

PD-ABN-658
92792

Expanding the Consensus on USAID/Malawi's Results Frameworks and Performance Measurement Plans

December 13, 1996

Submitted to:

Tonya Himelfarb
Monitoring and Evaluation
USAID/Malawi

Expanding the Consensus on USAID/Malawi's Results Frameworks and Performance Measurement Plans

Summary

This paper contains the work products developed by USAID/Malawi's SO Teams during a three week period between October 28 to November 15, 1996. These products were developed through an interactive process which in most cases involved Government of Malawi personnel from relevant ministries as well as USAID staff, USAID contractors and grantees, and in some instances other donor representatives. While the sessions in which these work products were facilitated by MSI consultants, the content and focus of the refined Results Frameworks and Performance Management Plans that have emerged were determined by the SO teams and their partners.

In addition to presenting these work products, this paper provides a few observations on USAID/Malawi's process and progress. Included as well are written summaries of the strategies the SO teams articulated for moving from the present stage in their process toward consensus with respect to their Results Frameworks and action that will ensure the flow of data that will be needed to monitor performance against those frameworks.

A. Background and Objectives

USAID/Malawi is operating under a Country Strategic Plan (CSP) for the period 1995-2000 that was approved conditionally in the Spring of 1995. Approval of this plan and a Mission management contract were finalized in 1996. USAID/Malawi's CSP describes the Mission's rationale for the five Strategic Objectives (SOs) on which it intends to concentrate. An Objective Tree which identifies a series of Intermediate Results (IR) for these SOs as well as performance indicators and targets for each SO and IR are also included in the Mission's CSP. The development of USAID/Malawi's CSP was supported by a variety of studies, including a June 1995 consultancy that helped the Mission to develop performance indicators and targets included in its CSP.

Following approval of its CSP, USAID/Malawi initiated a process for expanding its Objective Tree, which provides only the broadest outline of a plan for achieving its SOs, into a set of Results Frameworks which would outline more completely the development hypotheses involved in achieving each of the Mission's SOs. The Results Frameworks the Mission set out to develop would also expand upon and refine its initial Objective Tree and performance monitoring plan by:

- Identifying important subordinate levels of results that need to be achieved;
- Clarifying what role USAID would play in achieving results at various levels of each Results Framework;
- Indicating where and how the work of the Government of Malawi; other donors; PVOs and NGOs, and other entities would contribute to the achievement of each SO, and
- Clarifying the time frame within which each SO, IR and subordinate levels of results

would be achieved;

- Refining performance indicators and targets at the SO and IR level, as warranted, and defining what performance indicators and targets need to be established below these levels and monitored by the Mission to ensure that subordinate results that feed into the achievement of key IRS are being achieved.

Within USAID/Malawi, the responsibility for preparing these Results Frameworks rests with the members of the five SO teams the Mission has organized. In undertaking this task, SO teams were encouraged to apply USAID's reengineering guidance on Results Frameworks. These teams were empowered to reexamine the internal logic of the CSP's Objective Tree and to refine their IRS, if warranted, as part of their effort to clarify the work that needs to be done to achieve each of the Mission's SOs.

In support of this effort, USAID/Malawi engaged MSI to facilitate and assist SO team efforts to complete their RFS and refine their performance monitoring plans (i.e., performance indicators, targets and the plans for collecting and analyzing relevant performance data). MSI's support in response to USAID/Malawi's request has been provided in two phases. In a first consultancy, carried out in August, 1996, J. Kathy Parker worked with the SO 5 team on a draft RF and related performance indicators for the Mission's SO that focuses on the sustainable use of natural resources in Malawi. The second consultancy, carried out between October 28 to November 15, 1996, by Molly Hageboeck and Lawrence Heilman, was intended to bring all five teams closer to the point where they had a fully developed RF; a draft performance monitoring plan (PMP) linked to their RF and a conscious strategy for implementing their PMP. It is this second consultancy and its work products on which this short paper focuses. A copy of the Scope of Work for this consultancy is provided in Annex A.

Key steps in this process outlined in the consultancy Scope of Work included:

- An orientation on RF and PMP methodology for SO teams -- highlighting the distinctions USAID's reengineering directives make between RFS and, for example, the kinds of Objective Trees Missions have developed in the past.
- An objective review, along with comments to each team, of the draft RFS these teams had prepared prior to the consultancy, and
- The facilitation of such additional meetings and working sessions with USAID's SO teams and their development partners in the Government and the donor community as might be needed to develop a broader consensus and "finalize" these RFS.
- Work with teams on refining their PMPs consistent with any modifications that may have been made in their RFS,
- Assist SO teams in developing their strategies for implementing the PMPs they have prepared, and
- Provide input that will help the Mission in making the transition from RFS to Results

Packages as its focus shifts toward implementation.

B. Initial Orientation and Comments on Draft Results Frameworks

In an initial session with the SO Team Leaders, USAID/Malawi's Monitoring and Evaluation Officer, Tonya Himelfarb and the MSI team reviewed the consultancy objectives and arranged for initial meetings between SO teams and the consultants assigned to work with those teams. In this meeting, and in initial meetings with SO teams, key features of RFS and PMPs were reviewed using "reengineering" training materials to highlight USAID's current requirements. Each SO team was also provided with an oral and/or written commentary on the then current drafts of their RFS as well as on the process by which these products were being developed.

The two main observations that emerged across SOs from the reviews the consultancy team carried out were:

- While the draft RF's represented a good deal of work and contained many important ideas about results and performance indicators, they did not, as a rule, display the "cause and effect" linkages among results as clearly as they might.

- Several draft RFS displayed categories of results (programs, policies, budgets, etc.) at the IR level, rather than showing how results in each of these categories are linked together in a "cause and effect" manner.

This approach is inconsistent with USAID reengineering guidance that calls for the full display of the Mission 's development hypotheses through the RF graphic.

- Some draft RFS displayed subsets or components of results at the IR level or below, rather than identifying the causes of those results. These draft RFS thus suggested, for example, that "Ministry capacity strengthened" was simply the sum of efforts to strengthen various parts of that Ministry, i.e., Part A strengthened, Part B strengthened, etc.

This approach is inconsistent with USAID reengineering guidance that warns against results that are simply the sum of lower level parts and notes that when this practice is followed, the identification of distinct performance indicators at each level becomes difficult since the proof of the sum of the parts of a result is the same as the proof that establishes the existence of each separate part

- One or two of the draft RF's contained inversions in logic, i.e., their RF graphics thus suggested that something which resulted from several lines of activity in the RF was in fact its cause. Visually this involve situations where results were placed below or underneath their causes.

This approach is inconsistent with USAID reengineering guidance which calls for a graphic display that focuses upward, with "causes " at the bottom of the diagram leading in a logical "if-then " manner to "results " in the middle and at the top of the diagram.

- Draft PMPs prepared prior to the arrival of the consultancy team reflected:
 - The extent and clarity of the Results Frameworks that had been developed to that point in time, and
 - USAID's overall experience in a particular field, i.e., in fields where USAID has worked for years such as agriculture, education and health, many appropriate indicators have already been identified and existing systems, in many cases, already generate the data needed to monitor many aspects of performance.

Through initial interviews and working sessions with each team, it was also noted that teams varied considerably with respect to the extent of their efforts to involve development partners (i.e., the GOM, other donors, contractors and grantees, local NGOs, etc.) in their process for defining their Results Framework, performance indicators and targets. Variation among teams with respect to the participation of development partners did not seem to follow any particular pattern. It was however clear that different members of the Mission staff had different perceptions with respect to the importance that the Mission places on involving development partners in their processes.

C. SO Team Progress toward an "Expanded Team" Consensus on Results Frameworks and PMPs

During the three week period, all five SO teams worked in a highly participatory manner to refine their Results Frameworks. Highlights of this work as well as key issues the teams faced are summarized below. Annexes B through F contain the work products produced by these teams during the consultancy period.

1. Cause and Effect Logic and the Breadth of Resulting RFS

Each team addressed the need to display the "cause and effect" relationships in their Results Framework graphic. To do so, several teams had to address problems that were specific to their particular SOs. For example:

- The SO 3 team found that within its SO were three, rather than one objective. To handle this problem it initially split the SO into three parts, and developed Results Frameworks for each. When it later consolidated those efforts, the final "summary RF" against its three part SO it carried along subordinate frameworks that show how the general logic of the framework applies in each key area.
- SO 5, which deals with democracy, was also a special case. Since there is no broad theory of democracy on which to draw, elements of this arena are necessarily displayed in parallel at the top of the Results Framework. In taking this approach, USAID/Malawi parallels many other USAID Missions that are working in this arena. Below this level of the SO 5 Results Framework, the work products, like those in the other SO fields, were modified by the SO team to highlight "cause and effect" linkages.

As efforts to infuse a "cause and effect" logic into redrafts of the Results Frameworks teams had drafted prior to the start of the consultancy proceeded, USAID/Malawi staff nosed that where SO's were broad, high level or sector-wide in character, the Results Frameworks that emerge tend to be conceptually quite broad. This in turn raised the question of USAID's ability, even with its partners, to make a significant impact at the SO level, in a few cases, in the time frame covered by USAID's CSP. While questions of this nature were not resolved during the consultancy, they were raised and discussed by the teams in the debriefing for the Mission Director. Follow-on discussions may help to identify relevant boundaries for those SO teams that felt the impact of a broad or high level SO most keenly.

2. Development Partner Involvement in the Process and Where it Leads

Development partner involvement was encouraged in working sessions, and almost every team invited GOM, contractor and other stakeholders to participate in one or more of the work sessions held during the consultancy period. For example:

- The SO 2 team, which had previously met individually with different government entities, held two interactive meetings which were attended by both GOM representative and other donors. Coming out of these meetings was a decision to continue an effort to coordinate not only existing work in the field, but also with respect to common framework or set of objectives. A workshop in December will move this process forward.
- The SO 4 team met in working sessions with GOM representatives over the four weeks preceding the consultancy period and continued these meetings during that period. At the end of the consultancy period, the team met in a formal session with the Ministry of Education and other donors. At the end of this meeting, the Ministry decided that it wished to pursue the development of a common Results Framework with all of these development partners, and indicated that it would play the leading role in that process. A follow-up meeting with donors is planned.

Throughout the consultancy period, and in the debriefing at the end of that period, USAID/Malawi staff commented extensively on time implications of a high participatory process. They also expressed concerns about the capacity of their host government counterparts to engage in such a process over an extended period of time, and to use Results Frameworks to guide donor investments.

3. Performance Measurement

While it was clear that the Results Framework graphic was new to some of USAID's development partners, none seemed to be unfamiliar with either the concept of a hierarchy of objectives or performance measurement. GOM personnel who participated in various sessions evidenced a familiarity with this type of process and all donors were comfortable with the idea of indicators and targets. Many of these participants were sufficiently familiar with performance measurement in their respective fields to make important contributions to the refined PMPs on which USAID's SO teams worked during this period.

While performance measures received a good deal of attention, all SO teams have more work to do in this area to move from the point where they know what they want to measure to having in place all of the data collection systems to do so. Even where systems already exist, instruments will need modification as a result of the efforts the teams have made in the past several weeks. Key actions to be taken by SO teams to move forward with their PMPs are outlined in the annexes to this paper.

D. Next Steps

USAID/Malawi's staff is well equipped to move forward with their development partners to reach consensus on the Results Frameworks they have drafted as well as their PMPs. Moving forward at a steady pace, however, will require discipline. Many other priorities command staff attention. With that constraint in mind, MSI made two suggestions at the debriefing meeting which are briefly highlighted here:

- SO teams would benefit from having work plans that define the tasks they must accomplish and set schedules for doing so. Teams, not the program or M&E office, need to drive or "own" their process to its conclusion. Next Spring's R2 is a good "action forcing" deadline around which to construct such work plans.

(General guidelines for this task appear on the following pages. Issues that are specific to particular teams are discussed in implementation strategy outlines included in the annexes to this report.)

- Teams will need assistance to help prepare their counterparts in Government to lead participatory sessions and to apply the tools with which they are becoming familiar. USAID/Malawi would do well to single out two or three of its staff that can help teams in these areas. Those who are selected could well come from these teams, and work across teams as facilitators.
- USAID/Malawi would benefit from the existence of a cross-SO or Mission-wide team that can look at interactions among SOs; help identify where "results packages" might productively cut across SOs; spot and act on opportunities, such as the up coming census, that cut across SOs, etc. No such forum currently exists.

Guidelines for All USAID/Malawi SO Teams on Producing “Final” Results Frameworks and PMPs and for Developing PMP Implementation Strategies

Every SO team needs to develop a full strategy¹ for moving from the draft PMP it has developed to a final version, and from there to the collection and analysis of data on important performance indicators the SO and IR levels and, as warranted, at lower levels of their Results Framework.

Several of the tasks that need to be carried out before an implementation strategy can be completed apply to all USAID/Malawi SO teams. The same is true for the full development of PMP implementation strategies. Key steps at each of these stages are summarized below.

A. Steps That Will Help SO Teams Arrive At “Final” Results Frameworks and PMPs

- **Define exactly where the Results Framework stands in terms of the process that will be needed to bring it to a point where it can be considered “final.”** Identify the steps that need to be taken to reach that point, e.g., informal and formal meetings with host government partners, other donor partners, etc., which will be needed to develop a consensus on the approach outlined in the RF graphic and on key performance indicators these partners will use to monitor performance with respect to key results included in the RF. **Estimate when that process will be completed and obtain front office approval for that schedule.**
- Working with USAID/Malawi’s development partners, **develop a schedule of formal and informal meetings that fits within the time frame on which the SO team and USAID/Malawi’s senior management team have agreed.** Validate this schedule with the SO Team’s partners, and then keep to it.
- Review SO team’s refined Results Framework with USAID/Malawi senior staff and **determine which results in the refined RF should be considered IRS for USAID reporting purposes.** This task can be initiated immediately on a “preliminary” basis

¹ *Performance monitoring at the SO and IR level is an important element of the Mission’s contract with USAID/Washington and data on actual performance is presented alongside data on expected performance in annual R2 reports. Below the IR level, equivalent information on key subordinate results are important for ensuring that efforts that lead to the achievement of to achieve IRS are on track. A strategy for implementing a PMP needs to define data collection efforts will be managed and financed. It should describe whether and how information on different indicators will be collected through on-going processes, e.g., regular data collection by a Ministry; the national census; special KAP surveys USAID funds on a regular basis; similar periodic studies carried out by other donors; data collection that is build-in to on-going USAID projects, etc. Data that needs to be collected, but which cannot be collected through any on-going process, should be highlighted in such strategies. The level of effort/costs of any special data collection efforts need to be estimated. A PMP implementation strategy also needs to identify who in the Mission will oversee this process, and prepare the SO team’s contribution to the annual R2, and what percent of their time will be needed.*

and refined later if coordination meetings with the Government and other donors suggest important changes in the Results Framework.

- Using the draft PMPs and backup worksheets that SO teams have developed -- or any subsequent updates of those products -- **identify which indicators at the SO and IR level will be used as reporting indicators in USAID/Malawi's annual R2s.** Recognize that other indicators at the SO and IR level, or below or above those levels that will be monitored by the Mission and its development partners, even if they are not reported to Washington. Teams need to make sure that all of the indicators they elect to monitor are valuable -- in the sense that information about their status would provide a clear guide to achievement or the lack thereof. *Indicators which do not seem to meet this test should be dropped, irrespective of whether they will be reported to Washington or used for internal Mission management purposes.*
- **For each indicator that will be monitoring, irrespective of whether it will be reported upon to USAID/Washington, ensure that performance targets have been established.** For indicators that lack targets, a process for establishing them must be set up. In some instances this process may include the collection of baseline data. A worksheet of the kind used by the teams working with SOs 2, 3 and 4 (which is included in the annexes for these SOs) provides a useful reminder and format for addressing the question of targets. All indicators that will be reported upon in R2s must have performance targets. It is also desirable to establish targets for indicators which the Mission and its development partners will monitor for their own purposes.
- **Review draft PMP and related worksheets to ensure that all existing data collection processes are accurately described.** Indicator definitions, units of measure, data sources and methods, data collection frequency and whether data is currently collected should be checked carefully for each indicator. Ideally, SO teams will be able to check these descriptions with the entities that are listed as data collectors, e.g., Government ministries, USAID contractors or grantees, or another donor. While some teams made a good deal of progress in this area, others did not complete this type of review and need to do so in the near future. For several SOs, some indicator descriptions in current PMPs were lifted from the CSP and may, by now, be out of date.

B. Steps that Will Help SO Teams Complete Their PMP Implementation Strategy Descriptions

- Review all indicators the draft PMP the SO team has prepared, with particular reference to the data source and methods columns, to **determine whether there are one or more broad data collection strategies that will be used across a number of indicators.** Examples of broad data collection strategies that straddle multiple indicators include using or upgrading an existing Government of Malawi data collection process or undertaking some sort of recurrent survey, e.g., the DHS or KAP survey in the health field. Make a list each of these main strategies and the indicators they address.

- For each of these major strategies, determine whether:
 - The data collection process is already in place or whether it needs to be developed, or modified. *Any concerns USAID/Malawi and its development partners have about the validity or reliability of a existing data collection process should be considered at this point since these issues may signal a need to modify or upgrade an existing data collection process.*
 - What skills and other resources will be needed to modify or develop the data collection processes associated with these major strategies.
 - What role USAID needs to play in providing those skills and/or other resources, or in monitoring the process by which these data collection strategies are developed or refined. *Where the GOM or another donor will lead the effort to modify or develop a data collection process, USAID's role may be limited to monitoring the effort.*
- Make a separate list of the indicators that will not be addressed by these primary strategies, noting for each one:
 - Whether some method of collecting the appropriate data, or whether a new data collection effort will be required.
 - What skills and other resources will be needed to modify or develop the data collection processes needed for each of the indicators that will not be addressed by one of the PMP's primary strategies.
 - What role USAID needs to play in providing those skills and/or other resources, or in monitoring the process by which data on these additional indicators will be collected.

The answer that SO Teams develop concerning the primary data collection strategies and additional data collection efforts that make up their PMP lie at the heart of the PMP Implementation Strategy Description that SO Teams are expected to draft. While each SO Team's PMP Implementation Strategy Description will be unique, all teams should make sure that their written descriptions clarify:

- What work needs to be done to make sure that data on relevant performance indicators is actually collected.
- Who will lead/be responsible for ensuring that work is done, i.e., USAID, the GOM, other donors, etc.;
- How it will be financed;
- What role USAID will play in providing skilled personnel and other resources to assist with this process; and

- How much time of USAID/Malawi staff will be devoted to ensuring that the PMP is implemented and exactly which staff members will work on this task.

The written product of SO Team efforts to develop PMP Implementation Strategies should be shared with USAID/Malawi's management team. SO Team needs for funds to support data collection should be highlighted for discussion.

ANNEX A

SCOPE OF WORK

I. Background

USAID/Malawi has identified five Strategic Objectives (SOs) which support its goal of achieving broad-based economic growth. These are:

- SO1: Increased agricultural incomes on a per capita basis
- SO2: Increased sustainable use, conservation, and management of renewable natural resources
- SO3: Increased adoption of measures that reduce fertility and risk of HIV transmission, including improved child health practices
- SO4: Increased access to and quality and efficiency of basic education, especially for girls
- SO5: Institutional base for democratic participation strengthened and broadened

The Mission is currently in the process of developing Results Frameworks (RFs) and Performance Monitoring Plans (PMPs) for each of the SOs as well as initiating the development of Results Package Teams. The various SO Teams are in different stages of progress in drafting these documents.

II. Statement of Work

A. The Contractor will be required to work with SO1, SO3, SO4 and SO5 as follows:

1. Provide orientation on RF and PMP methodology to SO Teams, expanded teams and Development Partners, as needed.
2. Review and comment on draft Results Frameworks for each SO.
3. Facilitate any additional meetings required to finalize the draft RFs, including meetings with expanded teams and Development Partners, if requested by the individual SO Teams.

B. The Contractor will be required to work with all five SO teams as follows:

1. Integrate existing Project monitoring plans and indicators into USAID's reengineered PMP format, ensuring that the PMP is consistent with and effectively monitors the results outlined in the RF. Facilitate meetings with the SO teams, expanded teams and Development Partners, as necessary.
2. Work with the SO teams to ensure that the indicators included in the PMPs are practical--i.e. that they are within the ability of the Mission to measure, given human and financial resource constraints.
2. Identify a strategy for implementing each team's PMP.
3. Provide input on the development of Results Package Teams.

4. Identify additional follow-up assistance that may be appropriate to the needs of each individual SO team.

III. Deliverables

The Contractor will be responsible for producing the following deliverables:

- A. A final draft RF for each SO1, SO3, SO4 and SO5.
- B. A draft PMP for each SO1, SO3, SO3, SO4 and SO5.
- C. A draft strategy for implementing each team's PMP.

IV. Logistic Support

USAID/Malawi will provide the Consultants with office space, access to a computer printer, and incidental supplies used in developing the RFs and PMPs (flip charts, masking tape, magic markers, etc.)

The Contractor is responsible for all other logistic support. Laptop computers should be loaded with Word Perfect and ABC Flowchart.

