementation of a baseline survey of attitudes toward and participation in citizen activism;
2. Selection of public-policy issues and decisions to be monitored for evidence of effective citizen activism, and design of the monitoring approach;

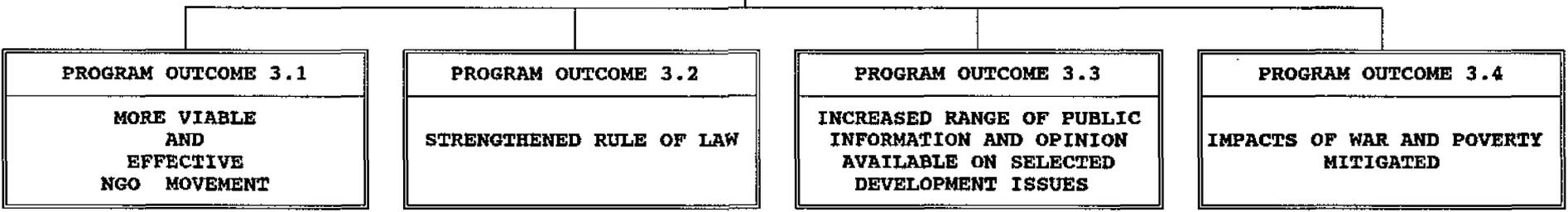
3. Updating of existing information on Sri Lankan NGOs and their activities, especially with regard to advocacy of the interests of their constituents;
4. Review of recent Amnesty International, Asia Watch and Embassy reports on human rights;
5. Review of the current status of Emergency Regulations and comparison with the recommendations for reform/revocation of ERs made by the Centre for the Study of Human Rights;
6. Review of all USAID-funded activities targeted at income generation and micro-enterprise or self-employment promotion among low-income households, to determine the availability of income data;
7. Review (when it is available) of the results of the first national child nutrition survey; and
8. Review of programs for and needs of Sri Lanka's 600,000 displaced persons, emphasizing income-generation programs and needs.

In each of the above areas, gender disaggregation will be required to the maximum practical extent. It is unlikely that existing human rights data will be available on a gender-specific basis, but the other areas should lend themselves to identification of gender issues and performance data.

05/21/93

STRATEGIC OBJECTIVE #3
GREATER EMPOWERMENT OF BROAD RANGE OF CITIZENS, INCLUDING VULNERABLE GROUPS, TO PARTICIPATE IN DEVELOPMENT AND DEMOCRACY

- * % of surveyed citizens personally active in promoting democracy and development, and/or attributing value/effectiveness to citizen activism.
- * # of targeted public-policy decisions influenced by organized citizen input.



PROGRAM OUTCOME 3.1
MORE VIABLE AND EFFECTIVE NGO MOVEMENT

* # of NGOs focused on policies and programs benefitting vulnerable groups and/or advocating human rights and environmental issues and following recognized standards of performance and accountability.

PROGRAM OUTCOME 3.2
STRENGTHENED RULE OF LAW

* # of human rights violations and/or limitations on constitutional rights and protections reported by watchdog NGOs

PROGRAM OUTCOME 3.3
INCREASED RANGE OF PUBLIC INFORMATION AND OPINION AVAILABLE ON SELECTED DEVELOPMENT ISSUES

* # of publications and articles offering non-partisan, in-depth reporting, commentary and public-opinion data on key development issues.

PROGRAM OUTCOME 3.4
IMPACTS OF WAR AND POVERTY MITIGATED

- * # of targeted low-income households achieving incomes and increasing assets above poverty level.
- * % of infants and pre-school children with chronic malnutrition
- * % of persons displaced by war/disaster with access to basic human needs and income generating activities