V. Period of Performance

The Contractor will provide two individuals for a period not to exceed three weeks each. One Consultant will be responsible for working with two SO teams; the other for working with three SO teams (one of which will be SO2, which requires less assistance).

ANNEX B

PMP Implementation Strategy for SO 1

1. Status of the RF

The Results Framework developed by the SO1 Team (dated 11/15/96) displays the team's development hypotheses in "cause and effect" terms. While substantive discussions with the Ministry of Agriculture and other donors may have occurred prior to the development of this RF and the prior draft, these parties have not been involved in a participatory way in the RF development process. The involvement of these "development partners" is essential, according to USAID's reengineering directives, for reaching the point where an RF can be called "final."

To date SO1 Team has not held specific conversations on its RF with the GOM and other donor partners. Consequently, the partners responsible for IR 1.1.1, IR 1.2.2, and IR 1.2.3 have not been identified. This raises the possibility that there may be objectives in the for which no partner is responsible. Certainly a priority action is to sort out who the specific GOM and other donor partners are, what are the objectives for which they will be responsible, and in what manner USAID /Malawi will be kept abreast of the status of particular objectives.

Accordingly, interactive sessions with the MOA and with other donors working in this sector need to be scheduled. A facilitated process in which USAID's ideas about key results in the sector and "cause and effect" linkages are presented in "draft" form in a manner that encourages participation would be appropriate at this stage.

2. Status of the PMP

The draft PMP for SO1 draws upon the PMP included in the Mission's Country Strategic Plan (CSP), while at the same time rearranging the information in that version to conform to recent modifications in the RF for this SO. The current draft includes indicators for the SO and IR levels and for subordinate results the Mission will monitor, but not necessarily report upon in its R2.

Some changes in this draft PMP might result from discussions of the RF and related indicators with the MOA and other donors. These discussions may also help to identify sources for several data elements for which the draft PMP does not identify sources.

3. Key Elements of the SO 1 PMP Implementation Strategy

The dominant strategy for data collection for SO1 is one that relies on existing MOA annual data collection and statistical reports. While most items identified in the PMP as being available through these existing sources, some may be new items that would need to be added. Further discussions on these indicators with the MOA will be needed.

In addition, the following points relating to the RF, the PMP and a PMP implementation strategy warrant further consideration:

- **Information on Agricultural Incomes**

It was concluded at the SO1 Team meeting held 11/15 that further refinement is needed regarding what is "agricultural incomes." This is critical before determining the kind of research and data collection activity that is to be promoted at Bunda College. USAID/Malawi may end up reporting on a variety of incomes - income from agricultural production, farm family income to include income generated off farm, etc. The thought was voiced that income from production may well have stagnated, and it is necessary to measure other sources of income generated by the farm family. Baring this mind, it is critical that USAID/Malawi not be boxed-in to report only agricultural income if that is interpreted to mean income that is generated from crop production.

- **Indicators for Key IRS**

Excellent progress has been made to date selecting indicators for most of the Results/Objectives identified in the Agricultural Results Framework. However, there is a lot of work associated with identifying appropriate indicators for 1.1.1, IR 1.2.2, and IR 1.2.3 that must be completed before it can be said with any degree of certainty that the Agricultural Results Framework represents a realistic hypothesis that can be reasonably monitored.

- **Assumption Regarding Equity**

There seemed to be general agreement at the SO1 Team meeting held on 11/15 that it would be appropriate to have an assumption that addresses the equity concern. It was further acknowledged that this assumption must be monitored.

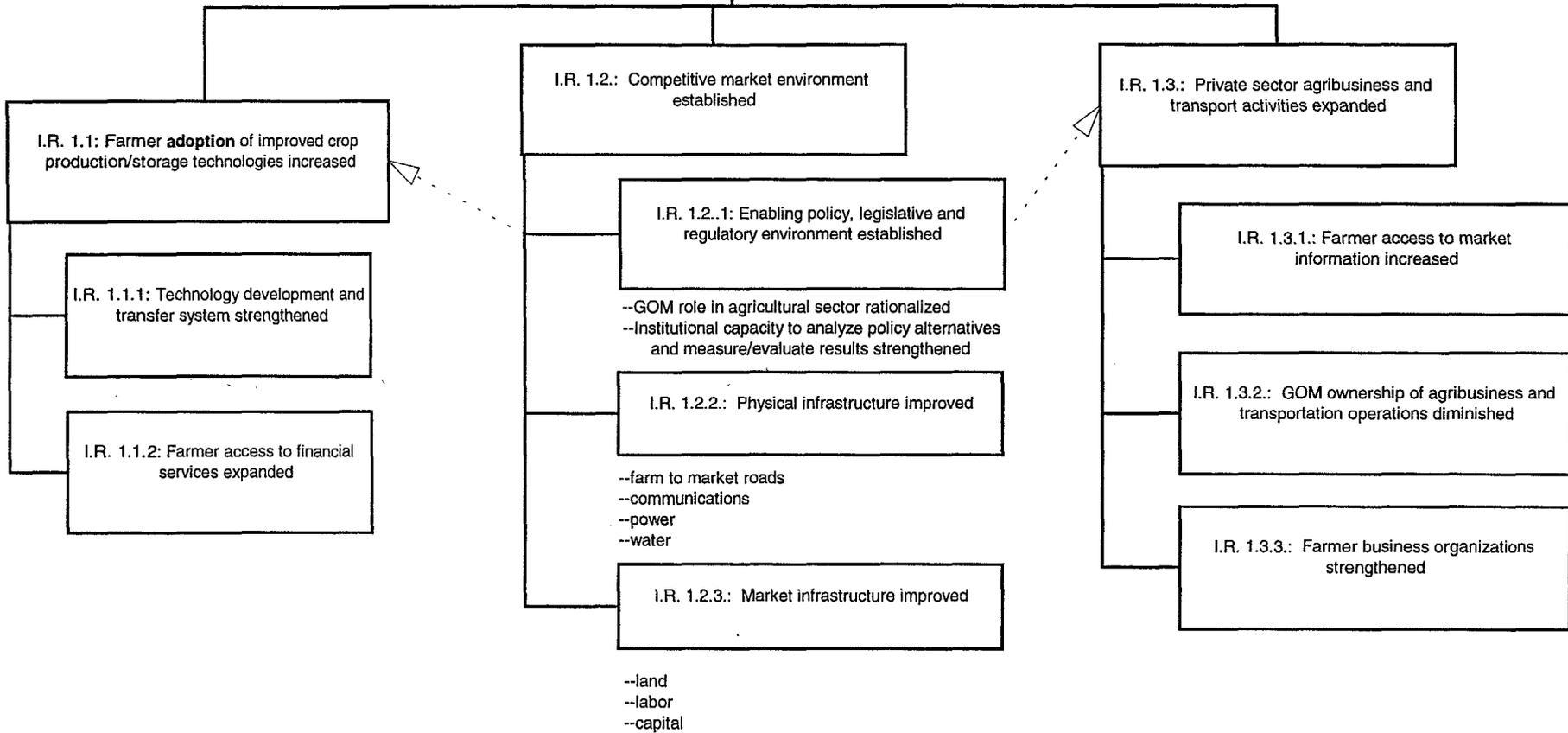
Strategic Objective 1

DRAFT

Friday, November 15, 1996

Mission Sub-goal: Improved household food security

SO1: Increased agricultural incomes on a per capita basis



SO1a: Assumption: The agricultural production and marketing system will not exacerbate the rich/poor gap.

**USAID/MALAWI
PERFORMANCE MEASUREMENT PLAN
S.O.1: INCREASED AGRICULTURAL INCOMES ON A PER CAPITA BASIS**

PERFORMANCE INDICATOR	DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH	FREQUENCY OF DATA COLLECTION	DATA CURRENTLY COLLECTED	RESPONSIBLE PERSON/ OFFICE
Sub-Goal: Improved household food security						
1) Gross food crop production per capita	Definition: Unit: Number of kilo calories per person	The Dept. of Agricultural Extension & Training (DAET) of the Ministry of Agriculture & Livestock Development (MOA&LD)	Field Assistants stationed throughout the country estimate crop production and area under production three times a year; at planting, mid-way through the season, and finally a sample is taken at harvest time. It is aggregated on a national basis.	3 reports are issued by the MOA&LD "National Crop Estimates 199?". The final report is available in June.		MOALD with FEWS produces the report

PERFORMANCE INDICATOR	DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH	FREQUENCY OF DATA COLLECTION	DATA CURRENTLY COLLECTED	RESPONSIBLE PERSON/ OFFICE
Strategic Objective 1: Increased agricultural incomes on a per capita basis						
1) Per capita agricultural income	Definition: Unit: US \$/person	It is proposed that the Agricultural Policy Research Unit (APRU) at Bunda College be responsible for creating the system for collecting this data. Presently USAID/MW supports APRU.	To be determined	annually	Yes	APRU
2) Real per capita incomes for smallholder burley tobacco producers	Definition: Unit: US\$ per person	Auction Holdings; Tobacco Control Commission; MOA&LD	From the three sources, analysis is made to determine the total income for each small holder registered tobacco farmer.	annually at the end of the tobacco season	Yes	ACDI

PERFORMANCE INDICATOR	DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH	FREQUENCY OF DATA COLLECTION	DATA CURRENTLY COLLECTED	RESPONSIBLE PERSON/ OFFICE
Strategic Objective 1A: Improved equity and efficiency of agricultural production and marketing						
1) Increased maize yield	Definition: Unit: Kgs. per hectare	DAET of MOA&LD	Field Assistants stationed throughout the country estimate crop production and area under production three times a year; at planting, mid-way through the season, and finally a sample is taken at harvest time. It is aggregated on a national basis.	3 reports are issued by the MOA&LD "National Crop Estimates 199?". The final report is available in June.	Yes	MOALD; at times FEWS produces the report
2) Increased burley tobacco yield	Definition: Unit: Kgs. per hectare	DAET of MOA&LD	Field Assistants stationed throughout the country estimate crop production and area under production three times a year; at planting, mid-way through the season, and finally a sample is taken at harvest time. It is aggregated on a national basis.	3 reports are issued by the MOA&LD "National Crop Estimates 199?". The final report is available in June.	Yes	MOALD; at times FEWS produces the report
3) Increased cassava yield	Definition: Unit: Kgs. per hectare	DAET of MOA&LD	Field Assistants stationed throughout the country estimate crop production and area under production three times a year; at planting, mid-way through the season, and finally a sample is taken at harvest time. It is aggregated on a national basis.	3 reports are issued by the MOA&LD "National Crop Estimates 199?". The final report is available in June.	Yes	MOALD; at times FEWS produces the report

PERFORMANCE INDICATOR	DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH	FREQUENCY OF DATA COLLECTION	DATA CURRENTLY COLLECTED	RESPONSIBLE PERSON/ OFFICE
Intermediate Result 1.1: Farmer adoption of improved crop production/storage technologies increased						
1) Share of smallholder HYV maize area to total maize area	Definition: Unit: %	MOA&LD	Field Assistants stationed throughout the country estimate crop production and area under production three times a year; at planting, mid-way through the season, and finally a sample is taken at harvest time. It is aggregated on a national basis.	3 reports are issued by the MOA&LD "National Crop Estimates 199?". The final report is available in June.	Yes	MOALD; at times FEWS produces the report
2) Share of smallholder HYV maize area to total smallholder area	Definition: Unit: %	MOA&LD	Field Assistants stationed throughout the country estimate crop production and area under production three times a year; at planting, mid-way through the season, and finally a sample is taken at harvest time. It is aggregated on a national basis.	3 reports are issued by the MOA&LD "National Crop Estimates 199?". The final report is available in June.	Yes	MOALD; at times FEWS produces the report
3) Share of smallholder HYV maize production to total maize area	Definition: Unit: %	MOA&LD	Field Assistants stationed throughout the country estimate crop production and area under production three times a year; at planting, mid-way through the season, and finally a sample is taken at harvest time. It is aggregated on a national basis.	3 reports are issued by the MOA&LD "National Crop Estimates 199?". The final report is available in June.	Yes	MOALD; at times FEWS produces the report

PERFORMANCE INDICATOR	DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH	FREQUENCY OF DATA COLLECTION	DATA CURRENTLY COLLECTED	RESPONSIBLE PERSON/ OFFICE
4) Share of smallholder rootcrop area to smallholder maize area	Definition: Unit: %	MOA&LD	Field Assistants stationed throughout the country estimate crop production and area under production three times a year; at planting, mid-way through the season, and finally a sample is taken at harvest time. It is aggregated on a national basis.	3 reports are issued by the MOA&LD "National Crop Estimates 1997". The final report is available in June.	Yes	MOA&LD
5) Share of smallholder cultivated area planted to non-maize crops	Definition: Unit: %	MOA&LD	Field Assistants stationed throughout the country estimate crop production and area under production three times a year; at planting, mid-way through the season and finally a sample is taken at harvest time. It is aggregated on a national basis.	3 reports are issued by the MOA&LD	Yes	MOALD
6) No. of farmers adopting agroforestry and soil conservation practices	Definition: Unit:	Agroforestry Project (SO2)	Project Mgt. Unit	annual	?	Project Mgt. Unit
7) Number of clubs initiating agroforestry	Definition: Unit:	ACDI & Agroforestry Project	Data will be collected from the Agri-business Development Centers	annual	?	ACDI & Project Mgt. Unit of Agroforestry Project
Intermediate Result 1.1.1: Technology development and transfer systems strengthened						

PERFORMANCE INDICATOR	DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH	FREQUENCY OF DATA COLLECTION	DATA CURRENTLY COLLECTED	RESPONSIBLE PERSON/ OFFICE
1) Status of research and extension systems development	Definition: Unit:	Reports provided by MOA&LD and other donors (World Bank, ODA)			?	

13

PERFORMANCE INDICATOR	DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH	FREQUENCY OF DATA COLLECTION	DATA CURRENTLY COLLECTED	RESPONSIBLE PERSON/ OFFICE
Intermediate Result 1.1.2: Farmer access to financial services expanded						
1) No. of agricultural production loans from rural SACCOs	Definition: Unit:	Malawi Union of Savings and Credit Cooperatives (MUSCCO)	It is anticipated that WOCCU will collect this data and report it to USAID/MW.	quarterly	No	WOCCU
2) Total volume of agricultural production loans to SACCO members	Definition: Unit:	MUSCCO	It is anticipated that WOCCU will collect this data and report it to USAID/MW.	quarterly	Yes	WOCCU
3) Total rural SACCO members	Definition: Unit:	MUSCCO	It is anticipated that WOCCU will collect this data and report it to USAID/MW.	quarterly	Yes	WOCCU
4) Total volume of savings of rural SACCO members	Definition: Unit:	MUSCO	It is anticipated that WOCCU will collect this data and report it to USAID/MW.	quarterly	Yes	WOCCU
5) Total volume of savings by rural women	Definition: Unit:	MUSCO	It is anticipated that WOCCU will collect this data and report it to USAID/MW.	quarterly	?	WOCCU
6) Total volume of loans by rural women	Definition: Unit:	MUSCO	It is anticipated that WOCCU will collect this data and report it to USAID/MW.	quarterly	?	WOCCU

PERFORMANCE INDICATOR	DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH	FREQUENCY OF DATA COLLECTION	DATA CURRENTLY COLLECTED	RESPONSIBLE PERSON/ OFFICE
Intermediate Result 1.2: Competitive market environment						
1) No. of trader licenses	Definition: Unit:	DAET of MOA&LD	DAET will obtain	annually	?	personnel from the Ag. Policy & Analysis Project?
2) No. of transport licenses	Definition: Unit:	Ministry of Transport?		annually	?	?
3) No. of export permits	Definition: Unit:	Ministry of Trade & Industry		annually	?	?
4) No. of import permits	Definition: Unit:	Ministry of Trade & Industry		annually	?	?
5) Total volume of smallholders burley marketed directly on auction floor	Definition: Unit: million kgs.	Auction Holdings Limited through ACDI	Auction Holdings Limited records the amount sold	at the end of the tobacco season	Yes	ACDI
6) No. of tobacco buyers on auction floor	Definition: Unit:	Auction Holdings Limited through ACDI	The report on total sales lists the buyers	at the end of the tobacco season	Yes	ACDI
7) Volume of tobacco marketed by IBs	Definition: Unit: million of kgs.	Auction Holdings Limited through ACDI	Auction Holdings Limited records the amount sold	at the end of the tobacco season	Yes	ACDI

PERFORMANCE INDICATOR	DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH	FREQUENCY OF DATA COLLECTION	DATA CURRENTLY COLLECTED	RESPONSIBLE PERSON/ OFFICE
Intermediate Result 1.2.1: Enabling policy, legislative and regulatory environment established						
1) ASAP Policy Matrix	Definition: Unit:	Ministry of Finance and Ministry of EP&D	Reports from Ministry of Finance and Ministry of EP&D	When all conditions are met	?	Ministry of Finance and Ministry of EP&D
Intermediate Result 1.2.2: Physical infrastructure improved						
1) roads - to be developed	Definition: Unit:	Local Government and Ministry of Works	Local Government and Ministry of Works	Annually	?	
2) communications - to be developed	Definition: Unit:				?	
3) power - to be developed	Definition: Unit:				?	
4) water - to be developed	Definition: Unit:				?	

21

PERFORMANCE INDICATOR	DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH	FREQUENCY OF DATA COLLECTION	DATA CURRENTLY COLLECTED	RESPONSIBLE PERSON/ OFFICE
Intermediate Result 1.2.3: Market infrastructure improved						
1) land - to be developed	Definition: Unit:					
2) labor - to be developed						
3) capital - to be developed	Definition: Unit:					
Intermediate Objective 1.3: Private sector agribusiness and transport activities expanded						
1) Number of IBs selling on the auction floor	Definition: Unit:	Auction Holdings Limited through ACDI	Auction Holdings Limited records IB sales	annually at the end of tobacco marketing season		ACDI
2) No. of IB licenses issues	Definition: Unit:	Tobacco Control Commission (TCC)	TCC licenses the IBs	at the end of the tobacco marketing season		ACDI
3) Share of HYV maize seed sold through private channels	Definition: Unit: %	Agricultural Development and Marketing Corporation (ADMARC); private companies	USAID/MW will request that private dealers send a report annually to USAID/MW; it may be very difficult to get info. from private companies. This may not work.	annual		SOT1, Phiri

PERFORMANCE INDICATOR	DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH	FREQUENCY OF DATA COLLECTION	DATA CURRENTLY COLLECTED	RESPONSIBLE PERSON/ OFFICE
4) Share of fertilizer sold through private channels	Definition: Unit: %	Agricultural Development and Marketing Corporation (ADMARC); private companies	USAID/MW will request that private dealers send a report annually to USAID/MW; it may be very difficult to get info. from private companies. This may not work.	annual		SOT1, Phiri
5) Percent of female smallholders able to directly market on the action floor	Definition: Unit: %					
6) Number of private marketing entities buying from and selling SRG	Definition: Unit:					
7) CIF margins on imports	Definition: Unit:					
8) Volume of exports transported by rail	Definition: Unit: metric tons					
9) Volume of imports transported by rail	Definition: Unit: metric tons					
Intermediate Results 1.3.1: Rural access to market information financial services & advisory services increased						
1) No. of markets where market information is collected & disseminated	Definition: Unit:					
Intermediate Result 1.3.2: GOM ownership of agribusiness and transportation operations diminished						

PERFORMANCE INDICATOR	DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH	FREQUENCY OF DATA COLLECTION	DATA CURRENTLY COLLECTED	RESPONSIBLE PERSON/ OFFICE
1) Number of privatization	Definition: Unit:	Privatization Commission (ASAP)				
2) Value of transactions of privatization(s)	Definition: Unit: US\$	Privatization Commission (ASAP)				
Intermediate Result 1.3.3: Farmer business organizations strengthened						
1) Number of clubs that become independent of official credit	Definition: Unit:	ACDI				
2) Number of clubs obtaining official agricultural credit	Definition: Unit:	Malawi Rural Finance Company				
3) Number of clubs that form SACCOS	Definition: Unit:	ACDI				
4) Number of clubs that form agribusiness association	Definition: Unit:					
5) Number of all female agribusiness associations	Definition: Unit:	ACDI				
6) Number of females in leadership positions	Definition: Unit:					

PERFORMANCE INDICATOR	DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH	FREQUENCY OF DATA COLLECTION	DATA CURRENTLY COLLECTED	RESPONSIBLE PERSON/ OFFICE
7) Number of women selling directly their tobacco on the auction floor	Definition: Unit:					
8) Number of clubs diversifying into other non-tobacco business activities	Definition: Unit:					

ANNEX C

PMP Implementation Strategy for SO 2

1. Status of the RF

The RF for natural resources management that is being developed by the SO 2 team represents an evolving view of the optimal approach for addressing a range of issues which are cross-sectoral in nature. *Increased sustainable use of renewable natural resources*, the SO for this team necessarily involves communities and individuals as well as government. Within the Government of Malawi, there are a number of ministries that must be involved in any program that addresses natural resource management issues broadly.

The draft RF for SO 2, as of 11/15/96, displays a logical model of how communities and individuals might be encouraged to make the kinds of changes in their resource use practices. This draft RF incorporates ideas developed before consultancy discussed in this report. Ideas included in earlier drafts have been reorganized to display the "cause and effect" logic of the approach the SO Team is considering. The draft included in this Annex was developed in collaborative meetings in which other donor and government representatives from MOREA (a new Ministry which has special responsibilities for environmental issues) participated. The SO Team anticipates a wider sharing of this draft RF and intends to incorporate the ideas that emerge when other government ministries, e.g., agriculture, forestry. SO Team members have discussed program ideas with these line ministries before, but it has not yet engaged them in a review of the RF that is being developed. Plans for additional partner meetings on the draft RF are being developed by the SO 2 Team.

In addition to improving the logic of the RF and developing a consensus that includes government and other donor behind this type of program definition, the SO team recognized the need to find a way to make the RF more specific. Discussions with partners and SO2 Team members ruled out the development of sector-specific versions of the overall framework as a way to gain specificity. The problem with doing this is that it leads away from an integrated view of resource management and use, and away from efforts at the community level that bring together the resources and skills of, for example, the forestry service, the agricultural extension service, and public information programs.

2. Status of the PMP

The SO 2 team had been involved in two efforts prior to this consultancy to develop performance indicators for the Mission's natural resources management objectives. One attempt to develop appropriate indicators was made in July 1995, when all of the Mission's SOS were reviewed from this perspective with an Africa Bureau team. The second attempt occurred in August 1996, as part of the SO 2 Team's effort to move forward in this area. In both instances, the indicators that emerged were somewhat general, e.g., calling for evidence of changes in practices, the passage of laws, the development of new policies. The general nature of these indicators reflected accurately the stage of development of the RF itself. Absent decisions about

precisely what community practices need to change, or which specific policies in how many different government organizations must be adjusted, it is nearly impossible to develop precise measures of performance. As a result, neither indicator exercise succeeded in defining either baseline data or in setting explicit targets for performance in this area.

During the consultancy described in this report, a similar situation pertained. More progress was made on the RF than on indicators. The problem this SO Team faces in finalizing indicators stems from the status of its RF, not from an inherent difficulty with indicators in this field. While greater clarity emerged in the SO 2 RF during this consultancy, it still lacks specificity. As long as that situation pertains, the SO Team will have a hard time crafting indicators for which it can gather baseline data and set specific targets. One needs to reach the point where a specific practice is identified, e.g., tree planting, before information can be gathered about how extensive that practice is today and what might be a reasonable rate of increase to aim for in a five year strategic planning period. At the SO level, clarification of exactly what resources are to be used on a sustainable basis would open the door to measurement at that level. The same holds true for the specification of what is meant by "improved management" at the community level, in the draft RF dated 11/15/96.

While it is useful for the SO 2 Team to continue to think about indicators, and it is extremely important for this team to identify what baseline data exists on practices and programs across the full range of natural resources, it may be futile for the team to try to agree on measures before it fully specifies its program objectives.

3. Key Elements in the SO2 PMP Implementation Strategy

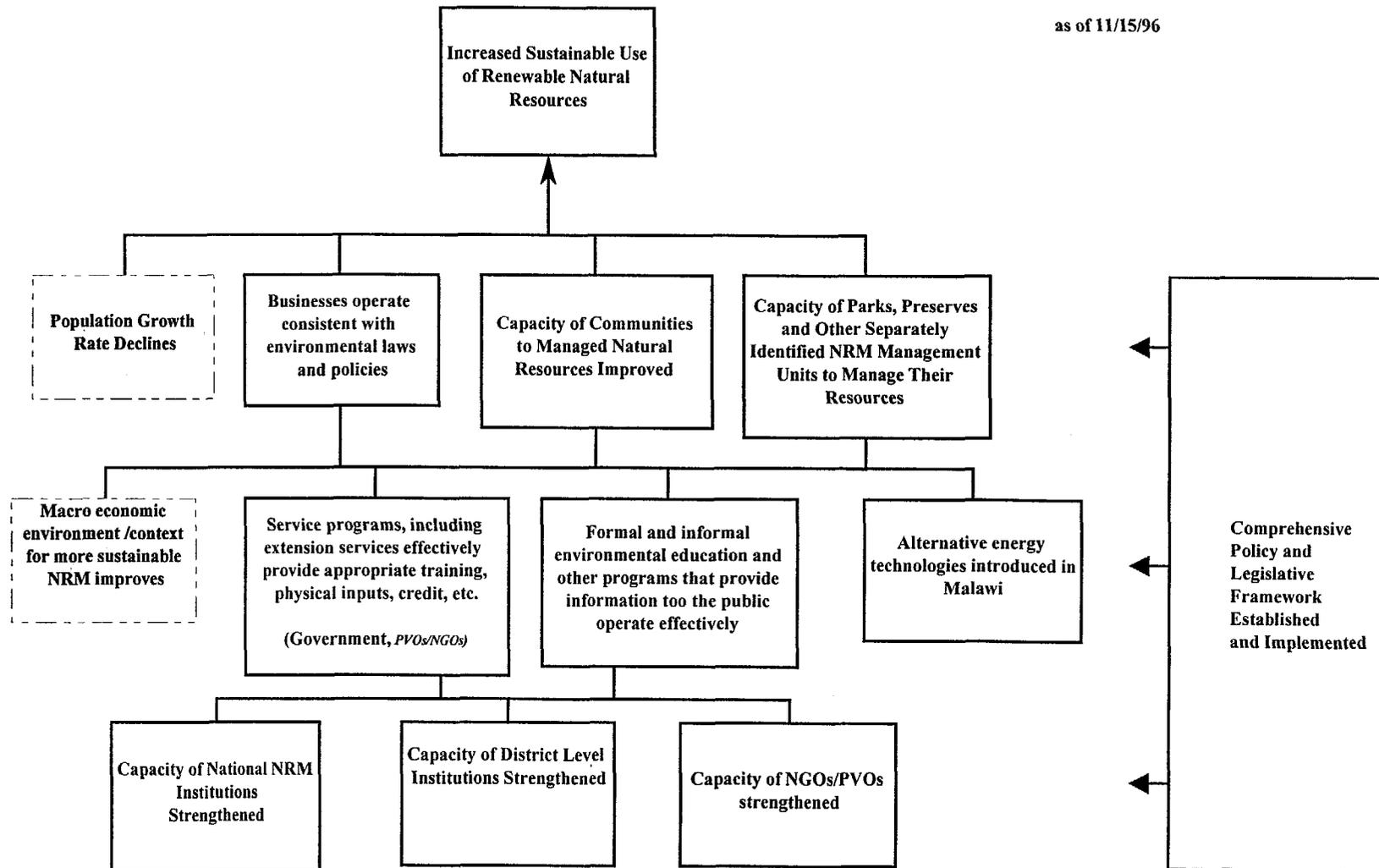
As noted above, the SO 2 Team is likely to continue to find it difficult to specify performance indicators, define data sources, collect baseline data, and set performance targets until its RF evolves in a way that adds specificity to the picture, particularly at the levels where resource use, resource management practices, and programs, policies and legislation that support these changes are all clearly identified.

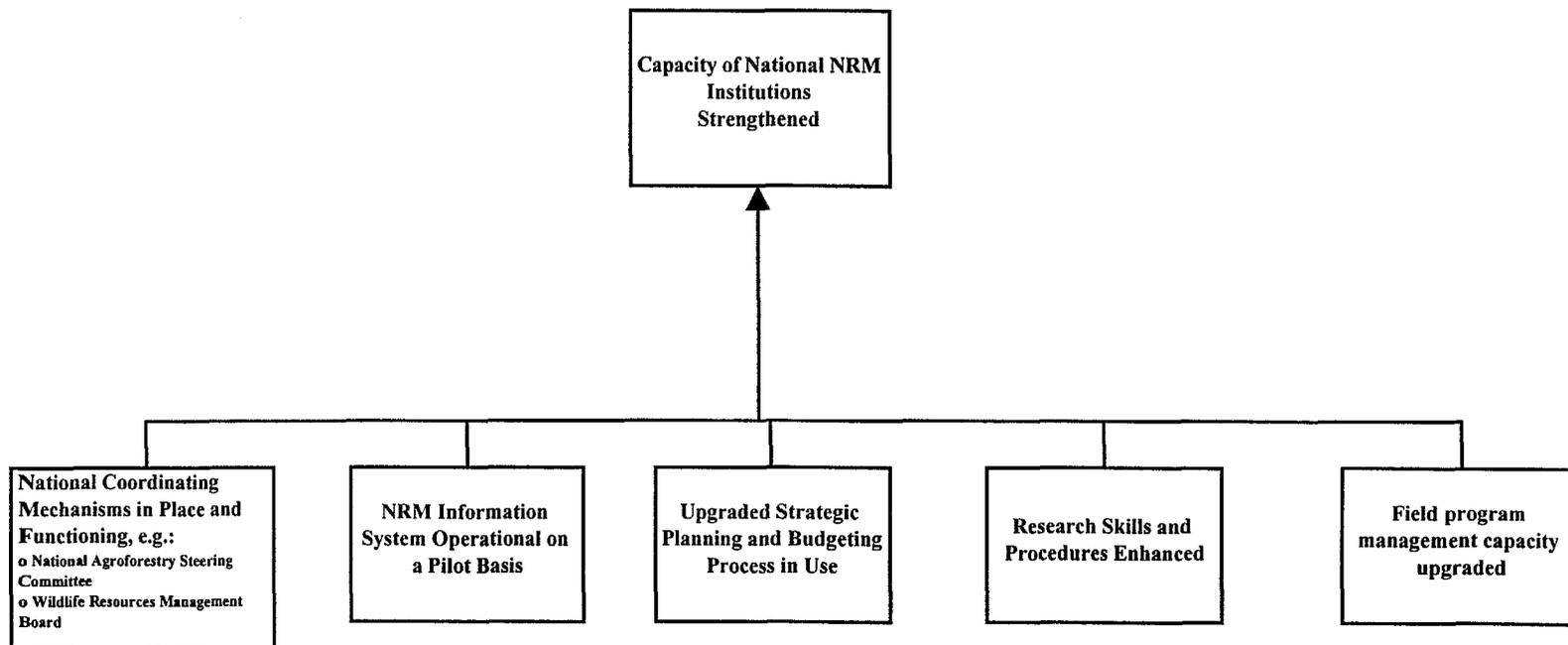
The priority for this Team is, then, to continue to expand the range of development partners with which it discusses its draft RF, and to use those discussions to add specificity to the picture. With line ministries, e.g., forestry, fisheries, etc., the Team can work to develop a full picture of what practices need to change and how change in those practices might be measured. With MOREA, it can examine what coordination is needed and what measures of better coordination would count.

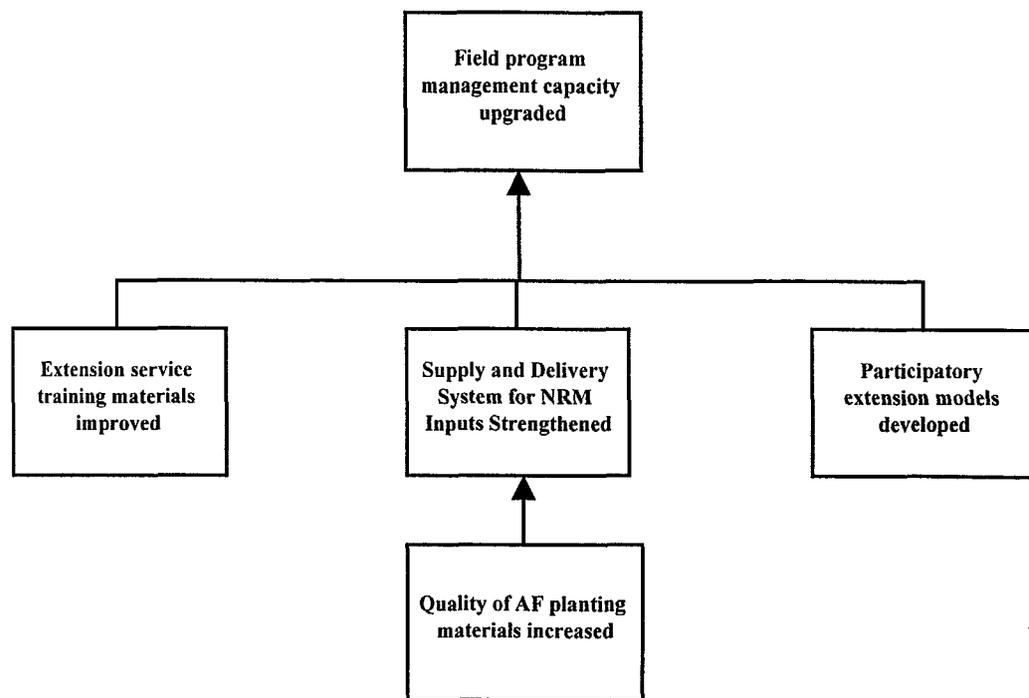
As an aid to clarifying its RF in this manner, the SO 2 Team may benefit from the experiences of other USAID/Missions. As a follow-up to the MSI team's field visit, a review of CDIE's files for examples of NRM objective trees, indicators and performance reports was undertaken. The examples found in the course of that review have been forwarded to the SO 2 Team.

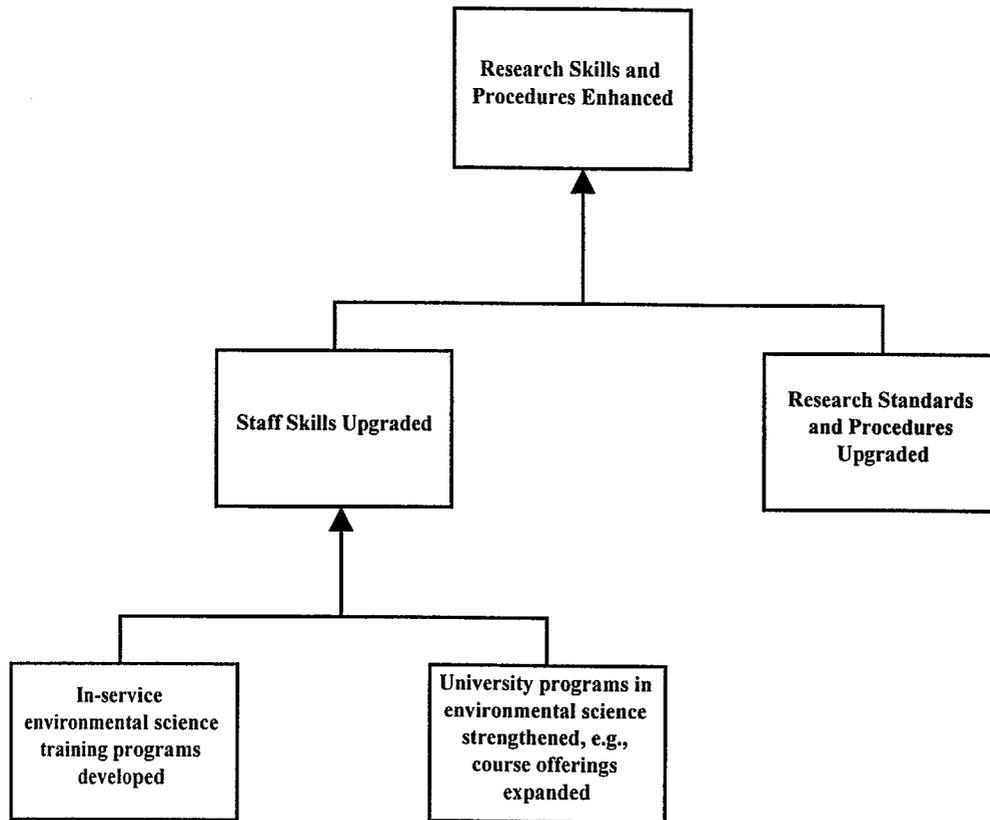
Results Framework for
Natural Resource Management

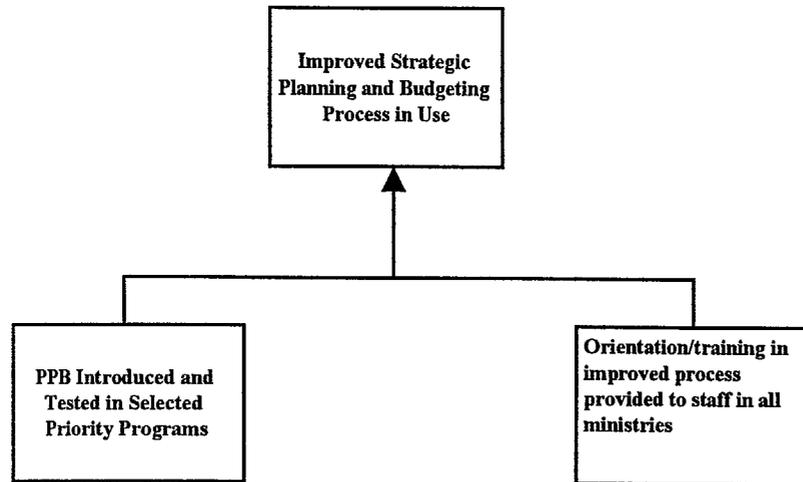
as of 11/15/96

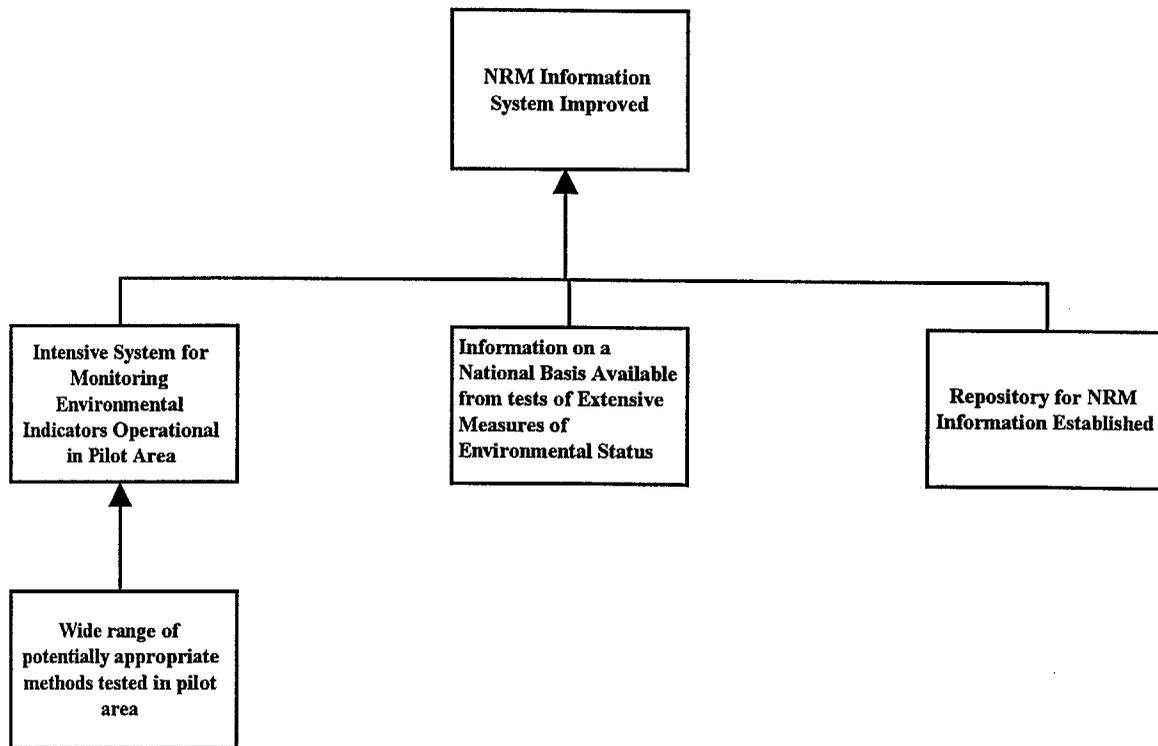


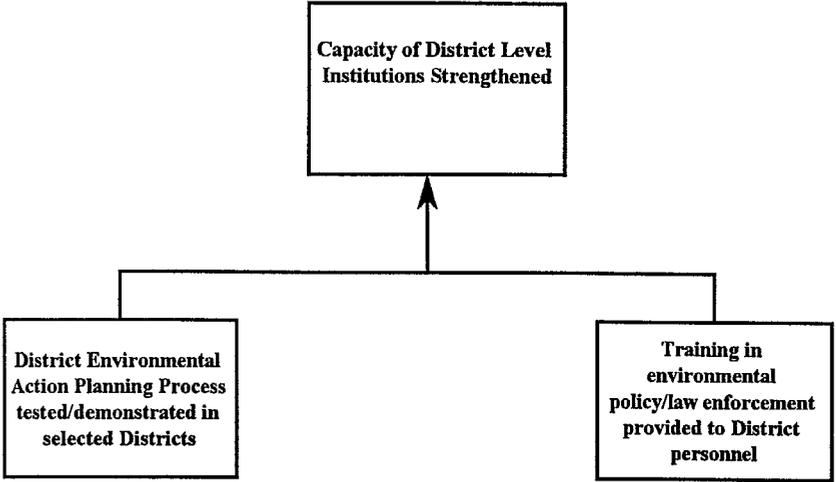












Performance Indicator Worksheet

Components or elements to be measured using performance indicators:

Businesses operate consistent with NRM policies and laws

Candidate Performance Indicators	Baseline		1996		1997		1998		1999		2000		Other
	Year	Value	Planned	Actual									
Energy use indicators, to be determined, e.g., type and volume used													

Performance Indicator Worksheet

Components or elements to be measured using performance indicators:

Capacity of Parks, Preserves and Other Separately Identified NRM Management Units to Manage their Resources and Enforce Relevant Laws Improved

Candidate Performance Indicators	Baseline		1996		1997		1998		1999		2000		Other
	Year	Value	Planned	Actual									
Management units can perform key functions -- to be determined, e.g., planning, management, enforcement, etc.													
Use of revenue sharing procedures													

Performance Indicator Worksheet

Service programs, including extension services effectively provide appropriate training, physical inputs, credit, etc.