PERFORMANCE MONITORING PLAN FOR S.O. #3

EMPOWERMENT OF BROAD RANGE OF CITIZENS, INCLUDING VULNERABLE GROUPS, TO PARTICIPATE IN DEVELOPMENT AND DEMOCRACY

PRECISE DEFINITION OF INDICATOR	UNIT OF MEASUREMENT	SPECIFIC SOURCE OF DATA	DETAILS OF DATA COLLECTION METHODS AND APPROACH	TIMING AND FREQUENCY OF DATA COLLECTION	FUTURE COSTS OF COLLECTING INFORMATION AND SOURCE OF FUNDS	RESPONSIBLE PERSON/OFFICE AND SUPPORTING ACTIVITIES
<p><u>Citizens</u> = A sample of approximately 100 people selected at random from voter rolls for a baseline survey and intermittent follow-on surveys.</p> <p><u>Promoting</u> = Personally involved and efforts to strengthen development and democracy.</p> <p><u>QOL</u> = Social and/or economic well-being at the micro or macro level, higher living standards and quality of life for a substantial number of people.</p> <p><u>Participation</u> = The processes by which citizens exercise broadly-accepted and constitutionally-enshrined rights to select their representatives, influence the formulation of public policy, and hold leaders of government accountable for the effective and efficient use of public resources.</p> <p><u>Perceived value/effectiveness</u> = Showing a high level of favorable attitudes toward the government as described in the survey, in terms of its ability to produce positive results and contribute to development and democracy.</p> <p><u>Civil society</u> = Activities organized and undertaken by citizens outside government, in groups, to advance democracy and development.</p>	People	Special surveys and interviews.	Sample survey of around 2,500 people.	Baseline 1993-94 Repeats 1996 1998	Est. \$ 25,000- 30,000 per survey PD&S CIPART project	PRJ/DHVI Division Chief

<p><u>Decisions</u> = Specific decisions during the year for analysis, -4 in number, which are of key concerns for socio-development and/or for the democratic rights and freedoms.</p> <p><u>Key</u> = Matters determined by a decision or action and affecting a large number of people or a major long-term economic, political or social importance.</p> <p><u>Impact</u> = Affected by public expression or public input into the decision-making process.</p> <p><u>Scope</u> = Going beyond purely government effort, encompassing group and/or recognized citizens.</p> <p><u>Output</u> = The actions of citizens that result in public opinion being formed and incorporated into government decision-making processes.</p>	<p>Case studies of policy decisions selected as representative of areas of public policy that are relevant to USAID strategy.</p>	<p>Input from USAID staff working in policy areas covered by decisions; project and GSL reports; press accounts; interviews with NGO leaders, GSL official.</p>	<p>See data sources.</p> <p>Case study methodology, to be carried out by USAID Democracy Officer and/or local consultants.</p>	<p>Timing determined by events but anticipate development of one case study per quarter.</p>	<p>Low cost. Any local consultancies will be funded by PD&S or CIPART Project.</p>	<p>PRJ/DHVI Division Chief and Democracy Officer.</p>
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PERFORMANCE MONITORING PLAN FOR PO3.1

EMPOWERMENT OF BROAD RANGE OF CITIZENS, INCLUDING VULNERABLE GROUPS, TO PARTICIPATE IN DEVELOPMENT AND DEMOCRACY
LE AND EFFECTIVE NGO MOVEMENT

PRECISE DEFINITION OF INDICATOR	UNIT OF MEASUREMENT	SPECIFIC SOURCE OF DATA	DETAILS OF DATA COLLECTION METHODS AND APPROACH	TIMING AND FREQUENCY OF DATA COLLECTION	FUTURE COSTS OF COLLECTING INFORMATION AND SOURCE OF FUNDS	RESPONSIBLE PERSON/OFFICE AND SUPPORTING ACTIVITIES
<p>non-profit, non-governmental organizations that are created and led by private citizens for the purpose of carrying out development and/or welfare activities, and/or advocating public policies in a variety of areas; includes but is not limited to private citizens' organizations (PVOs). Placing primary or significant emphasis on a particular area of activity or concern.</p> <p><u>Programs</u> = Advocacy of public policies (as above) and/or activities aimed at addressing social and economic problems (see below). = Having a discernable positive impact on intended beneficiaries in terms of improved living, quality of life and general well-being.</p> <p><u>Vulnerable groups</u> = Those groups of private citizens who are less well-equipped to represent their interests through normal democratic processes and/or who are victims of personal or social misfortune, discrimination or oppression. They may include children, the elderly, the disabled, women, people with little or no access to economic opportunity or inadequate social services, and the physically or mentally handicapped or ill. = Making representations of their interests through speech, publication, or action in meetings or other public fora, with a view to affecting public opinion and/or influencing the actions of elected representatives or decision-makers.</p> <p><u>Human rights</u> = The fundamental rights and freedoms recognized worldwide through the Universal Declaration of Human Rights and other international bodies as applicable to all persons, irrespective of race, gender, religion, culture or national origin.</p>	<p># of NGOs:</p> <ol style="list-style-type: none"> 1) advocating policies benefitting vulnerable groups 2) advocating human rights 3) advocating environmental protection 4) subscribing to voluntary code of conduct for NGOs (to be developed) 	<ol style="list-style-type: none"> 1) Existing directories and data bases of NGOs (i.g. IRED directory, UNDP data base) 2) Interviews with NGOs (Survey) 3) Interviews with donors 	<p>In-house staff to work with local consultants on data collection and review of existing data, and survey of NGOs.</p>	<p>Baseline: 1993-94</p> <p>Follow-up (annual)</p>	<p>Local consultancy costs estimated at \$20,000 annually, to come from PD&S and CIPART project.</p>	<p>PRJ/DHVI:</p> <ol style="list-style-type: none"> 1) Division Chief 2) Democracy Officer 3) PVO Officer <p>Other USAID staff Local Consultants</p>