Components or elements to be measured using performance indicators:

Candidate Performance Indicators	Baseline		1996		1997		1998		1999		2000		Other
	Year	Value	Planned	Actual									

Formal and informal environmental education and other programs that provide information to the public operate effectively

Components or elements to be measured using performance indicators:

Candidate Performance Indicators	Baseline		1996		1997		1998		1999		2000		Other
	Year	Value	Planned	Actual									

Performance Indicator Worksheet

**Alternative energy technologies
introduced in Malawi**

Components or elements to be measured using performance indicators:

Candidate Performance Indicators	Baseline		1996		1997		1998		1999		2000		Targets for Later Years
	Year	Value	Planned	Actual									

<p>Laws passed -- list of specific national and sectoral laws with projected dates:</p> <ul style="list-style-type: none"> ■ National Environmental Framework Bill Approved ■ Forestry legislation updated ■ Fisheries legislation updated ■ Parks and wildlife legislation updated ■ Agroforestry/soil conservation legislation updated ■ Land tenure legislation updated ■ Water/irrigation legislation updated 													
<p>Policies implemented -- relevant evidence identified for each specific policy:</p> <ul style="list-style-type: none"> ■ Implementing regulations under Environmental Management Act prepared (and issued??) ■ Compliance and enforcement strategy for NRM policies and regulations improved 													
<p>Evidence of laws enforced</p>													

ANNEX D

PMP Implementation Strategy for SO 3

1. Status of the RF

In developing the current (11/15/96) draft of its RF, the SO3 Team addressed not only the need to display “cause and effect” relationships, but also the three part nature of the Strategic Objective in this area. By disaggregating the SO into three distinct pieces, SO Team workgroups were able to identify their development hypotheses in specific sub-fields, i.e., family planning, reduced risk of HIV/AIDS transmission, and child health care. Working from the three RFS that evolved from this process, a “summary” RF was developed that was valid in its general outline for each of the three areas. The process used to reach this point was highly participatory. Government representatives as well as project staff contributed to the SO Team’s effort. Other donors were less well represented. **Moving forward, the SO3 Team needs to reach out, in concert with its MOHP partners, to other donors working in this broad field to learn how they view their objectives and determine whether a consensus view can be developed.** It may also be appropriate for the SO3 Team to begin to engage a few higher level officials in the MOHP concerning the highest level results in the RF and appropriate indicators of performance at that those levels.

2. Status of the PMP

The draft PMP developed by the SO3 Team builds extensively on previous work carried out for SO3, i.e., a 1995 consultancy that identified performance indicators that were used in preparing USAID/Malawi’s 1995 R2 report on performance. Many of the indicators identified in that report were viewed as valid for the revised RF the team had prepared. A few indicators were considered to be above the level of the SO, and more directly reflective of the Mission’s program goals, e.g., direct measures of health status such as infant mortality, the incidence of HIV among pregnant women, etc. While the Mission may continue to monitor these health status indicators, they will not be reported as direct measures of either the SO or the IRS in this field.

As the Performance Indicator Worksheets completed by the SO3 team indicate, performance measures have been developed for the SO and for a number of key results which may be selected as IRS. While a good deal of work has been done using these worksheets and in preparing the draft PMP, a number of task remain including:

- At lower levels of the RF, which the Mission will monitor internally, indicators still need to be developed and/or extracted from on-going projects and noted in the PMP.
- While the PMP is relatively complete at the RFS higher levels, there are a number of indicators for which definitions, data sources, methods, etc., need to be specified.

- Performance targets shown in the Team's worksheets need to be revalidated with USAID's partners.

3. Key Elements in the SO3 PMP Implementation Strategy

The SO3 Team's strategy for obtaining information on key performance indicators depends heavily on special surveys, such as the MDHS and the MKAPH. On-going projects are another important source of performance data.

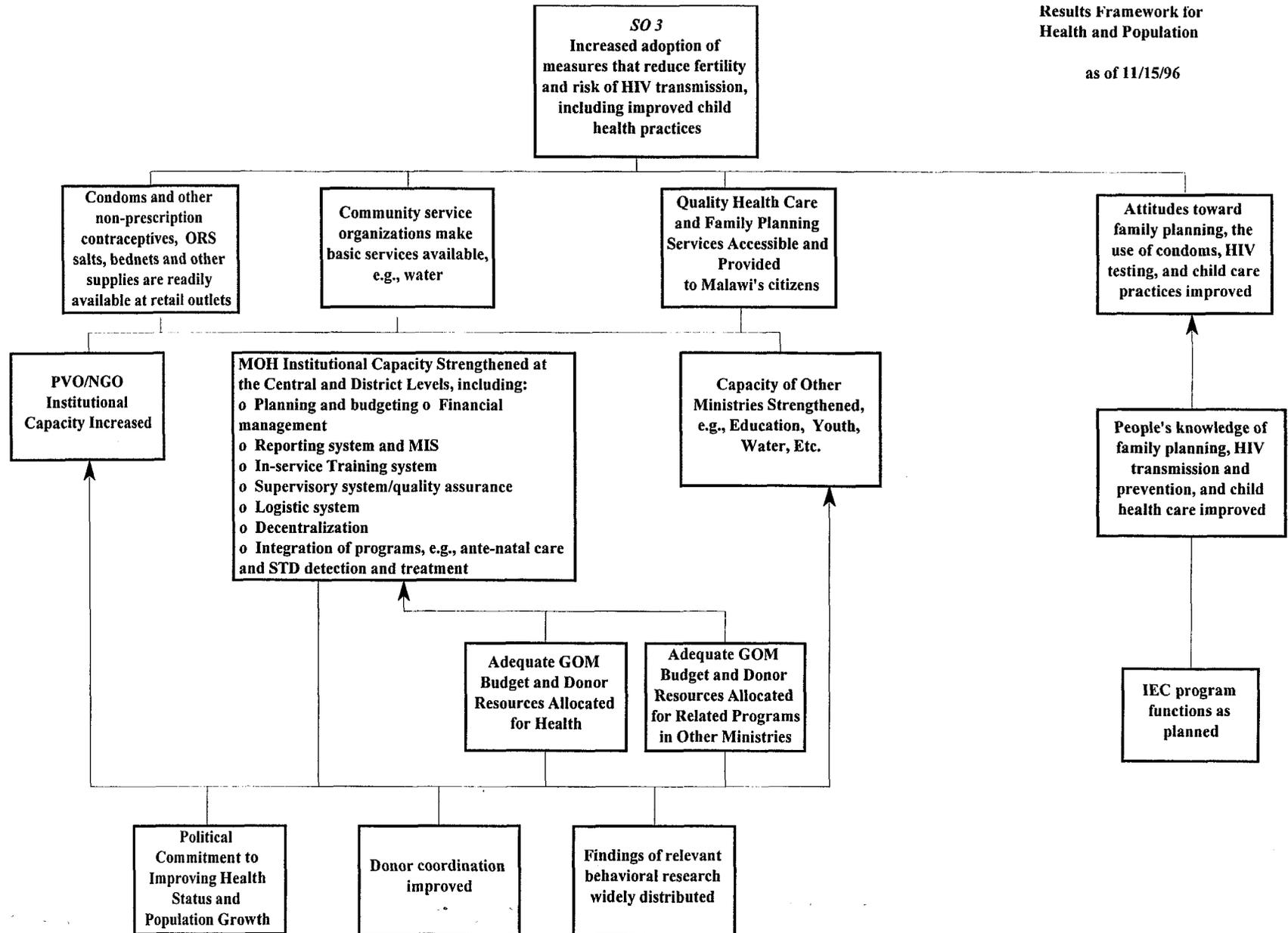
In developing its draft PMP, the SO3 Team identified a number of new performance indicators that reflect the teams updated RF. Most of these new indicators can be subsumed into existing data collection plans and procedures, i.e., the MKAPH or project monitoring schemes. The Team cannot, however, assume that this will happen automatically. **All new indicators that need to be absorbed into the Team's primary data collection strategies need to be highlighted for discussion with those who are involved in project monitoring schemes or with periodic instruments such as the MDHS and the MKAPH.**

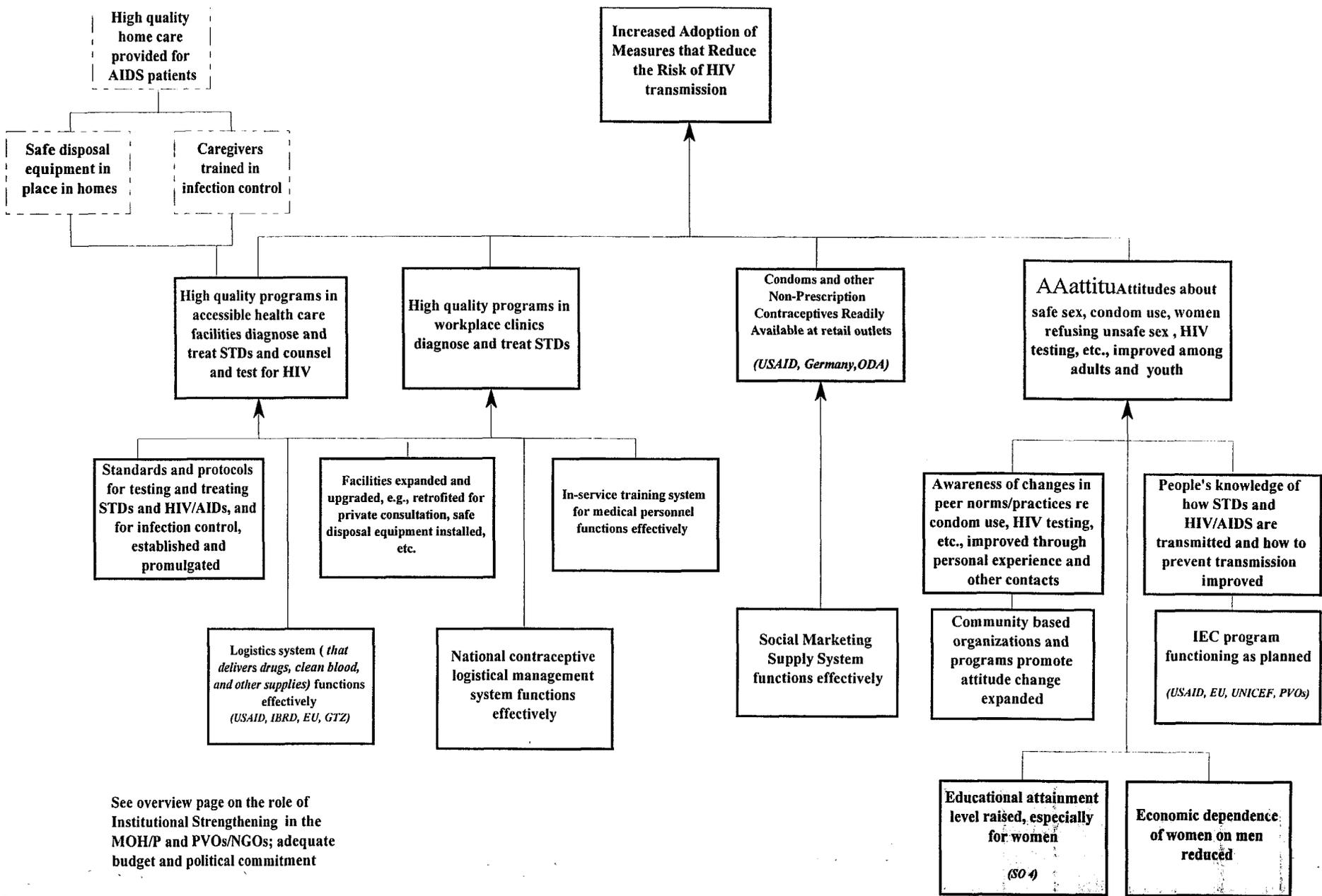
Of particular concern in this regard is the task of finding an appropriate set of indicators for measuring changes in attitudes concerning STDs and HIV/AIDS. None of the existing measures in the MKAPH or other instruments used in Malawi seem to function as good, direct measures of attitude changes that might also predict behavior change. To improve upon this situation, **the SO3 Team needs to follow up on its plan to investigate attitude change measures being used by other Missions in the region and by CDC.**

While the SO Team has work to do to ensure that performance data will be collected on all of its key indicators, it does not appear to need to put in place any new strategies for data collection. Expansion of the existing strategies appears, at this point, to be an appropriate approach for absorbing the new indicators that have emerged in this area.

Results Framework for
Health and Population

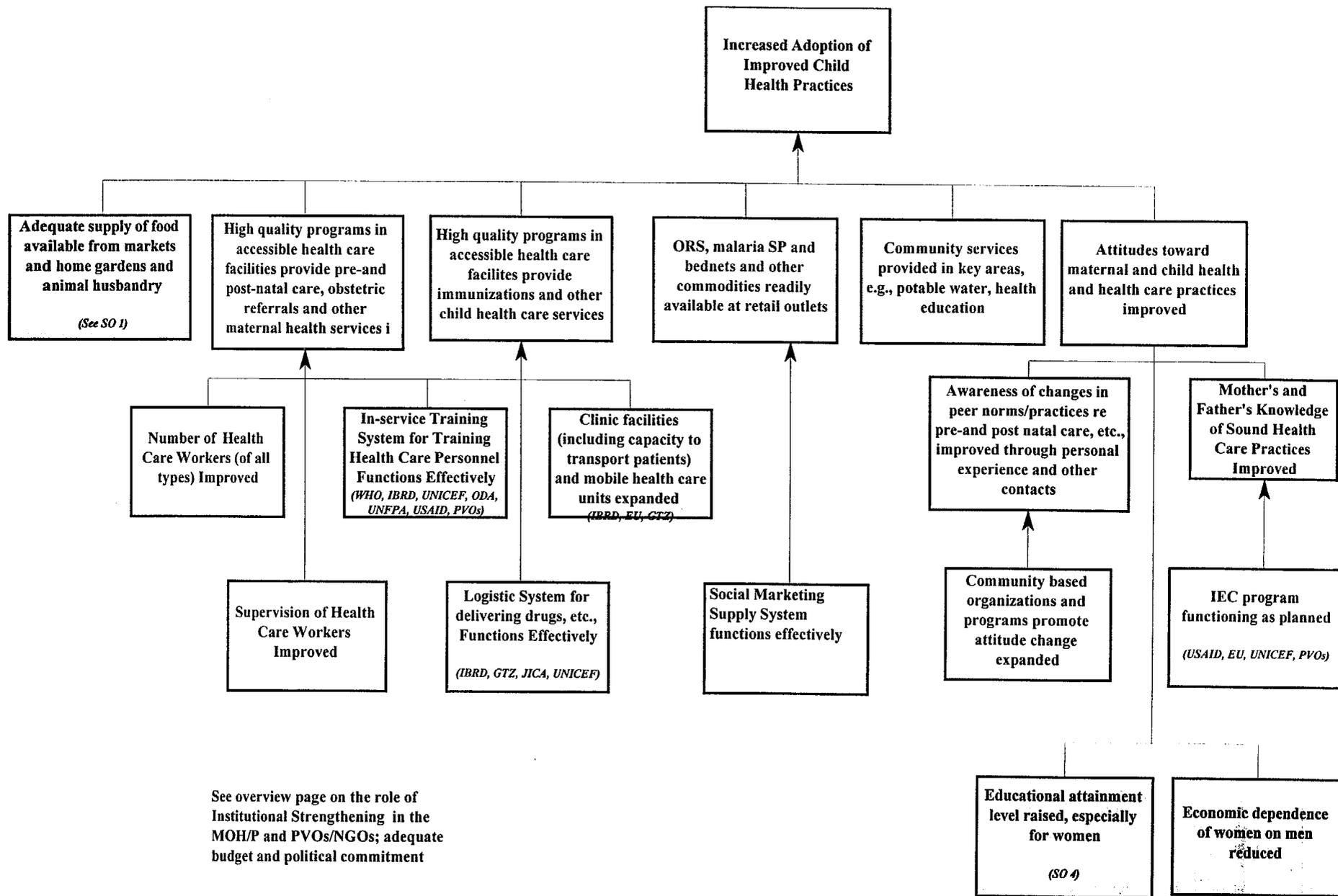
as of 11/15/96





See overview page on the role of Institutional Strengthening in the MOH/P and PVOs/NGOs; adequate budget and political commitment

199



DRAFT PERFORMANCE MONITORING PLAN FOR SO3

PERFORMANCE INDICATOR	DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD & APPROACH	FREQUENCY OF DATA COLLECTION	DATA CURRENTLY COLLECTED	RESPONSIBLE OFFICE
Program Sub-Goal: Healthier, Smaller Families (Not necessarily reported upon to USAID/Washington)						
Population Growth Rate		1992M DHS; Census	sample survey	3-5 years	Yes	TBD
Total Fertility Rate	Definition: Average number of children a woman will have assuming that current age-specific birth rates remain constant throughout childbearing years Unit: #	1992 MDHS, 1996	sample surveys	every 4 years	Yes	PHN Office
Mortality: a) Infant b) Under 5 years c) Maternal d) Linked to AIDS e) Linked to malaria	Definition: Annual number of deaths of infants under age one year per 1,000 live births Unit: # per 1,000	1992 MDHS, 1996	sample surveys	every 4 years	Yes	PHN Office
	Definition: Annual number of deaths of children under age five year per 1,000 live births Unit: #	1992 MDHS, 1996	sample surveys	every 4 years	Yes	PHN Office
	Definition: Annual number of deaths directly linked to childbirth Unit: #	1992 MDHS, 1996	sample survey	every 4 years	Yes	PHN Office
	Definition: Annual number of deaths directly linked to AIDS Unit: #				Yes	PHN Office

DRAFT PERFORMANCE MONITORING PLAN FOR SO3

PERFORMANCE INDICATOR	DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD & APPROACH	FREQUENCY OF DATA COLLECTION	DATA CURRENTLY COLLECTED	RESPONSIBLE OFFICE
	Definition: Annual number of hospital reported deaths directly linked to malaria Unit: #				Yes	PHN Office
National status/stunting	Definition: Unit: %				Yes	PHN Office
HIV sero-prevalence among adult ante-natal women a) Urban (Blantyre only) b) rural	Definition: percentage of women testing HIV positive at QECH ante-natal clinic Unit: %	Johns Hopkins study	published data	every year	Yes	PHN Office
Percentage of women in urban areas (Blantyre only) infected with syphilis	Definition: Unit: %			every year	Yes	PHN Office
Strategic Objective 3: Increased adoption of measures that reduce fertility and risk of HIV transmission, including improved child health practices.						
Modern method contraceptive prevalence rate (CPR): a) Married Women b) All Women	Definition: % of currently married women/all women, ages 15 to 49, who are currently using a modern method of contraception Unit: %	MDHS 1992, MKAPH 1996, MDHS 2000	sample surveys	every 4 years	1992 Survey completed, others planned.	PHN Office

DRAFT PERFORMANCE MONITORING PLAN FOR SO3

PERFORMANCE INDICATOR	DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD & APPROACH	FREQUENCY OF DATA COLLECTION	DATA CURRENTLY COLLECTED	RESPONSIBLE OFFICE
Average number of non-regular sexual partners reported a) Men b) Women	Definition: Average number of reported non-regular sexual partners in the last 4 weeks* Unit: #	MKAPH 1996, MDHS 2000	sample surveys	every 4 years	1992 survey completed, others planned	PHN Office
Condom use reported a) by men b) by women	Unit: % Definition: % of males/females, ages 20-54, and females, ages 15-49, reporting current use of condoms during recent sexual intercourse of risk.	MDHS 1992, MKAPH 1996, MDHS 2000	sample surveys	every 4 years	1992 survey completed, others planned	PHN Office
Percentage reporting that they sought modern treatment for STDs	Definition: Unit: %	MKAP, MDHS				PHN Office
Attended births as a percentage of all births	Definition: Unit: %	MDHS		every 4 years	Yes	PHN Office
Percentage of pregnant women in their first trimester seen in ante-natal visits	Definition: Unit: %					PHN Office
ORT Use Rate	Unit: % Definition: % of children under age 5 who had diarrhea in the last 2 weeks who were treated with ORS or home solution	MDHS 1992, MKAPH 1996,MDHS 2000	sample surveys	every 4 years	1992 completed, others planned	PHN Office

DRAFT PERFORMANCE MONITORING PLAN FOR SO3

PERFORMANCE INDICATOR	DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD & APPROACH	FREQUENCY OF DATA COLLECTION	DATA CURRENTLY COLLECTED	RESPONSIBLE OFFICE
<p>Percentage of children receiving timely and correct treatment of malaria</p> <p>a) Within 48 hours of onset of fever</p> <p>b) Correct dose given during last fever episode</p>	<p>Definition: % of children under 5 who received first-line anti-malarial treatment during last fever episode within 48 hours of onset</p> <p>Unit: %</p> <p>Definition: % of children under 5 who received the correct dose of first-line anti-malarial treatment during the last fever episode</p> <p>Unit: %</p>	Malaria KAP survey 1992, MKAPH 1996	nationwide cluster survey	every 4 years	yes	PHN Officer
Intermediate Result : High quality health care and family planning service provided						
Couple Years of Protection (CYP)	<p>Unit: # (000)</p> <p>Definition: CYP equivalent of contraceptives distributed to MOH&P and CHAM clinics</p>	Health Information System (HIS)	clinic records	every year	HIS now being established. Data will be available this year.	PHN Office
<p>Percentage of CPY provided by:</p> <p>a) Hospitals</p> <p>b) Clinics</p> <p>c) CBDs</p> <p>d) HSAs</p>	<p>Definition:</p> <p>Unit: %</p>					PHN Office
Number of CBD agents providing limited family planning services	<p>Definition:</p> <p>Unit: %</p>					PHN Office
Number of clinets of CBD agents	<p>Definition:</p> <p>Unit: %</p>					PHN Office

DRAFT PERFORMANCE MONITORING PLAN FOR SO3

PERFORMANCE INDICATOR	DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD & APPROACH	FREQUENCY OF DATA COLLECTION	DATA CURRENTLY COLLECTED	RESPONSIBLE OFFICE
Number of community-based distribution (CBD) agents providing limited family planning services	Unit: # Definition: # of CBDs, male and female, distributing contraceptives (condoms, oral contraceptives, barrier methods)	John Snow, Inc.	project records	every year	yes	PHN Office
Number of MOH&P and CHAM hospitals providing comprehensive family planning services	Unit: # Definition: % of MOH&P and non-Catholic CHAM hospitals providing a full range of modern contraception methods including surgical	National Family Welfare Council of Malawi reports	hospital records, site visits	every year	yes	PHN Office
Number of MOH&P and CHAM hospitals providing core family planning services	Unit: # Definition: % of MOH&P and non-Catholic CHAM clinics providing modern contraception methods except surgical	National Family Welfare Council of Malawi reports	clinic records	every year	yes	PHN Office
Contraceptive User Dropout Rate	Definition: Unit: %					PHN Office
Free distribution of condoms	Definition: Unit: # (000)	central Medical Stores	stock distribution report			PHN Office

DRAFT PERFORMANCE MONITORING PLAN FOR SO3

PERFORMANCE INDICATOR	DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD & APPROACH	FREQUENCY OF DATA COLLECTION	DATA CURRENTLY COLLECTED	RESPONSIBLE OFFICE
<p>Quality of care provided to STD patients</p> <p>a) Percentage of STD clinic patients given education and counseling</p> <p>b) Percentage of STD clinic patients assessed and treated in appropriate way</p>	<p>Definition: % of individuals seeking STD care in STD clinics who have received appropriate education and counseling (e.g. condom use and partner notification)</p> <p>Unit: %</p> <p>Definition: % of individuals presenting with specific STDs in STD clinics who are assessed and treated according to national STD standards</p> <p>Unit: %</p>	<p>Site visits</p>	<p>project reports</p>	<p>every 2 years</p>	<p>yes</p>	<p>PHN Offices</p>
<p>Percentage of schools providing AIDS prevention education</p>	<p>Definition:</p> <p>Unit: %</p>					<p>EID Office</p>
<p>Workplace STD treatment:</p> <p>a) percentage of large private companies (with over 300 employees) that have health clinics</p> <p>b) percentage of large private company clinics providing STD services</p> <p>c) percentage of employees of companies with over 300 people who have access to STD services</p>	<p>Definition:</p> <p>Unit: %</p>					<p>PHN Office</p>

DRAFT PERFORMANCE MONITORING PLAN FOR SO3

PERFORMANCE INDICATOR	DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD & APPROACH	FREQUENCY OF DATA COLLECTION	DATA CURRENTLY COLLECTED	RESPONSIBLE OFFICE
Child vaccination coverage	Definition: % of children under 23 months fully vaccinated by 12 months of age Unit: %	Johns Hopkins study	published data	every year	Yes	PHN Office
Percent of service delivery points that provide SP to pregnant women	Definition: Unit: %					PHN Office
Percentage of health care service facilities that experience supply stock outs a) hospitals b) clinics c) workplace facilities	Definition: Unit: %					PHN Office
Percentage of health care facilities that have an adequate number and range of trained personnel a) hospitals b) clinics c) workplace facilities	Definition: Unit: %					PHN Office
Distance to sources providing modern method contraception	Unit: kms Definition: Among women who know a modern contraceptive method, the average distance to the nearest modern method contraception availability	MDHS 1992, MKAPH 1996, MDHS 2000	sample surveys	every 4-5 years	1992 survey completed, 1996 planned	PHN Office

DRAFT PERFORMANCE MONITORING PLAN FOR SO3

PERFORMANCE INDICATOR	DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD & APPROACH	FREQUENCY OF DATA COLLECTION	DATA CURRENTLY COLLECTED	RESPONSIBLE OFFICE
Intermediate Result : High quality health care and family planning service provided						
Condom distribution:	Unit: # (000) Definition: a) Condoms sold to retailers, wholesalers, and consumers	Population Services International	sales records	every quarter	ongoing	PHN Office
Distance to nearest source of condoms (median number of minutes)	Definition: Unit: %	1992 MDHS		every 4 years	Yes	PHN Office
Sales of ORS	Definition: Unit: %					PHN Office
Percent purchased bednets	Definition: Unit: %	MKAP			Yes	PHN Office
Percent purchased mosquito nets	Definition: Unit: %	MKAP			Yes	PHN Office
Percentage of rural private outlets providing first-line anti-malarial drugs	Unit: % Definition: % of rural wholesaler outlets (out of 250) providing generic SP to rural retailers*	Chipiku wholesale distributors*	sales records	every year	Yes no--agreement must first be signed allowing sales to commercial outlets	PHN Office PHN Office

71

DRAFT PERFORMANCE MONITORING PLAN FOR SO3

PERFORMANCE INDICATOR	DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD & APPROACH	FREQUENCY OF DATA COLLECTION	DATA CURRENTLY COLLECTED	RESPONSIBLE OFFICE
Intermediate Result : Community Services Provided, e.g., Water						
Number of people in targeted areas with access to safe water	Unit: # (000) Definition: Population in targeted areas with access to safe water due to USAID-supported interventions e.g. gravity-fed water schemes, protected wells, boreholes. Population derived from # of taps, boreholes, shallow wells and springs completed and population in catchment area.	project reports, Save the Children, Africare, World Vision	project monitoring	every year	yes	PHN Office
Percent of population by type of water source	Definition: Unit: %	MKAP				PHN Office
Average time required to obtain water	Definition: Unit: %	MKAP				PHN Office
Intermediate Result : Attitudes about family planning, HIV/AIDs and child health care improved						
Reported "ideal" family size a) Male b) Female	Definition: Unit: %	MDHS				PHN Office
Additional attitude quesitons -- TBD	Definition: Unit: %					PHN Office
Indicators for Selected Lower Level Results that Support This Intermediate Results, i.e., indicators of knowledge						
Percent citing two acceptable ways of preventing HIV transmission	Definition: Unit: %	MDHS; MKAP				PHN Office

DRAFT PERFORMANCE MONITORING PLAN FOR SO3

PERFORMANCE INDICATOR	DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD & APPROACH	FREQUENCY OF DATA COLLECTION	DATA CURRENTLY COLLECTED	RESPONSIBLE OFFICE
Percentage citing "limited number of partners" as a means to prevent AIDS: a) Males b) Females	Unit: % Definition: % of sexually active respondents (sexual intercourse in the last 3 months) citing "limited number of partners" as a means to prevent AIDS (male/female)	PSI.	Survey.	Annual	Yes	PHN office
Percentage citing "use of condom" as a means to prevent AIDS: a) Male b) Female	Unit: % Definition: % of sexually active respondents (sexual intercourse in the last 3 months) citing "limited number of partners" as a means to prevent AIDS (male/female).	PSI	Survey	Annual	Yes	PHN office
Percent correctly citing the problems that malaria causes during pregnancy	Definition: Unit: %	MKAP				PHN Office
Percent who know where they can obtain a method of family planning	Definition: Unit: %	MKAP				PHN Office
Percent who know were they can get a condom	Definition: Unit: %	MKAP				PHN Office
Percent who say "yes" an apparently healthy person can have AIDS	Definition: Unit: %	MKAP				PHN Office

DRAFT PERFORMANCE MONITORING PLAN FOR SO3

PERFORMANCE INDICATOR	DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD & APPROACH	FREQUENCY OF DATA COLLECTION	DATA CURRENTLY COLLECTED	RESPONSIBLE OFFICE
<p>Comments/Notes: Modern methods include: injectables, IUDs, vaginal foaming tablets, condoms, oral contraceptives and sterilization. The conversion factors for CYP are 15 cycles oral contraceptives = 1 CYP; 1 IUD = 3.5 CYP; 1 implant = 3.5 CYP; 150 condoms = 1 CYP; 150 vaginal foaming tablets = 1 CYP; 1 sterilization (male or female) = 10 CYP; 4 depo-provera (injectable) = 1 CYP; & 6 noristerat (injectable) = 1 CYP.</p> <p>A similar survey or situation analysis will be conducted in 1997. Part of the design and implementation of a situation analysis is the collection of data on client satisfaction and on a series of quality factors which can be used to construct an index with which to classify family planning service delivery points. Key factors might be the availability of methods, adequate supplies, a trained provider, IEC materials, counseling services.</p> <p>Comments/Notes: *Mission may consider using the number of retailers as a base once the agreement is signed and Chipiku provides the sales records indicating the number of retailers it supplies.</p>						

Performance Indicator Worksheet

Working Draft , November 12, 1996

Healthier, smaller families

Components or elements to be measured using performance indicators:

- Family size
- Health status

Candidate Performance Indicators		Baseline		1996		1997		1998		1999		2000		Other
		Year	Value	Planned	Actual									
Population Growth Rate (This may be more appropriate as a Mission level Goal indicator -- either at that level or this, it is important to monitor this indicator)			2.7%											
Total fertility rate (Source: CSP/R2)		1992	6.7											
Mortality rates reduced	Infant mortality (per 100,000)	1984 1992	351 134	130						120				
	Under 5 years													
	Maternal mortality (per 1,000)		620											
	Deaths from AIDS	1994	37,000											
	Hospital reported deaths from malaria													

Candidate Performance Indicators		Baseline		1996		1997		1998		1999		2000		Other
		Year	Value	Planned	Actual									
Nutritional status/stunting <i>(Source: CSP/R2)</i>		1992	50/11											
		1995	50/19											
HIV sero-prevalence among ante-natal women <i>(Source: CSP/R2)</i>	Urban (Blantyre only)	1985	2.0%	33.0%		33.0%		32.0%				31.0%		
		1992	27.0%											
		1993	30.2%											
		1994	31.6%											
	1995	32.8%												
	Rural													
Percentage of pregnant women in urban areas (Blantyre) infected with syphilis <i>(Source: CSP/R2)</i>		1989	13.4%	12.0%		11.0%		10.0%				8.0%		
		1993	12.2%											
		1995	12.5%											

Performance Indicator Worksheet

Increased Adoption of Measures that Reduce Fertility and the Risk of HIV Transmission, including improved child health practices

Components or elements to be measured using performance indicators:

- Adoption of measures that reduce fertility
- Adoption of measures that reduce the risk of HIV transmission
- Adoption of measures that improve child health

Candidate Performance Indicators		Baseline		1996		1997		1998		1999		2000		Other
		Year	Value	Planned	Actual									
<i>Adoption of Measures that Reduce Fertility</i>														
Percentage using modern methods -- CPR (Source: CSP/R2)	Married women	1991 1992 1995	5.9% 7.4% 8.6%	9.6%		12.5%		15.0%				20.0%		
	All women													
<i>Adoption of Measures that Reduce the Risk of HIV Transmission</i>														
Average number of non-regular sex partners during past 4 weeks (Source: CSP/R2)	As reported by males													
	As reported by females													

Candidate Performance Indicators		Baseline		1996		1997		1998		1999		2000		Other
		Year	Value	Planned	Actual									
Condom use <i>(Source: CSP/R2)</i>	As reported by males	1992 1995	7.2% 30.0%	30.0%								25.0%		
	As reported by females	1992 1995	1.4% 18.0%	20.0%								25.0%		
Percentage reporting that they sought modern treatment for STDs	Males													
	Females													
<i>Adoption of Measures that Improve Child Health</i>														
Attended births as a percent of all births														
Percentage of pregnant women in the first trimester seen in ante-natal visits														
Percent of women exclusively breast feeding children during first 4 months														
ORS use rate <i>(Source: CSP/R2)</i>		1992 1995	63.0% 78.0%									80.0%		
Percent first-line treatment of malaria within 48 hours of onset of fever <i>(Source: CSP/R2)</i>		1992	16.0%	40.0%								60.0%		
Percent correct dose given of first-line treatment during last fever episode <i>(Source: CSP/R2)</i>		1992	17.0%	40.0%								60.0%		

Performance Indicator Worksheet

High Quality Health Care and Family Planning Services Provided

Components or elements to be measured using performance indicators:

- Family planning
- Detection and treatment of STDs
- Detection of AIDS and care for those affected
- Use of safe health practices at all medical facilities
- Child health care
- Maternal health care

Candidate Performance Indicators	Baseline		1996		1997		1998		1999		2000		Other
	Year	Value	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	
<i>Indicators of Family Planning Services Provision and Quality</i>													
Couple years of protection (1,000) <i>(Source: CSP/R2)</i>		1993 1994 1995	62,250 68,100 109,500	166,000		213,200							
Percentage of CYP by Service Delivery Point	Hospitals												
	Clinics												
	CBDs												
	HSAs												
Number of CBD agents providing limited family planning services <i>(Source: CSP/R2)</i>		1993 1994 1995	134 374 578	650		750		868			868		
Number CBD agent clients, i.e., population served													

Candidate Performance Indicators	Baseline		1996		1997		1998		1999		2000		Other
	Year	Value	Planned	Actual									
MOH and CHAM hospitals providing comprehensive family planning services (Source: CSP/R2) (Change to percentage of hospitals)	1992	8	18		30		33				33		
	1993	11											
	1994	11											
	1995	14											
Service delivery points (hospitals, clinics, HSAs) providing core family planning services (Source: CSP/R2) (Change to percentage and verify that the baseline data and projections are for all service delivery points)	1992	175	450		510		593				593		
	1993	326											
Contraceptive user dropout rate													
Indicators of Health Care Services Provision (related to HIV/AIDS) and Quality													
Condom distribution -- free (000/year) (Source: CSP/R2) (If female condoms are introduced, separately record their distribution)	1992	3,000	10,000		10,000		10,000				10,000		
	1993	3,500											
	1994	7,344											
	1995	10,038											
Percentage of STD patients given education and counseling (Source: CSP/R2)	1994	29.0%					40.0%				60.0%		
Patients assessed and treated in appropriate way (Source: CSP/R2)	1994	13.0%					35.0%				60.0%		
Percentage of schools providing AIDS prevention education (Source: JSI-STAFH)													

Candidate Performance Indicators	Baseline		1996		1997		1998		1999		2000		Other
	Year	Value	Planned	Actual									
Percentage of large private companies providing services (e.g., STD diagnosis and treatment) for employees and partners													
Percentage of employees in companies with over 300 people that have access to STD treatment <i>(Alternative indicator to the one preceding it)</i>													
<i>Indicators of Health Care Services Provision (related to child health) and Quality</i>													
Child vaccination coverage <i>(Source: CSP/R2)</i>	1992 1993 1995	67.0% 70.0% 61.0%	70.0				75.0%				80.0%		
SP provided to pregnant women													
<i>Additional, cross-cutting indicators of Quality Health Care Services</i>													
Percentage of large private companies (over 300 employees) that have health care clinics													

Percentage of health care service facilities (hospitals and clinics) that experience supply stock-outs (by type of stock), e.g., contraceptives, HIV test materials, vaccines, i.e., never, less than 3 times/year; more than 3 times/year	Hospitals													
	Clinics													
	Workplace facilities													

Candidate Performance Indicators		Baseline		1996		1997		1998		1999		2000		Other
		Year	Value	Planned	Actual									
Percentage of health care service facilities that have an adequate number and range of trained personnel (by type of personnel), i.e., adequate, marginally adequate, inadequate	Hospitals													
	Clinics													
	Workplace facilities													

Performance Indicator Worksheet

Family Planning and Health Care Supplies, i.e., Condoms, Other Non-Prescription Contraceptives, ORS, Bednets, etc., Readily Available from Retail Sources

Components or elements to be measured using performance indicators:

- Accessibility -- Distance/times of day
- Source appropriateness/accessibility for males/females
- Volume (supply relative to demand)

Candidate Performance Indicators	Baseline		1996		1997		1998		1999		2000		Other
	Year	Value	Planned	Actual									
Condom distribution "sales" (000/year) <i>(Source: CSP/R2)</i> <i>(Add sales of oral contraceptives when appropriate)</i>	1992 1993 1995	140 193 4,000	5,000		6,000		6,500				7,500		
Distance to nearest source of condoms (median number of minutes) <i>(Source: DHS)</i>	1992	90											
Sales of ORS													
Percent purchased bednets <i>(Source: KAP)</i>													
Percent purchased mosquito coils <i>(Source: KAP)</i>													
Percent purchased mosquito sprays <i>(Source: KAP)</i>													

Performance Indicator Worksheet

**Community Services Provided, e.g.,
Potable Water**

Components or elements to be measured using performance indicators:

- All relevant services

Candidate Performance Indicators	Baseline		1996		1997		1998		1999		2000		Other
	Year	Value	Planned	Actual									
Population in targeted areas with access to safe water (0000) <i>(Source: CSP/R2)</i>	1994 1995	77.0 218.0	295.0		394.0						400.0		
Percent of population by type of water source <i>(Source: KAP)</i>													
Average time required to obtain water <i>(Source: KAP)</i>													

Performance Indicator Worksheet

Components or elements to be measured using performance indicators:

**Attitudes about family planning,
HIV/AIDS and child
health care improved**

Candidate Performance Indicators		Baseline		1996		1997		1998		1999		2000		Other
		Year	Value	Planned	Actual									
Reported "ideal family size"	Males													
	Females													
Data from additional attitude questions reported on repeated surveys, e.g., <i>(Exact questions to be determined, CDC and others to be asked for experience in directly measuring attitudes that predict behavior re HIV/AIDS prevention)</i>														

Performance Indicator Worksheet

People are knowledgeable about how to limit family size, avoid HIV transmission and provide proper health care and nutrition for children

Components or elements to be measured using performance indicators:

- Knowledge of family planning methods and why smaller families are desirable
- Knowledge of how STDS are transmitted and what to do avoid/cure them
- Knowledge of how HIV/AIDS is transmitted and what to do to avoid transmission
- Knowledge of how to prevent malnutrition and disease, and why vaccinations are important

Candidate Performance Indicators	Baseline		1996		1997		1998		1999		2000		Other
	Year	Value	Planned	Actual									
Percent of people with knowledge of malaria transmission (Source: CSP/R2)	1992	50.0%	75.0%								90.0%		
Percentage citing two acceptable ways of reducing the risk of HIV transmission													
Percent citing "limited number of partners" as a means to prevent AIDS (male/female) (Source: CSP/R2)	1992	56/41			75/60								
Percent citing "use of condom" as a means to prevent AIDS (male/female) (Source: CSP/R2)	1992	30/12			50/30								
Percent correctly citing problems that malaria causes during pregnancy (Source: KAP)													

Performance Indicator Worksheet

Standards and protocols (e.g., for STD and HIV testing, treatment, provision of family planning methods, child and maternal care, etc.) developed and promulgated

Components or elements to be measured using performance indicators:

- For each relevant procedure
- Separate measures for development and promulgation

Candidate Performance Indicators	Baseline		1996		1997		1998		1999		2000		Other
	Year	Value	Planned	Actual									

Performance Indicator Worksheet

Components or elements to be measured using performance indicators:

Logistics system (for delivering drugs, test materials, etc.) to service delivery points operates effectively

Candidate Performance Indicators	Baseline		1996		1997		1998		1999		2000		Other
	Year	Value	Planned	Actual									

Performance Indicator Worksheet

In-service training system for medical personnel (at all levels) operates effectively

Components or elements to be measured using performance indicators:

- Training program coverage, e.g., detection and treatment of STDs, malaria interventions, standards and protocols, etc.
- Percentage of physicians, nurses, CBDs, workplace service delivery personnel, school personnel trained in each relevant skill area