<p><u>it</u>= The sound condition and y of natural resources such as air, and energy resources that are vital to omic and social well-being and quality</p> <p><u>standards</u>= Practices followed by is and sanctioned by widely-accepted ations or codes to ensure honest, appropriate use of financial and other trusted to the organizations.</p> <p><u>g</u>= Delivery of services or benefits ions according to the purposes and agreed to in advance between the is and the providers of financial or rees to the organizations.</p> <p><u>lity</u>= Documentation that ensures and s appropriate and legal use of all d/or other resources provided to an s, whether for specific or general</p>						

PERFORMANCE MONITORING PLAN FOR PO3.2

EMPOWERMENT OF BROAD RANGE OF CITIZENS, INCLUDING VULNERABLE GROUPS, TO PARTICIPATE IN DEVELOPMENT AND DEMOCRACY

ENHANCED RULE OF LAW

PRECISE DEFINITION OF INDICATOR	UNIT OF MEASUREMENT	SPECIFIC SOURCE OF DATA	DETAILS OF DATA COLLECTION METHODS AND APPROACH	TIMING AND FREQUENCY OF DATA COLLECTION	FUTURE COSTS OF COLLECTING INFORMATION AND SOURCE OF FUNDS	RESPONSIBLE PERSON/OFFICE AND SUPPORTING ACTIVITIES
<p>rights violations = For this selected violations of accepted rights norms, such as disappearances, judicial killings, that have been noted in Sri Lanka.</p> <p><u>Exceptions on constitutional rights and freedoms</u> = Exceptions or suspensions of legal rights and freedoms that are imposed by the imposition of Emergency Regulations or the Prevention of Terrorism Act, with particular attention concerning freedom of expression, assembly, and rights regarding arrest, detention, and trial.</p> <p>Noted in written reports of human rights organizations both in Sri Lanka and elsewhere, including (but not limited to) Amnesty International and Asia Watch.</p> <p><u>NGOs</u> = Organizations formed for the purpose of monitoring the activities of government and government-sponsored entities (such as the military) in terms of the conduct of their duties and/or their observance of human rights norms.</p>	<p># of killings # of disappearances # of other violations (to be selected) # of emergency regulations in force, relaxed, revised or eliminated.</p>	<p>Embassy HR reports</p> <p>Amnesty International</p> <p>Asia Watch</p> <p>Local NGOs (Centre for Study of Human Rights)</p>	<p>Review of reports</p> <p>Discussions with Embassy POL staff, NGO leaders</p>	<p>Annual</p>	<p>Little or none.</p>	<p>PRJ/DHVI Democracy Officer and Division Chief</p>

PERFORMANCE MONITORING PLAN FOR PO3.3

EMPOWERMENT OF BROAD RANGE OF CITIZENS, INCLUDING VULNERABLE GROUPS, TO PARTICIPATE IN DEVELOPMENT AND DEMOCRACY

RANGE OF PUBLIC INFORMATION AND OPINION AVAILABLE ON SELECTED DEVELOPMENT ISSUES

PRECISE DEFINITION OF INDICATOR	UNIT OF MEASUREMENT	SPECIFIC SOURCE OF DATA	DETAILS OF DATA COLLECTION METHODS AND APPROACH	TIMING AND FREQUENCY OF DATA COLLECTION	FUTURE COSTS OF COLLECTING INFORMATION AND SOURCE OF FUNDS	RESPONSIBLE PERSON/OFFICE AND SUPPORTING ACTIVITIES
<p>Press & Articles = Definition is self-; for this purpose, selected publications Sinhala and Tamil will be tracked for 12 month periods annually in order to measure the extent and quality of coverage of development issues.</p> <p>NGO = Not affiliated with or controlled by any organized political party.</p> <p>Reporting = Reporting that contains balanced coverage of the important issues (including history and background information) relevant to the subject matter, and endeavors to go beyond the facts of events to discuss the issues and solutions raised by those events.</p> <p>Opinion = Published articles of opinion or comment that offer analysis or judgment on the importance, the impact and implications for future actions that are current events or issues.</p> <p>Survey data = Information obtained through statistical methods or widely-used interviewing techniques in order to gauge the views of the overall population and/or specific segments of the population, regarding important social and economic issues.</p> <p>Development issues = Matters related to the level of living standards and quality of life, including incomes, employment, health, shelter, social equity (i.e., equality of opportunity and freedom from discrimination), and political rights and freedoms, economic performance and growth, political stability, etc.</p>	<p># of publications # of articles</p>	<p>Newspapers, magazines, journals, in English, Sinhala and Tamil</p>	<p>Contents analysis Interviews with journalists and editors</p>	<p>Semi-annual contents reviews of 1 month duration, beginning in July 1993</p>	<p>Low cost. Contents analysis, to be carried out by in-house staff, interns and/or local consultants. PD&S CIPART</p>	<p>PRJ/DHVI Division Chief and Democracy Officer</p>