Candidate Performance Indicators	Baseline		1996		1997		1998		1999		2000		Other
	Year	Value	Planned	Actual									

Performance Indicator Worksheet

**Health care and family
planning facilities expanded
and upgraded**

Components or elements to be measured using performance indicators:

- New units constructed or otherwise established, i.e., health centers, workplace service centers, etc.
- Mobile clinics added to system and increase in number of communities on mobile clinic routes
- Clinics, etc., retrofitted for private consultations and examinations

Candidate Performance Indicators	Baseline		1996		1997		1998		1999		2000		Other
	Year	Value	Planned	Actual									

Performance Indicator Worksheet

**National contraceptive logistical
management system functions
effectively**

Components or elements to be measured using performance indicators:

Candidate Performance Indicators	Baseline		1996		1997		1998		1999		2000		Other
	Year	Value	Planned	Actual									

Performance Indicator Worksheet

**Social Marketing Supply System
functions effectively**

Components or elements to be measured using performance indicators:

Candidate Performance Indicators	Baseline		1996		1997		1998		1999		2000		Other
	Year	Value	Planned	Actual									

Performance Indicator Worksheet

Components or elements to be measured using performance indicators:

Capacity of MOHP Strengthened

Candidate Performance Indicators	Baseline		1996		1997		1998		1999		2000		Other
	Year	Value	Planned	Actual									

Performance Indicator Worksheet

Components or elements to be measured using performance indicators:

Capacity of PVOs/NGOs Strengthened

Candidate Performance Indicators	Baseline		1996		1997		1998		1999		2000		Other
	Year	Value	Planned	Actual									

Performance Indicator Worksheet

IEC program functioning as planned

Components or elements to be measured using performance indicators:

Candidate Performance Indicators	Baseline		1996		1997		1998		1999		2000		Other
	Year	Value	Planned	Actual									

Performance Indicator Worksheet

Components or elements to be measured using performance indicators:

<p>Adequate GOM Budget Allocated for Health and Family Planning</p>
--

Candidate Performance Indicators	Baseline		1996		1997		1998		1999		2000		Other
	Year	Value	Planned	Actual									

102

Performance Indicator Worksheet

Donor Coordination Improved

Components or elements to be measured using performance indicators:

Candidate Performance Indicators	Baseline		1996		1997		1998		1999		2000		Other
	Year	Value	Planned	Actual									

Performance Indicator Worksheet

**Political Commitment to Improving
Health Status and Population Growth
Rate Increased**

Components or elements to be measured using performance indicators:

Candidate Performance Indicators	Baseline		1996		1997		1998		1999		2000		Other
	Year	Value	Planned	Actual									

Performance Indicator Worksheet

Components or elements to be measured using performance indicators:

**Community based organizations
and programs that promote
attitude change expanded**

Candidate Performance Indicators	Baseline		1996		1997		1998		1999		2000		Other
	Year	Value	Planned	Actual									

ANNEX E

PMP Implementation Strategy for SO 4

1. Status of the RF

SO 4's current draft of its Results Framework adds a "cause and effect" dimension to the graphic that was missing from the previous draft USAID/Malawi developed in consultation with the Ministry of Education (MOE). This draft was shared with other donors in a MOE hosted meeting on November 11, 1996. In that meeting the MOE signaled its intent to hold a "working meeting" in the near future for the purpose of soliciting other donor input into the draft RF. Similar sessions will be needed to reach a consensus on performance indicators at key levels of the resulting RF. A detailed schedule for these meetings has yet to be developed.

2. Status of the PMP

The SO 4's draft PMP -- which will serve as an input to further discussions with the MOE and other donors -- currently covers its SO and most of the key results that USAID/Malawi is likely to consider to be IRS. It also includes a number of indicators below that level for which data sources, etc., have been tentatively identified. The draft PMP does not yet cover all of the results show in the team's draft RF of 11/16/96. Additional work by the team will be needed to review, identify and enter information on data sources, etc., for results that are not yet covered by the draft PMP.

As part of the process for finalizing the RF and PMP with the GOM and other donors, the SO Team will need to ensure that targets have been set for all indicators. Many indicators already have targets. As the SO4 Team noted, however, **USAID and the GOM have different targets for the same indicator, in some instances. These instances, which were identified in a draft PMP worksheet reviewed by the SO4 Team need to be examined and addressed, and targets for indicators that do not yet have targets need to be developed.**

3. Key Elements of the SO 4 PMP Implementation Strategy

The statements presented below assume that (1) the general structure of the current RF is confirmed through discussions with other donors, and that (2) most of the indicators identified to date are also validated through meetings with the MOE and other donors.

The SO 4 teams strategy for obtaining performance data at the SO and IR levels depends heavily on a existing data collection systems within the MOE. The annual school census, PSLE exam records and other and information provided by schools to the MOE are expected to provide virtually all the data on performance at the SO level and much of the IR and lower level data that is needed by this team. Annual MOE and Ministry of Finance data will also be needed to track budget allocations to the education sector, and to primary education within that sector. MOE data on its budget allocation to learning materials from the amount allotted to primary education is also needed, as are the existing data series that will allow the MOE and USAID to calculate the "unit cost" per student at the primary, secondary and university levels.

While much of this data is already being collected, **a number of new questions will have to be added to existing MOE formats.** These questions focus on the availability of infrastructure and resources, e.g., desks, storage facilities, water, latrines, kitchens, housing, textbooks, exercise books and registers. MOE representatives on the SO 4 “extended team” seem confident that these items can be added. Actually putting them in place, within a reasonable time frame, i.e., the coming year, will require work, and **ensuring that the task is completed will require monitoring.**

In addition to the information the MOE will collect, the SO team will look to the staff of the GABLE project for pertinent information on, among other things, the number of teachers who receive gender training. While not yet assigned other responsibilities in regard to the PMP, GABLE may need to assume the responsibility for determining whether various curriculum materials are being developed on schedule and whether these products are “gender sensitive.”

In addition to the types of data that can be collected using the existing and upgraded strategies outlined above, several types of data are needed which may involve the development of new data sources or data collection approaches and could, therefore, involve costs that were not previously anticipated. Two types of information that will require special attention are highlighted below:

- **Information on Community Attitudes Towards Girls’ Education**

Even when parents understand the potential value of education for their female children, they do not always provide for a common level of education for their male and female children. Cultural and historical attitudes about girls’ education are a critical factor in the MOE/USAID development hypothesis in the area of primary education. Accordingly, the draft PMP plan cites the need for attitudinal data as a performance indicator in this area.

In practice, neither the MOE or USAID has in place a systematic approach for collecting this data. Some attitudinal survey work has been done on a limited basis in connection with the GABLE project. **The questionnaires used in that survey research work need to be examined on a question by question basis** to determine whether any questions were asked that characterize parental attitudes, and could be used to ascertain whether attitudes toward girls’ education are changing, over time, for men, for women, and in aggregate.

If such questions can be found, and analysis of the answers obtained to date through limited survey research suggest that they are practical and valid, USAID and the GOM could begin to look for opportunities to ask these or similar questions on a broader scale. A KAP survey is one approach. Such an approach may be too costly, however. Another approach might involve asking other donors and other USAID projects to add key questions about attitudes toward girls’ education to their survey instruments. **Further analysis of the options in this area is needed.**

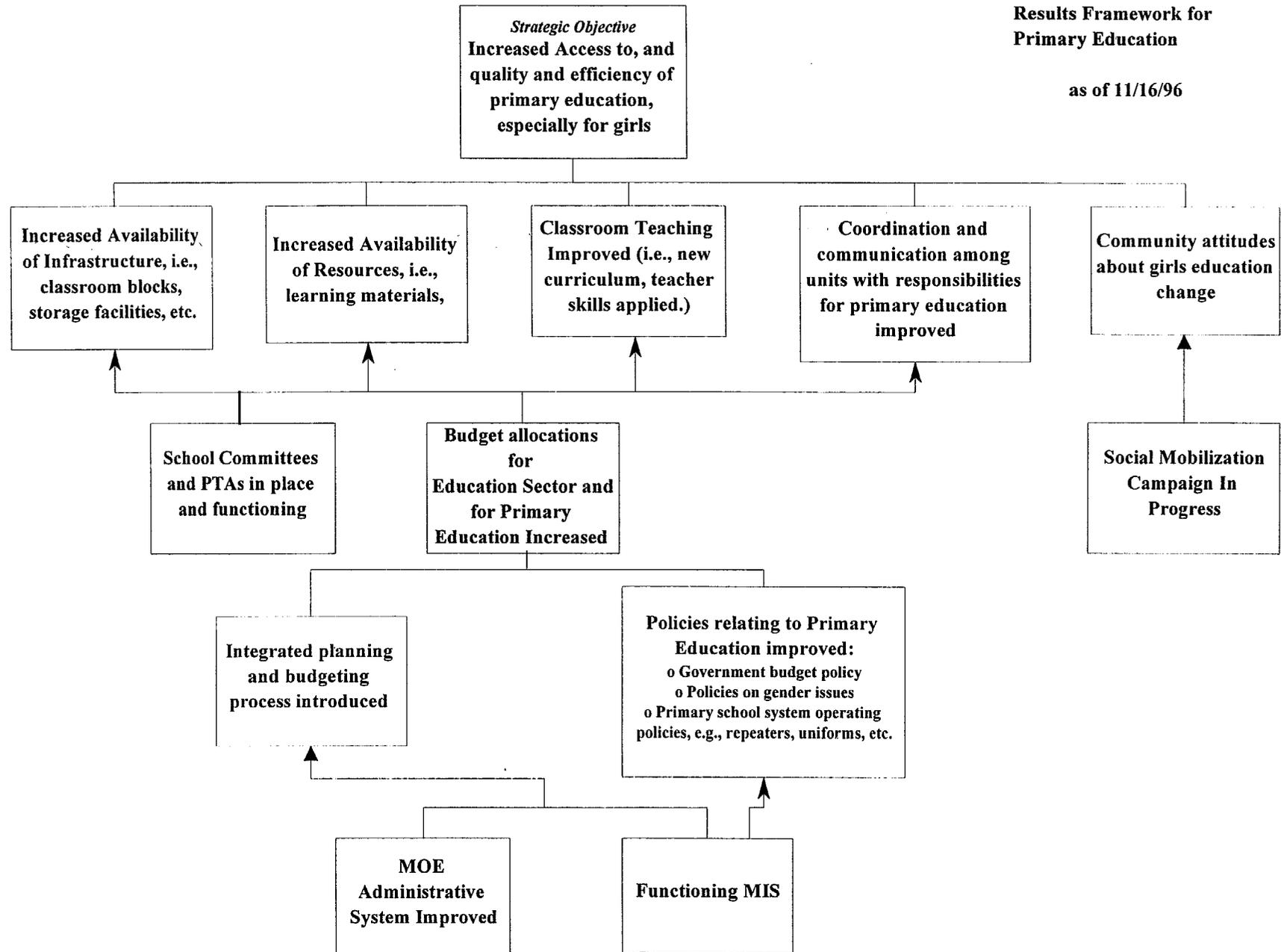
■ **Information on Whether Classroom Teaching is Improving**

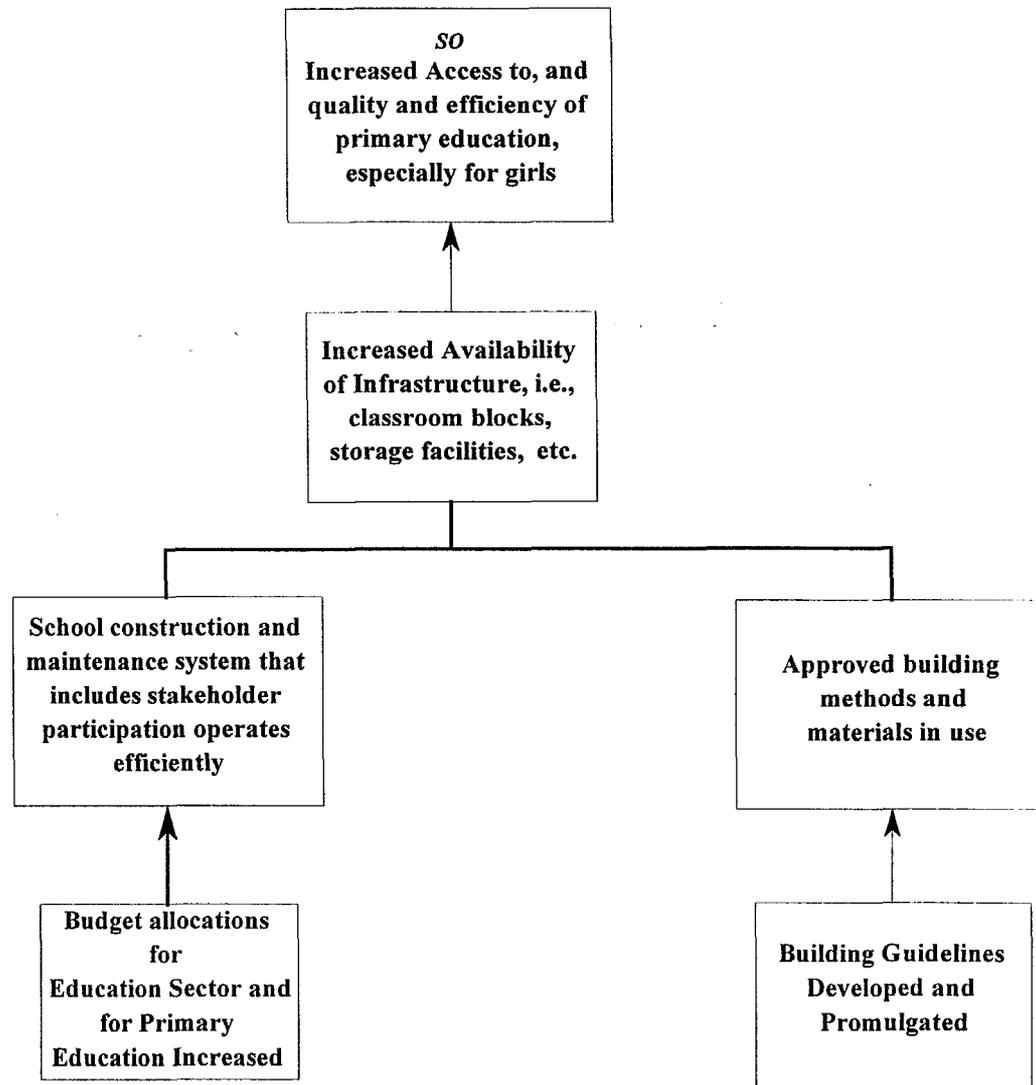
In principle, the task of observing classroom teaching to determine, for example, whether new curriculum materials and skills learned in teacher development courses are being applied, falls quite naturally to the MOE's existing system for school inspections. Discussions with MOE staff suggest, however, that this kind of classroom observation and reporting does not consistently occur. Many inspectors lack the transportation they need to visit schools. In addition, there is no systematic approach to classroom observation and evaluation in place which could be used to "score" classes and schools with respect to the extent of their use of new curriculum materials or teaching skills and practices.

Discussions by the SO 4 team of the possibility that surveys could be carried out to compensate for this information gap examined two options: (1) an external survey focused directly on questions about classroom teaching and (2) a survey approach that blended the need for information on classroom teaching with an opportunity to train MOE inspectors and introduce a new reporting format into the inspection system. **Either of these options would require funding that was not previously anticipated.** Of the two approaches, the second would be the more expensive, but it has the advantage of incorporating capacity building and the potential for generating a sustainable flow of information on this issue into the MOE. Additional discussions with the MOE and further analysis of these options is needed.

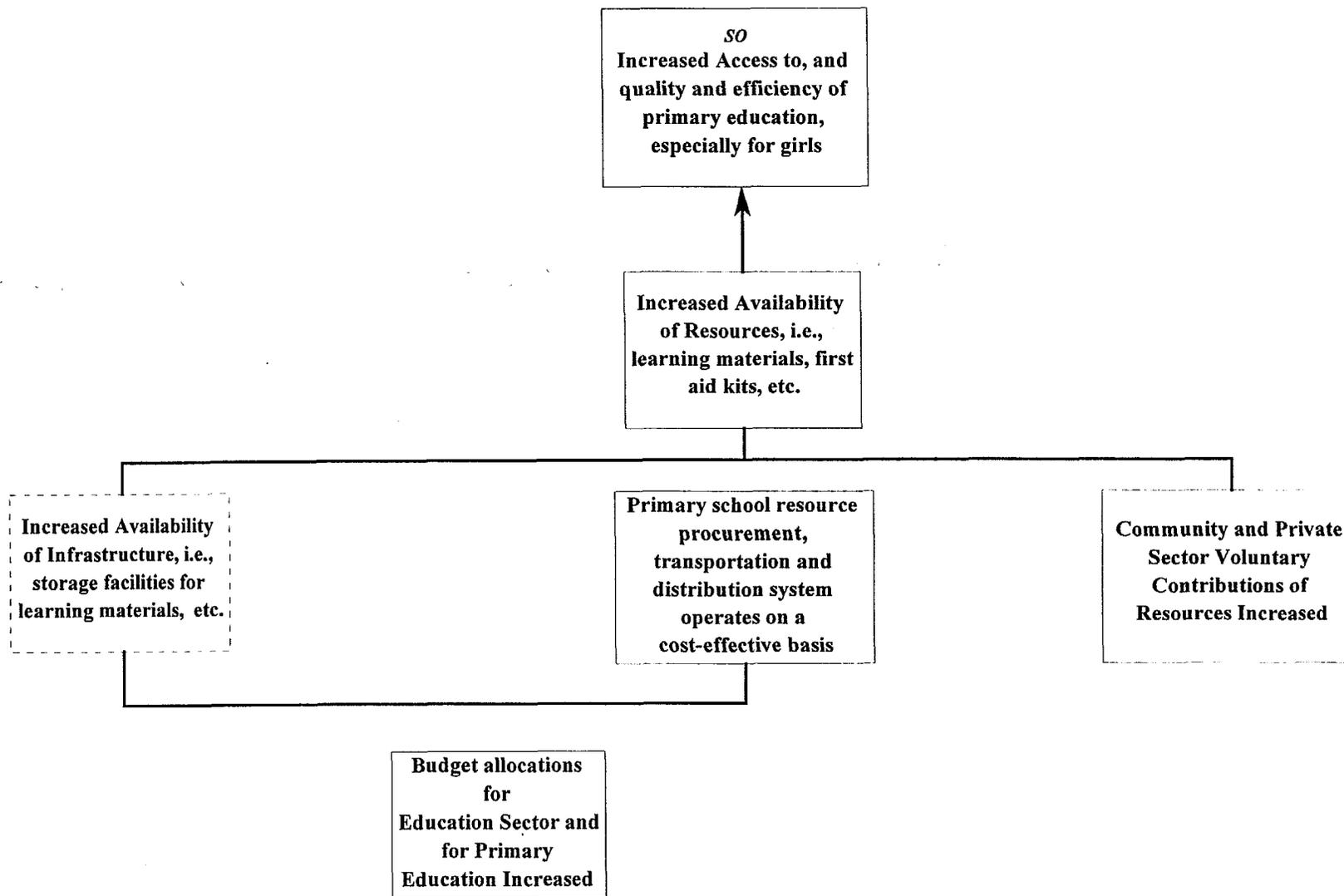
**Results Framework for
Primary Education**

as of 11/16/96

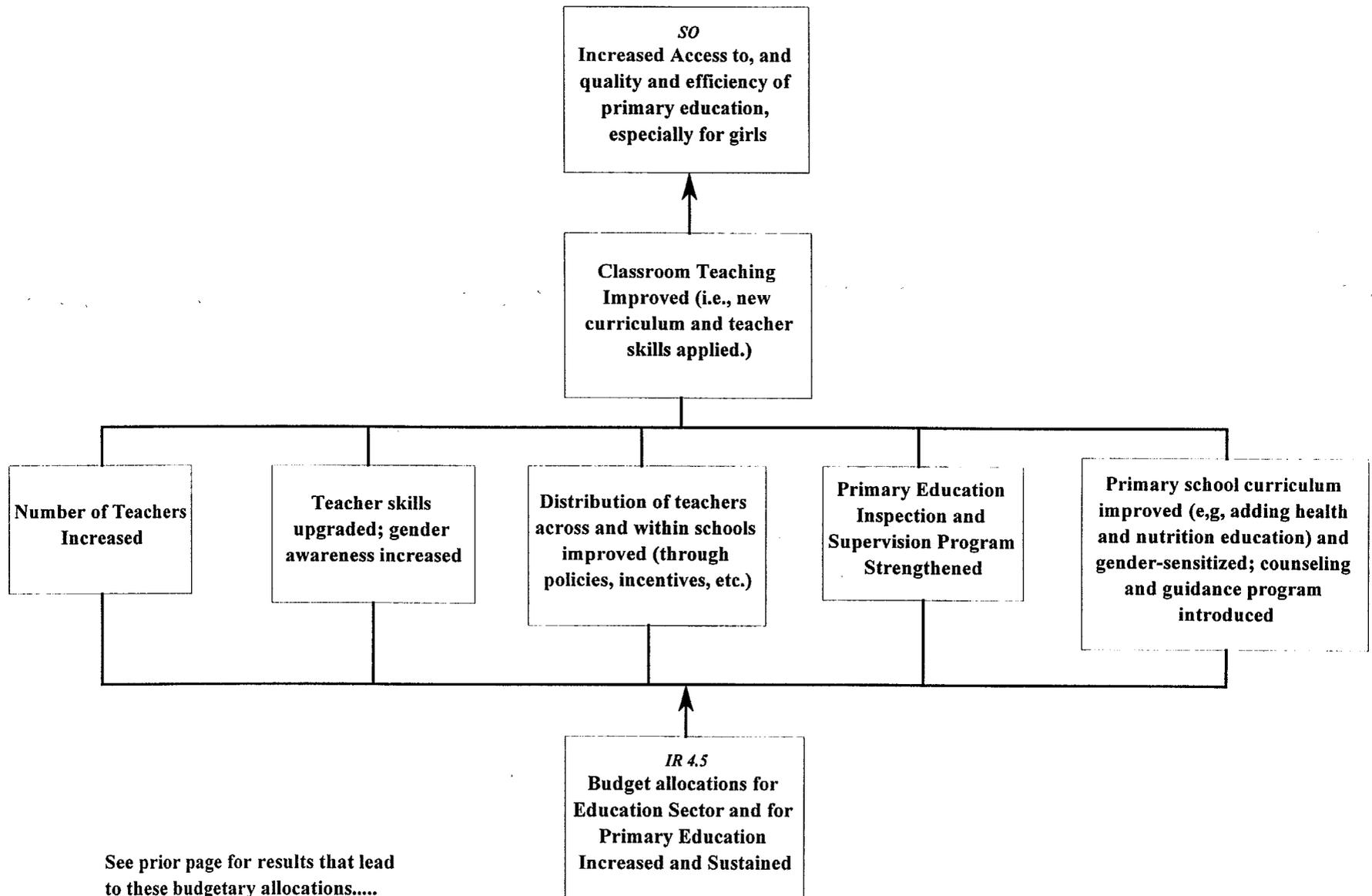




See prior page for results that lead to these budgetary allocations.....