PERFORMANCE MONITORING PLAN FOR P03.4

EMPOWERMENT OF BROAD RANGE OF CITIZENS, INCLUDING VULNERABLE GROUPS, TO PARTICIPATE IN DEVELOPMENT AND DEMOCRACY

WAR AND POVERTY MITIGATED

PRECISE DEFINITION OF INDICATOR	UNIT OF MEASUREMENT	SPECIFIC SOURCE OF DATA	DETAILS OF DATA COLLECTION METHODS AND APPROACH	TIMING AND FREQUENCY OF DATA COLLECTION	FUTURE COSTS OF COLLECTING INFORMATION AND SOURCE OF FUNDS	RESPONSIBLE PERSON/OFFICE AND SUPPORTING ACTIVITIES
<p>Selected from among households benefitting from USAID projects.</p> <p>Households below the poverty level, as defined</p> <p>Direct earnings (both cash and in-kind) from production and sale of goods and services through self-employment or hired labor by others.</p> <p>Assets = Acquisition of wealth in the form of real and personal property, savings and attainment of higher status and opportunity (e.g., completion of education).</p> <p>Level = At or below the upper limit of eligibility for food stamps in the area.</p>	Households	Beneficiaries of PVO projects, MED, AGENT, MEMS reports.	Surveys of loan recipients and trainees	According to M&E plans for MED and AGENT; annual MEMS reports, PVO quarterly progress reports	Little/no cost.	PRJ/DHVI ANR PRM

<p><u>Self-survey pre-school children</u> = Self-survey; sample will be surveyed by the new Nutritional and Health Households to be implemented with assistance by the Ministry of Planning and Implementation.</p> <p><u>Malnutrition</u> = Those who are less than 90% of the reference weight for weight (as measured by the National Center for Health Statistics) or within two standard deviations off the median; includes the acutely malnourished, defined as less than 80% of the reference median NCHS weight for</p>	# of children	National Nutritional Survey (Ministry of Policy, Planning and Implementation)	Sample survey of households	6 months frequency starting July 1993.	USAID (PL480) funding pilot survey. Subsequent surveys - GSL funds.	ANR (S. Abeyratne)
<p><u>Displaced</u> = Those who have left their homes and remained away from them for a minimum of three months, as a result of war or the fear of violence, or of natural disaster.</p> <p><u>War</u> = Armed conflict (declared or undeclared) affecting civilians as well as military combatants, or natural disaster such as, storm, landslide, earthquake, resulting in damage to persons, property and communities and interruption of normal economic and social life.</p> <p><u>Access</u> = Able to obtain services, goods and opportunities needed to carry out normal life activities without interruption or deprivation.</p> <p><u>Basic needs</u> = The fundamental requirements for leading a healthy and productive life of normal length, including food, clothing, shelter, education and a safe environment.</p> <p><u>Generating activities</u> = Activities that directly or indirectly contribute to the production of marketable goods and services and in which the return is adequate at least to meet basic</p>	Persons in welfare centers (refugee camps) to be surveyed	Ministry of Rehabilitation, Reconstruction and Social Welfare, Sri Lanka Red Cross, Save the Children, World Food Programme, CARE	Assessment of existing data will be done for baseline. Surveys of PVO and CIPART beneficiaries. Possible special survey.	Baseline July 1993. Annual reviews and updates.	TBD	PRJ/DHVI

1993		1 of 4 25%		3 of 8 38%		5 of 12 42%		11 of 16 69%		15 of 20 75%		20 of 24 83%	

ANNEXES

POLICY AGENDA MATRIX 1992-1996
 In conjunction with PRISM
 (draft)

Strategic Objective	Policy Objectives	Selected USAID strategies	USAID specific actions	Status ¹
1. Increased competitiveness and growth of market & enterprise	1.1 Reduce government control of productive resources	1.1.1 Strengthen institutional capacity of GSL to plan and implement privatization program. 1.1.2 Assist COPED in the privatization of 62 SOEs. 1.1.3 Reduce CWE trade monopoly 1.1.4 Privatize Fishery Harbor Corp 1.1.5 Privatize state plantations 1.1.6 Divestiture/leasing of Mahaweli facilities and land 1.1.7 Promote private sector participation in infrastructure : appropriate tariffs for water and waste water treatment and power; incentives for local long-term financing mechanisms; devolution of contracting authority to local agencies; revenue guarantees for BOO/BOT operations.	- COPED capable of planning and implementing privatization program. - 21 SOEs privatized to date, with firm plans for privatization of remaining 41 SOEs. - PDS study of CWE; PL480 benchmark; selected outlets divested. - PL480 benchmark, 50% complete - Mgmt Privatized, long leases under discussion - Commercialization Program under MED - SIDI (Secretariat for infrastructure development and investment) established; discussions to amend PPI to include funds for policy reform purposes.	1993-1996 + + ** ** + +

¹ Note: * done; ** partially done; # not done; + on-going

	<p>1.2 Improve competitiveness of Sri Lankan private sector</p>	<p>1.2.1 Assist MIST in formulation and promotion of policy and regulatory reforms which will liberalize the external sector.</p> <p>1.2.2 Advise GSL on reduction of maximum corporate tax rate.</p> <p>1.2.3 Advise GSL in rationalizing foreign investment incentives.</p> <p>1.2.4 Advise and technical assistance to GSL on Budget & Fiscal policy reforms</p> <p>1.2.5 Eliminate taxes on export crops</p>	<ul style="list-style-type: none"> - Studies to be undertaken on sequencing of further foreign exchange controls liberalization and to establish GSL guidelines related to determining cases of "dumping". - Maximum corporate tax reduced to 40%; to be reduced to 35% in 1994. - GSL proceeding with program to simplify and rationalize foreign investment incentives. - Performance budgeting introduced in 1993 budget (DS&T) - implement performance indicators and monitoring systems - software training arranged - training of accountants in budget management & accounting for budget reforms - training in progress - set-up fiscal policy monitoring unit (FPMU) in Min of Finance - set up research and planning unit (RPU) @ Dept. of Inland Revenue (DS&T) - near completion 	<p>1994 +</p> <p>**</p> <p>+</p> <p>**</p> <p>+</p> <p>+</p> <p>*</p> <p>*</p> <p>**</p>
	<p>1.3 More accessible and efficient financial markets</p>	<p>1.3.1 Broaden and deepen Sri Lanka's capital market through the development of more active and efficient trading systems and new capital market instruments</p> <p>1.3.2 Promote the development of a secondary market for government debt.</p> <p>1.3.3 Promote the development of a corporate bond market.</p> <p>1.3.4 Private sector participation in housing finance through mortgage investment schemes</p> <p>1.3.5. Promote commercial banking in Mahaweli</p>	<ul style="list-style-type: none"> - Measures to increase the breadth, depth and efficiency of the Colombo Stock Exchange are now being taken. Options regarding the development of an over the counter market or second tier market rate are now being considered. - Options for developing an active secondary market for government debt are now being considered. - Strategies to increase the issuance of corporate bonds now being considered. - altered GSL housing policy to provide financing at market rates. Private banks and HDFC (to be privatized) now active in provision of housing loans through HG-004 program. Innovative methods to enhance housing finance availability now being worked out. - MARD & MED assistance 	<p>1994 +</p> <p>#</p> <p>#</p> <p>**</p> <p>+</p>

2. Improved practices for sustained Productivity of Natural Resources	2.1. Improved management by shared control of natural resources.	2.1.1 Expedite land title grants issued, and number of long-term leases signed. 2.1.2 Resource User Agreements between GSL and private groups	- land survey and registration of title act - legal draft in consultation MLIMD; sanctioning of private surveyors in process; improve adjudication system in process. - SCOR activity just begun	1993 + +
	2.2. Increased public awareness and involvement in environmental issues	2.2.1 Specific guidelines for management and control of Wildlife parks and conservation of natural assets 2.2.2 GSL acceptance of public involvement in environmental issues; eco-friendly NGOs 2.2.3 use of environmental economics in analysis and accounts	- Development of Park Mgmt Plan. - increase public participation in EIA process and NGO activities - NAREP training and senior seminars; Min of Planning unit support	+ + +
	2.4 Improved legal and regulatory and institutional performance	2.3.1 Restructure Public agencies in Agriculture and Natural Resources (ANR) 2.3.2 Assist NPD to develop a system of national accounting incorporating environmental externalities 2.3.3 Assist GSL to implement environmental regulations in EIAs and Pollution Mgmt facilitating private sector participation in environmental assessment, audits, compliance & monitoring. 2.3.4 Assist M/EPA to develop an environmental policy agenda consistent with implementation of National Environmental Action Plan. 2.3.5. Liberalizing and publicize transparent Plant Quarantine Procedures 2.3.6 Assist NPD in policy analysis in agriculture	- AIB in process; DOA in process; MASL under study; ID-IMD under study - improve investment services - done - Environmental economics seminars in process for GSL&Private sector. - training is being provided -technical assistance being provided - Assisted by DARP and PL-480 leveraged - Assisted by APAP & PDS	+ * ** + + + +