See prior page for results that lead to these budgetary allocations.....



DRAFT PERFORMANCE MEASUREMENT PLAN FOR SO 4

PERFORMANCE INDICATOR	DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH	FREQUENCY OF DATA COLLECTION	DATA CURRENTLY COLLECTED?	RESPONSIBLE PERSON/ OFFICE
Strategic Objective 4: Increased access to, and quality and efficiency of basic education, especially for girls						
<i>Indicators of Access</i>						
Net enrollment rate in primary school: a) Total b) Boys c) Girls d) Disparity by District (highest rate minus lowest rate)	Definition: Number of children aged 6-13 enrolled in primary school as a percentage of total population aged 6-13 (result multiplied by 100) Unit: %	GOM education statistics	School census	Annual	Data collected; Ratio calculated irregularly	EID Office
Net Admission Rate a) Total b) Boys c) Girls d) Disparity by District (highest rate minus lowest rate)	Definition: Number of six-year olds enrolled in Std. 1 as a percentage of total six-year-old population (result multiplied by 100) Unit: %	GOM education statistics; Demographic projections	School census	Annual	Data collected; Calculation rarely made	EID Office
PSLE passes entering Form 1	Definition: Number of Form 1 entrants divided by number of students that passed the PSLE at the end of the previous term (result multiplied by 100) Unit: %	GOM education statistics	School census	Annual	Data collected; Calculation rarely made	EID Office
<i>Indicators of Efficiency</i>						
Promotion Rate a) Total b) Boys c) Girls d) Disparity by District (highest rate minus lowest rate) e) For each Standard	Definition: Number of primary pupils completing a standard in year t as a proportion of that standard's enrollment in year t-1 (result multiplied by 100) Unit: %	GOM education statistics	School census	Annual	Data collected; Calculation rarely made	EID Office

104

PERFORMANCE INDICATOR	DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH	FREQUENCY OF DATA COLLECTION	DATA CURRENTLY COLLECTED?	RESPONSIBLE PERSON/ OFFICE
Repetition Rate a) Total b) Boys c) Girls d) Disparity by District (highest rate minus lowest rate) e) For each Standard	Definition: Number of primary pupils (girls) repeating a standard in year t as a proportion of that standard's (girls') enrollment in year t-1 (result multiplied by 100) Unit: %	GOM education statistics	School census	Annual	Data collected; Calculation made irregularly	EID Office
Drop-out Rate a) Total b) Boys c) Girls d) Disparity by District (highest rate minus lowest rate) e) For each Standard	Definition: Number of primary pupils (girls) repeating a standard in year t as a proportion of that standard's (girls') enrollment in year t-1 (result multiplied by 100) Unit: %	GOM education statistics	School census	Annual	Data collected; Calculation made irregularly	EID Office
Gross enrollment rate in primary school: a) Total b) Boys c) Girls d) Disparity by District (highest rate minus lowest rate)	Definition: Number of children enrolled in primary school as a percentage of total population aged 6-13 (result multiplied by 100) Unit: %	GOM education statistics	School census	Annual	Data collected; Ratio calculated irregularly	EID Office
Gross Admission Rate a) Total b) Boys c) Girls d) Disparity by District (highest rate minus lowest rate)	Definition: Number of children enrolled in Std. 1 as a percentage of total six-year-old population (result multiplied by 100) Unit: %	GOM education statistics; Demographic projections	School census	Annual	Data collected; Calculation rarely made	EID Office
<i>Indicators of Quality</i>						
PSLE pass rate	Number of students who pass a standardized national test at the end of primary school	GOM education statistics	PSLE examination records from schools	Annual	Data collected	EID Office

PERFORMANCE INDICATOR	DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH	FREQUENCY OF DATA COLLECTION	DATA CURRENTLY COLLECTED?	RELIABLE ON/ IE
Intermediate Result : Increased Availability of Infrastructure, e.g., classrooms						
Total Number of Classrooms	Definition: Number of classrooms in the public school system Unit: #	GOM education statistics	School returns report	Annual	Data collected;	Yes
Number of New Classrooms Blocks a) Temporary (<i>i.e., wattle/mud walls; grass/thatched roof or Mdindo</i>) b) Permanent (<i>i.e., burnt brick, iron roof/tiles</i>)	Definition: Number of primary school blocks in the public school system for which construction was completed during the preceding year Unit: #	GOM education statistics	School returns report	Annual	Not collected in this way at present	
Classroom to pupil ratio	Definition: Number of classrooms in the public school system divided by the number of pupils enrolled during the preceding school year Unit: ratio	GOM education statistics	School returns report	Annual	Data collected; can be calculated	
Desk to pupil ratio	Definition: Ratio of the number of desks (total) to the number of primary school students (total) enrolled during the preceding school year Unit: ratio	GOM education statistics	Data point would need to be added the School returns report	Annual	No	Yes
Percentage of schools with storage facilities	Definition: A space for storing learning materials. Definition in terms of square meters or some other standard unit will need to be developed which allows for variation as to whether this space is a room, part of a room, or some other space Unit: To Be Determined (TBD)	GOM education statistics	Data point would need to be added the School returns report	Annual	No	Yes
Percentage of schools with water at the school site	Definition: Piped or borehole provides a constant source of water for teachers and pupils during school year Unit: % with appropriate source	GOM education statistics	Data point would need to be added the School returns report	Annual	No	Yes

PERFORMANCE INDICATOR	DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH	FREQUENCY OF DATA COLLECTION	DATA CURRENTLY COLLECTED?	RESPONSIBLE PERSON/ OFFICE
Percentage of schools with latrines at the school site a) for boys b) for girls	Definition: Pit or flush latrines, but not bush qualify as latrines under this definition Unit: %	GOM education statistics	Data point would need to be added the School returns report	Annual	No	EID Office
Percentage of schools with minimal kitchen facilities	Definition: To qualify a school must have at least one fire under a roof and a dry space to store food stuffs on a long term basis Unit: %	GOM education statistics	Data point would need to be added the School returns report	Annual	No	EID Office
Percentage of schools with housing for teachers a) None b) Head teacher only c) Head teacher and some other teachers	Definition: Space which is different from the school itself that can be used as living quarters Unit: %	GOM education statistics	Data point would need to be added the School returns report	Annual	No	EID Office
Intermediate Result : Increased Availability of Resources, e.g. learning materials						
Textbook to pupil ratio	Definition: Ratio of the number of textbooks (total) to the number of primary school students (total) enrolled during the preceding school year Unit: ratio	GOM education statistics	Data point would need to be added the School returns report	Annual	No	EID Office
Exercise book to pupil ratio	Definition: Ratio of the number of exercise books (total) to the number of primary school students (total) enrolled during the preceding school year Unit: ratio	GOM education statistics	Data point would need to be added the School returns report	Annual	No	EID Office

PERFORMANCE INDICATOR	DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH	FREQUENCY OF DATA COLLECTION	DATA CURRENTLY COLLECTED?	RESPONSIBLE PERSON/ OFFICE
Percentage of classes with registers	<p>Definition: A register is a book for taking class attendance, each class for which a separate register is kept during a school year would be counted and the total divided by the total number of classes</p> <p>Unit: %</p>	GOM education statistics	Data point would need to be added the School returns report	Annual	No	EID Office
Intermediate Result : Classroom Teaching Improved, i.e., new curriculum and skills applied						
Percentage of teachers that are teaching using new curriculum modules developed for the classes/standards they teach	<p>Definition: Evidence based on observation of teachers utilizing new curriculum</p> <p>Unit: % , probably estimated based on a sample</p>	To Be Determined -- a special survey that also served to train existing inspectors in new classroom teaching evaluation approaches might be warranted. This would facilitate the eventual incorporation of this type of data collection into an existing GOM education system procedure	Classroom observation, most probably of a sample of teachers	Initially through special studies; eventually on an annual basis from inspector reports	No	EID Office
Percentage of teachers that apply modern teaching skills in lesson preparation and classroom teaching	<p>Definition: Evidence based on observation of teachers using appropriate skills</p> <p>Unit: % , probably estimated based on a sample</p>	To Be Determined -- a special survey that also served to train existing inspectors in new classroom teaching evaluation approaches might be warranted. This would facilitate the eventual incorporation of this type of data collection into an existing GOM education system procedure	Classroom observation, most probably of a sample of teachers	Initially through special studies; eventually on an annual basis from inspector reports	No	EID Office

PERFORMANCE INDICATOR	DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH	FREQUENCY OF DATA COLLECTION	DATA CURRENTLY COLLECTED?	RESPONSIBLE PERSON/ OFFICE
Percentage of teachers whose teaching reflects understanding of gender concerns and considerations	<p>Definition: Evidence based on observation of teachers</p> <p>Unit: %, probably estimated based on a sample</p>	To Be Determined -- a special survey that also served to train existing inspectors in new classroom teaching evaluation approaches might be warranted. This would facilitate the eventual incorporation of this type of data collection into an existing GOM education system procedure	Classroom observation, most probably of a sample of teachers	Initially through special studies; eventually on an annual basis from inspector reports	No	EID Office

Indicators for Selected Lower Level Results that Support This Intermediate Results: Number of Teachers Increased; Teacher Skills Upgraded; Distribution of Teachers Improved; Teacher Supervision Improved; Curriculum Improved and Counseling Program Introduced. (Note: At the Mission level, additional indicators for this cluster of results will be monitored)

Total number of primary school teachers	<p>Definition: Number of teachers in the public primary school system</p> <p>Unit: #</p>	GOM educational statistics	GOM records; school census	Annual	Yes	EID Office
Teacher: pupil ratio	<p>Definition: Number of teachers compared to the number of students enrolled during the prior school year</p> <p>Unit: ratio</p>	GOM educational statistics	GOM records; school census	Annual	Yes	EID Office
Percentage of qualified/trained teachers	<p>Definition: Total Number of primary teachers with qualifications and/or training over the total number of primary school teachers</p> <p>Unit: Percentage</p>	GOM education statistics	School census; Teachers MIS	Annual	Overall data collected; Standard-specific data not collected	EID Office
Percentage of teachers receiving in-service gender training	<p>Definition: Cumulative number of teachers receiving in-service gender training*</p> <p>Unit: %</p>	Reports from MIE-GAC Unit	MIE/GAC records	Annual	In process	EID Office

PERFORMANCE INDICATOR	DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH	FREQUENCY OF DATA COLLECTION	DATA CURRENTLY COLLECTED?	RESPONSIBLE PERSON/ OFFICE
Inspector: teacher ratio	Definition: Number of primary school inspectors in the MOE primary school system compared to the number of teachers in that system Unit: ratio	GOM educational statistics	School census	Annual	Yes	EID Office
Existence of a syllabus, teachers guide and textbook and/or supplementary learning materials for each new curriculum module, e.g., civic education, health, etc.	Definition: Evidence based on observation of teachers using appropriate skills Unit: %, probably estimated based on a sample	To Be Determined	To Be Determined	To Be Determined	No	EID Office
Intermediate Result : Coordination Among MOE Units Apparent						
<i>Evidence of the results of coordination, e.g:</i> Teacher training courses fully reflect new curriculum Inspection system systematically checks on application of new curriculum, recent teacher training	Definition: Evidence concerning the outcome of coordination, i.e., proof that two MOE units have worked together Unit: Qualitative data	To Be Determined	To Be Determined	To Be Determined	No	EID Office
Intermediate Result : Attitudes About Girls Education Change						
Results on attitude change questions from KAP and other surveys.	Definition: Questions to be determined based on a review of completed KAP surveys Unit: %	To Be Determined	Surveys, i.e., KAP and others which include relevant questions on a repeated basis e.g., questions that deal with, for example, parental assessment of the economic and/or social/domestic benefits of education, and their aspirations for their daughters' education	To Be Determined	Not fully	EID Office

PERFORMANCE INDICATOR	DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH	FREQUENCY OF DATA COLLECTION	DATA CURRENTLY COLLECTED?	RESPONSIBLE PERSON/ OFFICE
Intermediate Result :Budget Allocations Increased for Education Sector and for Primary Education						
Share of GOM revenue budget allocated to education sector*	<p>Definition: Total GOM revenue budget devoted to education as a percentage of the total revenue budget, minus debt amortization (result multiplied by 100)</p> <p>Unit: %</p>	Official budget documents	Actual figures	Annual	Yes	EID Office
Share of education revenue budget allocated to primary education sector	<p>Definition: GOM Revenue budget devoted to primary education as a percentage of the total GOM revenue budget devoted to education (result multiplied by 100)</p> <p>Unit: %</p>	Official budget documents	Actual figures	Annual	Yes	EID Office
Share of primary education revenue budget allocated to learning materials	<p>Definition: Primary education revenue budget devoted to learning materials as a percentage of the total primary education revenue budget (result multiplied by 100)</p> <p>Unit: %</p>	GOM education documents	Actual figures	Annual	Yes	EID Office
Unit cost (or investment) per student (primary as compared to other levels)	<p>Definition: Total budget for education level divided by number of students at that level during prior year for:</p> <p>a) Primary b) Secondary c) University</p> <p>Unit: Cost in Kwacha</p>	GOM education budgets and statistics	Calculations using existing data	Annual	Data is collected	EID Office

Comments/Notes:

Enrollment rose from 1.9 million in 1993/94 to approximately 3 million in 1994/95 as a result of the free primary education policy. Enrollment is expected to rise thereafter but at a substantially lower rate.

The reporting year refers to the second calendar year of the school year. Thus, for example, FY 1995 reporting should be based on data from the 1994/95 school year. Single years refer to the calendar year in which the school year ends. Thus, 1992, the most common baseline for education indicators, refers to the 1992/93 school year.

Standard (or std.) refers to "grade" in the primary school system. The primary education system consists of eight standards. In the secondary school, grades are referred to as "forms," Form I being the equivalent of U.S. grade 9.

Education budget is defined to include the Ministry of Education budget and 9 sub-vented education parastatals.

Primary education budget includes the line item for primary education as well as that for the Malawi Institute of Education (MIE).

Candidate Performance Indicators		Baseline		1996		1997		1998		1999		2000		Targets for Later Years
		Year	Value	Planned	Actual									
Dropout rate	Total	1994	16.5%			13.5%						10.5%		
	Girls	1994	17.4%			14.5%						11.4%		
	Boys													
	For each Standard													
	Disparity between Districts (<i>highest rate minus lowest rate</i>)													
Repetition rates	Total	1990 1994	22.7% 17.5%	15.0%		14.0%		13.0%		13.0%		13.0%		
	Girls	1990 1994	22.8% 17.5%	15.0%		14.0%		13.0%		13.0%		13.0%		
	Boys													
	For each Standard													
	Disparity between Districts (<i>highest rate minus lowest rate</i>)													
Gross Enrollment Rate -- as an indicator of overage student problem	Total													
	Girls													
	Boys													
	Disparity between Districts (<i>highest rate minus lowest rate</i>)													

Candidate Performance Indicators		Baseline		1996		1997		1998		1999		2000		Targets for Later Years
		Year	Value	Planned	Actual									
Gross Admission Rate -- as an indicator of overage student problem	Total													
	Girls													
	Boys													
	Disparity between Districts (<i>highest rate minus lowest rate</i>)													
<i>Indicators of Quality</i>														
PSLE pass rate	Total													
	Girls													
	Boys													
	Disparity between Districts (<i>highest rate minus lowest rate</i>)													

116

Performance Indicator Worksheet

Components or elements to be measured using performance indicators:

**Increased availability of Infrastructure,
e.g., classroom blocks, storage, etc.**

Candidate Performance Indicators		Baseline		1996		1997		1998		1999		2000		Targets for Later Years
		Year	Value	Planned	Actual									
Total number of classrooms														
Number of New Classrooms Built	Permanent (<i>i.e., burnt brick, iron rooftiles</i>)													
	Temporary (<i>i.e., wattle/mud walls, grass/thatched roof or Mdindo</i>)													
Classroom:pupil ratio	Total													
	Disparity between Districts (<i>highest ratio minus lowest rate</i>)													

Candidate Performance Indicators		Baseline		1996		1997		1998		1999		2000		Targets for Later Years
		Year	Value	Planned	Actual									
Desk: pupil ratio	Total													
	Disparity between Districts (<i>highest ratio minus lowest rate</i>)													
Percentage of schools with storage facilities														
Percentage of schools with water (piped or borehole)														
Percentage of schools with latrines (pit or flush)	Percent with latrine(s) for boys													
	Percent with latrine(s) for girls													
Percentage of schools with minimal kitchen facilities, i.e., fire under a roof and storage space for food														
(This indicator may need further discussion and justification)														

Candidate Performance Indicators		Baseline		1996		1997		1998		1999		2000		Targets for Later Years
		Year	Value	Planned	Actual									
Percentage of schools with housing for teachers	None													
	Housing for head teacher only													
	Housing for head teacher and some other teachers													

Performance Indicator Worksheet

Components or elements to be measured using performance indicators:

Increased availability of resources

Candidate Performance Indicators	Baseline		1996		1997		1998		1999		2000		Targets for Later Years
	Year	Value	Planned	Actual									
Textbook: pupil ratio													
Exercise book: pupil ratio 1993 0:1	1993	0:1			4:1						4:1		
Percentage of classes that have registers													

Performance Indicator Worksheet

Classroom Teaching Improved, i.e., new curriculum and teaching skills applied; counseling programs operational)

Components or elements to be measured using performance indicators:

- Utilization of new curriculum elements, e.g., health, civic education, environment, and gender-sensitized material.
- Utilization by teachers of new approaches, etc., learned through training courses, seminars, etc., e.g., gender-sensitive teaching practices.
- Guidance and counseling being provided.

Candidate Performance Indicators	Baseline		1996		1997		1998		1999		2000		Targets for Later Years
	Year	Value	Planned	Actual									
<p>Percentage of teachers that are teaching using new curriculum modules developed for the classes/standards they teach <i>(based on classroom observation and/or review of teacher's work schedule of some proportion of all teachers)</i></p> <p>(Additional discussion about the feasibility of obtaining information on this set of indicators, through inspection visits or special surveys will be needed)</p>													

Performance Indicator Worksheet

**Coordination among
MOE organizational units apparent**

Components or elements to be measured using performance indicators:

Candidate Performance Indicators	Baseline		1996		1997		1998		1999		2000		Targets for Later Years
	Year	Value	Planned	Actual									
<p><i>Evidence of the results of coordination, e.g:</i></p> <p>Teacher training courses fully reflect new curriculum</p> <p>Inspection system systematically checks on application of new curriculum, recent teacher training</p>													

Performance Indicator Worksheet

Components or elements to be measured using performance indicators:

**Attitudes about
Girls' Education Change**

Candidate Performance Indicators	Baseline		1996		1997		1998		1999		2000		Targets for Later Years
	Year	Value	Planned	Actual									
(Specific attitude questions to be identified from the KAP that will be repeated in later surveys, e.g., questions that deal with, for example, parental assessment of the economic and/or social/domestic benefits of education, and their aspirations for their daughters' education)													

1996

Performance Indicator Worksheet

Budget Allocations Increased for the Education Sector as a whole and for Primary Education as a Component of that Sector

Components or elements to be measured using performance indicators:

- Budget allocations for the Education Sector
- Budget allocations for Primary Education

Candidate Performance Indicators	Baseline		1996		1997		1998		1999		2000		Targets for Later Years
	Year	Value	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	
Share of GOM revenue budget allocated to the education sector (Targeting issue: Different sources identify different targets)	1992 1993 1994 1995	14.9% 17.4% 18.2% 21.3%	21.3%		21.3% or 25.0%		21.3%		21.3%		21.3% or 25.0%		
Share of education sector revenue budget allocated to the primary education sector (Targeting issue: Different sources identify different targets)	1992 1993 1994 1995	46.1% 54.1% 51.0% 69.0%	69.0%		69.0% or 60.0%		69.0%		69.0%		69.0% or 60.0%		

Candidate Performance Indicators		Baseline		1996		1997		1998		1999		2000		Targets for Later Years
		Year	Value	Planned	Actual									
Share of Primary education budget allocated to learning materials		1994	1.0%	10.0%		10.0%		10.0%		10.0%		10.0%		
		1995	8.6%											
Unit cost (or investment) per student	Primary school													
	Secondary school													
	University													

Performance Indicator Worksheet

Components or elements to be measured using performance indicators:

**Social Mobilization
Program Undertaken**

Candidate Performance Indicators	Baseline		1996		1997		1998		1999		2000		Targets for Later Years
	Year	Value	Planned	Actual									
Illustrative ideas include: Village committees exist -- percentage of communities Frequency with which theater program visits villages (Appropriate indicators need to be extracted from the program. Measures should provide a sense of how extensive the program is relative to its target audience.)													