<p>3. Greater empowerment of broad range of citizens including vulnerable groups to participate in development and democracy</p>	<p>3.1 More viable and effective NGO movement</p>	<p>3.1.1 Encourage GSL to complete work of NGO Commission and dissolve Commission as soon as possible, and issue public findings and recommendations.</p> <p>3.1.2 Emphasize to GSL importance of referring any evidence of NGO improprieties for normal legal redress and removing "holds" on approvals of grants to NGOs for which there is insufficient evidence to support legal proceedings.</p> <p>3.1.3 Develop appropriate legislation and/or guidelines for regulation of NGO activities and promote discussion of same within NGO community.</p> <p>3.1.4 Work with NGOs to develop standards for self-regulation (voluntary code of conduct) acceptable to GSL and donors.</p>	<p>- Commission in recess; major focus continues to be on investigation of a few key NGOs (Sarvodaya, Eye Donation Society). US Mission has been largely silent thus far on Commission. Convene group including Embassy, USAID and USIS to consider more active approach.</p> <p>- Same as above</p> <p>- USAID has invited Law & Society Trust to submit proposal in this area for ADP democracy grant competition; will include analysis of NGO regulation in Thailand, Philippines & Indonesia (building on earlier LST work in India, Bangladesh Nepal & Pakistan) as well as analysis of Sri Lanka needs.</p> <p>- LST research will include analysis of possibilities for voluntary code of conduct. Dialogue with GSL in interim should suggest this as appropriate mechanism for ensuring NGO responsibility.</p>	<p>#</p> <p>#</p> <p>**</p> <p>#</p>
	<p>3.2 Strengthened rule of law</p>	<p>3.2.1 Support work of Center for Study of Human Rights and others aimed at elimination of all Emergency Regulations not directly needed for military/security purposes.</p> <p>3.2.2 Provide data and analysis to support Embassy dialogue with GSL on issues related to detention and other human rights concerns.</p>	<p>- CSHR study contributed directly to two GAL actions relaxing selected ERs in February and April. More action anticipated before Aid Group Meeting in June.</p> <p>- USAID to work with POL on ways to increase cooperation and communication on these issues, including occasional briefings for Ambassador by USAID democracy/human rights grantees</p>	<p>**</p> <p>#</p>
	<p>3.3 Increased range of public information and opinion available on selected development issues</p>	<p>3.3.1 Encourage development and/or strengthening of non-partisan independent press.</p> <p>3.3.2 Encourage development of independent capability to collect and disseminate data on public opinions on public-policy issues.</p>	<p>- Need to identify key publications (e.g., Ravaya, Counterpoint, Pravada) and meet regularly with editors to encourage them. Dialogue with GAL to stress importance of a viable independent press in a democracy and indicate USG monitoring to ensure it is free of persecution or limitation.</p> <p>- Survey of attitudes toward (and participation in) NGO activities being proposed to AID/W for ADP funding.</p>	<p>#</p> <p>#</p>

Note: * done; ** partially done; # not done; + on-going
August 2, 1993

Working definition for Policy:

a principal ; a plan; course of action as pursued by a government, an organization, or an individual. [Webster's]

AID/Sri Lanka policy objectives:

selected set of economic reforms or guidelines, deliberately framed, adopted and implemented by the government of Sri Lanka, through its various governmental agencies. . to achieve a democratic, environmentally sustainable, and an open market NIC by 2001.

Selected strategies:

indicate a course of action pursued to achieve specific policy targets

Specific actions:

Priority reforms planned and implemented

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**SURVEY OF ATTITUDES TOWARD AND PARTICIPATION IN
CITIZEN ACTIVISM AND NON-GOVERNMENTAL ORGANIZATIONS IN
SRI LANKA**

**A Proposal to the Asia Democracy Program, 1993
Submitted by USAID/Sri Lanka**

The purpose of this project is to determine the views of the Sri Lankan populace toward active citizen participation in democratic processes and in economic/social development efforts at the local, regional and national level in Sri Lanka, and to assess the extent to which citizens are currently playing active roles through non-governmental organizations (NGOs) in promoting democracy and/or development in the country.