Performance Indicator Worksheet

Resource procurement, transport and distribution system operates on a cost effective basis

Components or elements to be measured using performance indicators:

Candidate Performance Indicators	Baseline		1996		1997		1998		1999		2000		Targets for Later Years
	Year	Value	Planned	Actual									
Unit cost for textbooks													
Unit cost for exercise books													
Materials transport cost per a fixed unit, e.g., per pupil, per kilo, per mile,													
Evidence showing that transport bills are systematically reviewed/approved based on improved MOE table of distances to schools													

Performance Indicator Worksheet

<p>Voluntary Contributions and Distribution of Resources</p>

Components or elements to be measured using performance indicators:

- Resources contributed

Candidate Performance Indicators	Baseline		1996		1997		1998		1999		2000		Targets for Later Years
	Year	Value	Planned	Actual									
Value of donations of cash or materials to the MOE for primary schools													
Percentage of schools reporting that they received donations of materials, cash or labor during the past year													

Performance Indicator Worksheet

Classroom construction system that incorporates stakeholder participation operates efficiently

Components or elements to be measured using performance indicators:

- Stakeholder participation in planning
- Stakeholder participation in construction
- Stakeholder participation in maintenance

Candidate Performance Indicators		Baseline		1996		1997		1998		1999		2000		Targets for Later Years
		Year	Value	Planned	Actual									
Percentage of new schools constructed each year	by/through MOE, with stakeholder participation													
	by/through MOE, without stakeholder participation													
	by donors, not through the MOE													
	by private sector, including NGOs and companies													

Performance Indicator Worksheet

**Approved building materials
and methods in use**

Components or elements to be measured using performance indicators:

Candidate Performance Indicators	Baseline		1996		1997		1998		1999		2000		Targets for Later Years
	Year	Value	Planned	Actual									
<i>Average real (after inflation) cost per classroom constructed by/through the MOE</i>													
(Some measure of classroom building durability may also be appropriate)													

Performance Indicator Worksheet

Components or elements to be measured using performance indicators:

**Number of Teachers
Increased**

Candidate Performance Indicators	Baseline		1996		1997		1998		1999		2000		Targets for Later Years
	Year	Value	Planned	Actual									
Total number of primary school teachers													
Variance (increase or decrease from prior year)													
Teacher: pupil ratio	1992	72:1	61:1		61:1		61:1		61:1		61:1		
	1993	68:1											
	1994	77:1											
	1995	61:1											

Performance Indicator Worksheet

Teachers Skills Upgraded

Components or elements to be measured using performance indicators:

Candidate Performance Indicators		Baseline		1996		1997		1998		1999		2000		Targets for Later Years
		Year	Value	Planned	Actual									
Percentage of all teachers	Completed 1-2 year pre-service training program													
	Completed 3 month MIITEP program													
	Neither, i.e., less than the equivalent of the training described above													

Candidate Performance Indicators	Baseline		1996		1997		1998		1999		2000		Targets for Later Years
	Year	Value	Planned	Actual									
Percentage of qualified/trained teachers	1989	73.7%	60.0%		70.0%		80.0%		80.0%		80.0%		
	1992	86.0%											
	1995	58.0%											
Proportion of teachers receiving gender training through GAC	1992	None	3,060		27,060		40,000		40,000		40,000		
Proportion of teachers that received other in-service training	In the past year												
	More than 12 but less than 36 months ago												
	More than 3 years ago												

Performance Indicator Worksheet

Distribution of teachers improved

Components or elements to be measured using performance indicators:

Candidate Performance Indicators		Baseline		1996		1997		1998		1999		2000		Targets for Later Years
		Year	Value	Planned	Actual									
Teacher:pupil ratio	Disparity between Districts (highest ratio minus lowest ratio)													
	For each Standard in which a single teacher teaches all subjects to a class, i.e., lower Standards													

Performance Indicator Worksheet

**Teacher Supervision System
for Primary Schools Improved**

Components or elements to be measured using performance indicators:

Candidate Performance Indicators		Baseline		1996		1997		1998		1999		2000		Targets for Later Years
		Year	Value	Planned	Actual									
Inspector: Teacher ratio	Total													
	Disparity by District <i>(highest ratio minus lowest ratio)</i>													
Average number of schools per inspector	Rural zones													
	Urban zones													

Candidate Performance Indicators		Baseline		1996		1997		1998		1999		2000		Targets for Later Years
		Year	Value	Planned	Actual									
Average number of inspection visits reported by schools	Total													
	Disparity by District (highest district average minus lowest district average)													
	Rural zones													
	Urban zones													

Performance Indicator Worksheet

**Curriculum improved;
counseling program introduced**

Components or elements to be measured using performance indicators:

- Curriculum in designated areas, e.g., health, environment, civic education, gender considerations, etc.
- Counseling program including career guidance

Candidate Performance Indicators		Baseline		1996		1997		1998		1999		2000		Targets for Later Years
		Year	Value	Planned	Actual									
For each new curriculum component, e.g., civic education, environment, health, AIDS, etc., evidence of the completion of:	Syllabus (one or more)													
	Teachers Guide(s)													
	Textbook(s)													
	Supplementary Material(s)													
Evidence or certification of gender appropriateness of each new curriculum module														
Evidence of the development and introduction of counseling programs in primary schools, e.g., percentage of schools that have such programs														

Performance Indicator Worksheet

**Integrated Planning and Budgeting
Process Introduced**

Components or elements to be measured using performance indicators:

Candidate Performance Indicators	Baseline		1996		1997		1998		1999		2000		Targets for Later Years
	Year	Value	Planned	Actual									
Percentage of Districts that correctly utilize system guidelines and formats to submit their needs/priorities													
Evidence that system is used at the MOE to assign priorities and allocate fund													

Performance Indicator Worksheet

Policies relating to Primary Education Improved

Components or elements to be measured using performance indicators:

- Budget allocation policy
- Policies on gender
- Operating policies for primary schools

Candidate Performance Indicators	Baseline		1996		1997		1998		1999		2000		Targets for Later Years
	Year	Value	Planned	Actual									
For each specific policy, evidence of its formal adoption													
For each specific policy, evidence which demonstrates that the policy has been announced/promulgated in all schools, Districts, etc.													

Performance Indicator Worksheet

Components or elements to be measured using performance indicators:

Candidate Performance Indicators	Baseline		1996		1997		1998		1999		2000		Targets for Later Years
	Year	Value	Planned	Actual									

22

Performance Indicator Worksheet

MIS Functioning

Components or elements to be measured using performance indicators:

Candidate Performance Indicators	Baseline		1996		1997		1998		1999		2000		Targets for Later Years
	Year	Value	Planned	Actual									
Annual Statistical Report that follows revised procedures issued on a timely basis													
Copies of Annual Statistical Report distributed to all Districts, and to each school													
Number of users of MIS													

ANNEX F

PMP Implementation Strategy for SO 5

1. Status of the RF

The process USAID/Malawi's SO5 team is using to develop its RF is a highly participatory one in which representatives of each relevant field within the democracy arena are involved. At the highest level, the RF the team has developed reflect its choices about what subfields within the democracy arena on which to concentrate. The level at which these choices about appropriate intermediate results are shown does not reflect a true "cause and effect" chain, mirroring the lack of well developed theory in this area. Below this level, however, the RF does display the team's development hypotheses. With as wide range of actors as are involved in this arena, there may not be a simple process for reaching closure (of the type that may apply in delimited sectors such as agriculture, health and education). USAID itself may have to decide when the consultation process with NGOs, other donors and the GOM has yielded a consensus.

2. Status of the PMP

The PMP for this SO is still in the formative stage. The team's RF suggests indicators, but these have not been fully developed and analyzed for their practicality, validity and reliability. **Additional work by the team and its partners will be needed.**

3. Key Elements in the SO3 PMP Implementation Strategy

In its current form, the SO5 Team's PMP anticipates a heavy reliance on the GOM and existing USAID grantees, e.g., NDI, for data. In most instances, however, the data these sources are to supply are not yet being collected. In this regard, the following are a list of points that warrant further consideration:

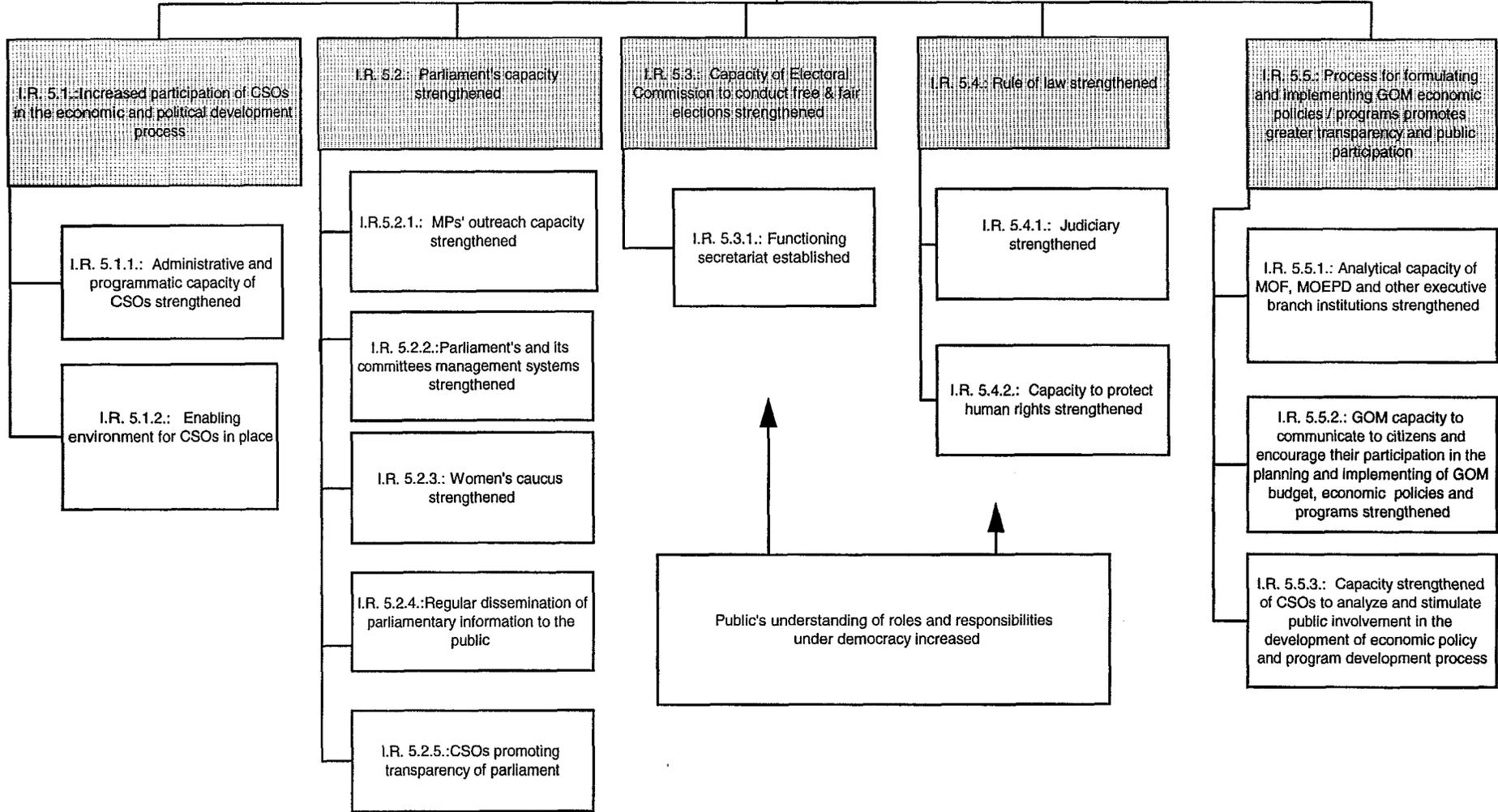
- **Indicator Identification:**

A number of indicators have been identified for the Strategic Objective and the Intermediate Results. However, it will now be necessary to revisit the issue concerning the utility of each of these indicators with the Partners. Ideally, there should be a one proxy selected from each of the five Intermediate Results for the Strategic Objective and two additional indicators for each Intermediate Results. It is these indicators that will be reported annually to USAID/W. However, the number of indicators that will be actually tracked and analyzed may well be the entire list of indicators with which SO5 Team is presently working.

- **Setting Targets**

Having agreed on a final list of indicators, the next critical step is setting realistic targets for each indicator.

SO5: INSTITUTIONAL BASE FOR DEMOCRATIC PARTICIPATION STRENGTHENED AND BROADENED



Assumptions: The GOM will continue to be committed to democracy/good governance
Budget commitments will support separation of powers

PERFORMANCE INDICATOR	DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH	FREQUENCY OF DATA COLLECTION	DATA CURRENTLY COLLECTED?	RESPONSIBLE PERSON/ OFFICE
Strategic Objective 5: Institutional base for democratic participation strengthened and broadened						
5.01. Number of occasions parliamentary committees consider submissions by non-governmental and/or private sector associations.	Definition: as per the indicator statement Unit: Number per year	Parliament/NDI	Parliamentary records	Annual	No	EID Office
5.02. Percentage of people (disaggregated by gender and urban/rural) who feel that the courts are providing justice.	Definition: as per the indicator statement Unit: %	Center for Social Research (proposed)	Survey	Biannual	No	EID Office
5.03. Percentage of laws discriminating against women amended or overturned by Parliament.	Definition: as per the indicator statement Unit: %	Women's Caucus	Monitoring of Parliament	Annual	No	EID Office
5.04. Percentage of people who are aware of a public meeting organized by their MP.	Definition: Percentage of people who are aware of a public meeting organized by their MP within walking distance in the last six months. Unit: %	Center for Social Research (proposed)	Survey	Biannual	No	EID Office

PERFORMANCE MONITORING PLAN FOR SO5 (Contd.)

PERFORMANCE INDICATOR	DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH	FREQUENCY OF DATA COLLECTION	DATA CURRENTLY COLLECTED?	RESPONSIBLE PERSON/ OFFICE
Intermediate Result 5.1: Increased participation of civil society (CSOs) in the economic and political development process						
5.1.1. No of significant CSO impacts (SO)		SHARED, NDI & CARER	Criteria will be established for identifying significant impacts that CSOs achieve. The contractor will present the significant impact in the form of success stories.	Contractor will submit quarterly reports with the success stories. SOT 5 will aggregate the data annually.	Not as such	SOT 5, Kathryn English
5.1.2. No. of CSOs by D/G and economic development area supported by USAID		SHARED, NDI		Contractor will submit quarterly reports with the success stories. SOT 5 will aggregate the data annually.	Yes	SOT 5, Kathryn English
5.1.3. No of CSOs involved in D/G advocacy activities.		SHARED, NDI		Contractor will submit quarterly reports with the success stories. SOT 5 will aggregate the data annually.	No	SOT 5, Kathryn English
5.1.4. No. Of CSOs by D/G and economic development area which implement strategic plans (5.1.1) all the below: SHARED . NOT dC						
5.1.5. No of CSOs by D/G and economic development area that are financially accountable (5.1.1)						
5.1.6 No of CSOs which undertake policy analysis by D/G and economic development area (5.1.1)						
5.1.7 No of women involved in CSOs						
5.1.8 No of women involved in leadership roles in CSOs						
5.1.9 CSO legislation and national policy in place (5.1.2)						
5.1.10 No of CSOs by D/G and economic development area that are capable of providing training and/or technical assistance (5.1.1)						
5.1.11 Private sector support (5.1.1) \$\$ NGO lb						

Intermediate Result 5.2: Parliament's capacity strengthened

5.2.1. No of MPs returning to parliament. (5.2.1)		NDI/Parliament	Parliamentary records	General elections (every four years) Local elections (when they happen)	No	SOT 5, Kathryn English
5.2.2 Public opinion of MPs' effectiveness (5.2.1)		NDI & poll taker	public opinion survey, NDI focus groups	annual, bi-annual	No	ditto
5.2.3 No of MPs who engage in outreach activities (5.2.1)		NDI, Outreach Committee	Contractor wil include this information in the quarterly report	quarterly	No	ditto
5.2.4. No of materials prepared by outreach committee provided to Mps (5.2.1)		NDI, Outreach committee	ditto	quarterly	no	ditto
5.2.5 No of private members bills tabled reflecting local concerns. (5.2.1)		NDI, Parliament	Parliamentary records	annual	No	ditto
5.2.6 % of people aware of public meetings organised by MPs within walking distance in the last six months (5.2.1)		public opinion taker, NDI	public opinion survey, focus groups	bi-annual, annual	No	ditto
5.2.6 No of committee meetings & hearings by topics (5.2.2)		Parliament/NDI	parliamentary records	quarterly	No	ditto
5.2.7 No of bills referred to the house by committees (5.2.2)		Parliament/ NDI	parliamentary records	quarterly	No	ditto
5.2.8. No & type of citizens, disaggregated by gender, testifying before committees (5.2.2)		Parliament/ NDI	parliamentary records	quarterly	NO	ditto
5.2.9 No of minority opinions expressed in committee reports (5.2.2)		Parliament/ NDI	parliamentary records	quarterly	No	ditto

5.2.10	No of times disputes referred to courts (5.2.2)	Parliament/ NDI/ High Court	public record	annual	NO	ditto
5.2.11	No of MPs and staff trained by type of training (5.2.2)	Parliament / NDI	parliamentary records	annual	No	ditto
5.2.12	Parliamentary sessions meet without interruptions (5.2.2)	NDI/ Parliament	parliamentary records	annual	No	ditto
5.2.13	No of bills that use information from the MIS (5.2.2)	Parliament/ NDI	parliamentary records	annual	No	ditto
5.2.14	No & types of requests for information by members & staff (5.2.2)	Parliament / NDI	parliamentary records	quarterly	No	ditto
5.2.15	No of times women speak on the floor (5.2.3)	Parliament/NDI Women's caucus	parliamentary records	quarterly	No	ditto
5.2.16	No of bills introduced by women (5.2.3)	Parliament/ NDI Women's caucus	parliamentary records	quarterly	No	ditto
5.2.17	No of times women meet with Mps (5.2.3)	NDI		quarterly	No	ditto
5.2.18	No of times women testify before committees (5.2.3)	NDI/ Parliament	parliamentary records	quarterly	No	ditto
5.2.19	% of laws discriminating against women amended or overturned by parliament (5.2.3)	NDI/ Parliament Law Commissioner	parliamentary records and Law Commissioner's reports	annual	No	ditto
5.2.20	No. of summaries being disseminated (5.2.4)	NDI/ Parliament		quarterly	No	ditto
5.2.21	No of hours broadcast of parliamentary proceedings by local languages (5.2.4)	NDI/ Parliament MBC		quarterly	No	ditto
5.2.22	No. of parliamentary newsletters disseminated (5.2.4)	NDI/ Parliament		quarterly	No	ditto
5.2.23	No of occasions parliamentary committees consider submissions by CSOs and private sector associations (5.2.5)	ditto	Parliamentary records	Quarterly	No	ditto

5.2.24 No of civic fora concerning parliamentary activities undertaken by CSOs (5.2.5)		ditto	ditto	ditto	ditto	ditto
5.2.25 No of meetings of committees with CSOs representing women's rights		ditto	ditto	ditto	ditto	ditto
5.2.26 % of occasions on which the following conditions obtain during the passage of legislation: (i) 21 days notice (ii) committee debates (iii) amendments introduced and debated		ditto	ditto	ditto	ditto	ditto
5.2.13						
5.2.2. Percentage of occasions during legislative debate in which the following conditions obtain: 21 days notice; committee debates; amendments introduced and debated.	Definition: as per the indicator statement Unit: % per year	NDI/Parliament	Parliamentary records	Annual	No	EID Office