The project's specific objectives are to:

1. **Assess the importance of citizen activism in Sri Lanka -- as advanced by efforts of NGOs -- in Sri Lanka at this time, as indicated by the views of the general public and of the leadership elites both inside and outside government;**
2. **Provide baseline data regarding current attitudes toward and actual participation in citizen activism and NGOs against which to track future trends and A.I.D.'s success in promoting citizen activism through its programs and projects;**
3. **Test the use of opinion research, to be carried out by a Sri Lankan firm with expertise in conducting statistical surveys, on a topic important to USAID/Sri Lanka's strategic objective of empowering a broad range of citizens, including vulnerable groups, for participation in development and democracy; and**
4. **Develop an empirical basis on which to promote reasonable NGO-related policies, standards and regulations in Sri Lanka and to inform a policy dialogue aimed at ensuring the NGOs' independence and operating viability.**

The project would have the following outputs:

1. A report containing **statistical data** on the attitudes and activities of respondents to a **statistically valid sample survey of at least 2,500 Sri Lankan citizens**, disaggregated by gender, income group, urban/rural location and educational level, with regard to citizen activism generally and NGOs in particular;
2. A report on the results of a series of **interviews with focus groups and/or key informants** both inside and outside government regarding the same issues, as well as additional questions on the regulatory or self-regulatory standards of conduct that respondents consider appropriate for application to Sri Lankan NGOs; and

3. A report containing in-depth analysis of the findings of both of the preceding investigations, carried out by a U.S. political scientist with expertise in opinion research and in democracy and development in developing countries, as well as specific recommendations for USAID programs and policy dialogue

These outputs will be achieved as a result of the following inputs:

1. A contract with a local survey firm and/or research entity to conduct the survey and focus-group interviews;
2. A contract with a U.S. political scientist well-versed in the democracy/development nexus and in the political culture of citizen activism and organizations.

Background and Rationale

USAID/Sri Lanka has recently refined its strategic objectives to include the (slightly modified) objective of

Greater empowerment of a broad range of citizens, including vulnerable groups, to participate in development and democracy

In support of this objective, the Mission has reaffirmed its emphasis on strengthening NGOs as an important means of providing ordinary citizens with a voice in public policy-making, in advocating and carrying out developmental programs of benefit to their constituencies, and in protecting fundamental rights and freedoms. The major instrument for working toward this strategic objective will be a new USAID/Sri Lanka bilateral project, Citizen Participation in Development and Democracy (CIPART), that is scheduled to begin in 1994 and will seek to strengthen a wide variety of NGOs.

It is assumed, on the basis of the presence of a reasonably strong NGO movement in Sri Lanka, that citizens attach importance to citizen activism and are willing to become personally involved in civic issues and activities. However, on this issue -- and, for that matter, all topics concerning democratic values, as well as social and economic development -- there is no empirical basis for testing this assumption because of the absence of public opinion research.

This lack has been noted by many observers and concerned citizens. A team sponsored by AID/Washington who conducted a democracy assessment in Sri Lanka in 1990 highlighted the need to develop an opinion research capability when they wrote:

Both USAID/Sri Lanka and local groups concerned with the development of a modern democratic society in which the rights of all groups are respected need the capability to understand more fully the attitudes and values of the populace...Today, the country lacks this capability...The mission should help

local research institutions develop a nonpolitical public opinion survey capability."

In 1992 the Mission proposed (and AID/Washington approved) an effort to analyze the feasibility of developing such a capability in Sri Lanka, but the Embassy's reading of the Sri Lankan political sensitivities suggested that the topic was too delicate to address in a high-profile way and thus the effort was not undertaken. More recently, the Vice Chancellor of the University of Colombo (and former Dean of the Law Faculty) G.L. Peiris stated in a speech (as reported in the press) that

"Sri Lanka [is] facing a period of crisis, ethnically, economically and culturally due to lack of public opinion [data] in the country...He said that in South Asian countries such as India, Pakistan and even Bangladesh, every shade of opinion [is] being highlighted in the media..."

The technical skills needed to conduct statistical surveys do exist in the country in academia, in one or two research institutes and in a small number of commercial market research firms. USAID/Sri Lanka's Natural Resources and Environmental Policy Project recently sponsored an opinion survey on environmental issues, which was carried out by a commercial firm and produced interesting and useful information about people's attitudes toward environmental problems. This experience suggests that the most appropriate and non-threatening way to introduce public opinion research to Sri Lanka may simply be to undertake attitudinal studies in key areas of importance to development, without heralding them as a new undertaking that may be interpreted by political leaders as the vanguard of electoral forecasting or popularity polling. A survey on citizen activism and NGOs is a logical place to begin, given the importance of these issues in civil society and culture as well as in USAID/Sri Lanka's strategy and program.

This survey would also provide the Mission with needed baseline data from which to track progress in implementing its citizen empowerment strategy and its NGO programs. The principal indicator identified by the Mission to support its strategic objective is:

Percentage of citizens personally active in promoting democracy and development, and/or attributing value/effectiveness to citizen activism

Activity Description

In answering the general questions of attitude and participation contained in the just-mentioned indicator, the sample survey of a cross-section of Sri Lankan citizens will produce data on the following more specific issues, based on questions to be devised by the survey experts:

A. Attitudes toward Citizen Activism and NGOs

1. Do respondents subscribe to a notion of "civic duty" beyond the most fundamental duty of citizens in a democratic system to participate in elections? If so, how do they define that duty? What place does the citizen organization or non-governmental organization (NGO) play in fulfilling that duty?
2. How important do respondents think it is for citizen organizations to be active in each of the following activities:
 - a. Giving input to legislators and/or policy-makers on issues such as social/welfare policy, environment, family planning, women's or minorities' rights, etc.;
 - b. Disseminating information and raising awareness among the public regarding the issues or constituencies they represent;
 - c. Carrying out programs to promote development and improved quality of life for vulnerable groups, minorities, etc.; and
 - d. Acting as watchdogs over the effectiveness and accountability of public-sector programs.
3. What do citizens see as the "comparative advantage" of NGOs in comparison with other entities (government, business, "experts", educational institutions, etc.) in promoting democracy and development?
4. How and to what extent do respondents think NGOs should be regulated or otherwise subjected to accountability for their actions and their use of donated funds?

B. Participation in Citizen Activism

1. What percentage of respondents have participated personally in citizen activism (as defined in the survey) in the last year?
2. How and how often have they participated?
3. How many respondents belong to an NGO and/or participate in its activities, and what specific role do they play in the NGO?
4. What kinds of NGOs, and on what geographic level (village, district, nation) do people participate in most frequently?
5. Among those who are active, what variables correlate most closely with participation level -- gender, age, geography, education and/or income level?
6. Among those who are inactive, what are the reasons/constraints/barriers that account for their inactivity?

The survey would be carried out during one month in late 1993 or early 1994 in the seven provinces of Sri Lanka outside the conflict-affected northeast. An estimated sample size of between 2,500 and 4,000 people will be required because of the lack of adequate demographic data from which to choose a smaller statistically valid sample. (The recent environmental survey used a sample size of 4,000.) At about the same time, a more qualitative in-depth investigation will be carried out through interviews with small groups of leaders from NGOs, government, business and academia, totalling about 50 persons.

The Mission's experience with the environmental survey revealed that local expertise in survey methodology is excellent in the data-gathering aspects but far less developed in the process of analysis and interpretation of opinion data. For this reason, the Mission is proposing the assistance of an American political scientist whose expertise includes the democracy/development linkage as well as opinion research and/or democracy-related indicators. The consultant would be requested to provide an interpretative report that would give the Mission, the NGO community and the government of Sri Lanka useful information on which to base future policies, NGO regulatory legislation and programs. At the same time, he/she would be asked to work closely with Sri Lankan counterparts to transfer skills of analysis and interpretation of opinion research data.

Implementation Strategy

On receipt of funding for this activity from AID/W, USAID/Sri Lanka will amend the PVO Co-Financing II Project (383-0101) to obligate the funds, under either the Special Activities or the Studies/Evaluation line item. (The project's authorized LOP funding contains a mortgage more than sufficient to accommodate this addition.) The Mission will then prepare a detailed SOW and request proposals from a minimum of three local firms or research entities for the sample survey and the focus-group interviews. At the same time, the Mission will work closely with ASIA/DR/TR to develop a separate scope of work and identify an appropriate person to carry out the analysis/interpretation of the survey results and strengthen the skills of the local survey contractor in conducting such analysis. The survey instrument will be developed by the contractor, pretested and modified as appropriate before the full field survey is undertaken. Assuming obligation of funds in August 1993, it is anticipated that the entire project, including analysis, will be completed in early 1994.

Estimated Cost

A detailed budget will be developed when the scopes of work for the survey contractor and the interpretive consultant are developed. Based on experience with the environment survey, the survey and focus-group interviews are estimated to cost \$25,000 and the technical assistance and analysis by the U.S. consultant to cost \$20,000, for a total cost of \$45,000.