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U.S. Agency for International Development

LAC Regional Program

FY 1997-1999

Results Review and Resource Request (R4)

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TABLE OF CONTENTS

PART I: Overview and Factors Affecting Program Performance	1
PART II: Progress Toward Objectives (for each specific objective)	
Introduction	
1. Performance Analysis	
2. Expected Progress Through FY 1999 and Management Actions	
3. Performance Data Tables	
STRATEGIC OR SPECIAL OBJECTIVES:	
SO#1: Progress toward resolving key market issues impeding environmentally sound and equitable free trade in the Hemisphere.	3
SO#2: Improved human resource policies adopted in select LAC countries.	20
SO#3: More effective delivery of selected health services and policy interventions.	38
SO#4: Protection of selected LAC parks and reserves important to conserve the Hemisphere's biological diversity.	62
SO#5: Reinforcement of regional trends that strengthen democracy in the LAC region.	77
SpO#6: A broad base of leaders and potential leaders in LAC countries equipped with technical skills, training and academic education.	94
PART III: Status of the Management Contract	103
PART IV: Resource Request	
1. Financial Plan	103
2. Prioritization of Objectives	106
3. Linkage of Field Support, Non-Emergency Title II and Title III	108
4. Workforce and OE	109
5. Environmental Compliance	111

RSD R4 ACRONYMS

AAAS	American Association for the Advancement of Science
AA/LAC	Assistant Administrator for the Latin America and Caribbean Bureau
ABEL II	Advanced Basic education and Literacy
AIFLD	American Institute for Free Labor Development (associated with AFL-CIO)
ATIE	Advanced Training In Economics
BBEG	Broad-Based Economic Growth Team of RSD
BCG	A common childhood vaccination
CAPEL	Center for Promotion of Electoral Assistance
CASS	Cooperative Association Of States for Scholarships
CCAD	Central American Commission for Environment and Development
CFR	Code of Federal Regulations
CIVITAS	USIS' world-wide civic education initiative
C/LAA	Caribbean/Latin American Action
CLASP II	Caribbean and Latin American Scholarship Program
CLI	Caribbean Law Institute
CORA	Caribbean Office for Regional Affairs
CY	Calendar year
DA	Development Assistance
DAEC	Development Assistance Executive Committee
DHR	Democracy and Human Rights Team
DDM	Data for Decision Making
DOJ	Department of Justice
DOL	U.S. Department of Labor
DPT-3	A common childhood vaccination
EHR	Education and Human Resources Team of RSD
EIA	Environmental Initiative for the Americas
ENV	Environment Team of RSD
ESF	Economic Support Funds (Account)
FDA	U.S. Food and Drug Administration
FMCS	Federal Mediation and Conciliation Service
FTAA	Free Trade Area of the Americas
FY	Fiscal Year
G	Global (Bureau)
G/CAP	Guatemala/Central American Program
G/DG	Global Center for Democracy and Governance
GEF	Global Environment Facility (managed by World Bank)
G/ENV	Global Bureau: Environment Center for Excellence
G/HCD	Global Bureau: Human Capacity Development Center for Excellence
GIS	Geographic Information Systems
GPS	Global Positioning System
G/WID	Global Bureau: Women in Development Program
HACCP	Hazard Analysis of Critical Control Points
HFTE	Hemispheric Free Trade Expansion Project

HPPE	Hemispheric Plant Protection Endowment
IAD	Inter-American Dialogue
IDB	Inter-American Development Bank
IEE	Initial Environmental Evaluation
IICA	Institute for Cooperation on Agriculture
IIDH	Inter-American Institute for Human Rights
IMCI	Integrated Management of Childhood Illness
INIAP	Instituto de Investigación y Autoformación Política
IR	Intermediate Result
ISO	International Organization for Standardization
LAC	Latin America and the Caribbean
LACTECH	Agriculture and Natural Resources Management Technical Services Project
LAJP	Latin American Journalism Program
MERCOSUR	Southern Cone Common Market
MMR	Maternal Mortality Ratio
NASDA	National Association of State Development Agencies
NCFAP	National Council for Food and Agricultural Policy
NGO	Non-governmental Organization
NHA	National Health Accounts
NIST	National Institute of Standards and Technology
NMS	New Management System
NNT	Neonatal Tetanus
OAS	Organization of American States
OE	Operating Expense Funds
OPV3	A common childhood vaccination
OSH	Occupational Safety and Health
OYB	Operating Year Budget
PAHO	Pan American Health Organization
PERA	Partnership for Education Revitalization in the Americas
PHN	Population, Health, and Nutrition
PHR	Partnerships for Health Reform
PiP	Parks in Peril
PPC	Policy and Program Coordination
PREAL	Program to Promote Educational Reform In Latin America
QUASAR	Quality Systems Assurance Registration
R4	This document (Results Review - Resource Request)
RHUDO	Regional Housing and Urban Development Office
RMFIP	Regional Financial Management Project
RSD	Regional Sustainable Development Office, LAC Bureau, USAID
RSSA	Resources Support Services Agreement
SO	Strategic Objective
SpO	Special Objective
SPS	Sanitary and Phytosanitary
TCA	Amazonian Cooperation Treaty
TIAFTA	Technology Institutions for Agricultural Free Trade in the Americas

USDA/APHIS U.S. Department of Agriculture/Animal Plant Health Inspection
Service
USGS U.S. Geological Survey
UNCTAD United Nations Conference for Trade and Development
UNDP United Nation Development Program
USAID United States Agency for International Development
USDA United States Department of Agriculture
USDH U.S. Direct Hire Personnel
USTR United States Trade Representative
WB World Bank
WHO World Health Organization
WTO World Trade Organization

LAC REGIONAL PROGRAM FY 1997-99: RESULTS REVIEW AND RESOURCE REQUEST

Part I: Overview and Factors Affecting Program Performance

Latin America and the Caribbean is the most "regional" of the geographic areas in which USAID works. Broad similarities across the region exist in language, institutions and culture, based on shared experience of indigenous groups and a legacy of Iberian colonization. The contiguity of the LAC region and the United States drives both to seek closer and stronger political and economic bonds. These factors present unique opportunities for building and maintaining sustainable development partnerships that benefit both LAC and the United States. Such partnerships - among regional and hemispheric institutions, political and donor groupings, and the 34 nation-states of the Hemisphere that joined together in the 1994 Summit of the Americas to reaffirm mutual political, economic and development goals - are essential so that the people of this Hemisphere can enter the new millennium in prosperity, harmony and stability.

The LAC Bureau is charged on behalf of USAID to ensure that USG agencies are fully engaged in successful implementation of Summit goals and selected sustainable development Plan of Action items. Through five Strategic Objectives (SOs) and a sixth Special Objective (SpO) presented in this R4, the LAC Regional program provides significant catalytic financing and imaginative implementation mechanisms to advance an integrated U.S. response to Summit initiatives. Over the past year, support has been provided for, and through, regional and hemispheric institutions to carry out sustainable development objectives. Regional program support has also been provided to reinforce regional and hemispheric trends, including political and economic relationships, and development approaches. In some cases, Regional program resources complemented bilaterally funded and other donor activities at the country level.

The LAC Regional program, managed by the Bureau's Office of Regional Sustainable Development (RSD), harnesses the potential and comparative advantages of regional and hemispheric institutions to achieve the strategic objectives of USAID and the Bureau, and in the process, contributes substantially to implementation of U.S. foreign policy.

Since the last R4 DAEC, substantial progress has been made in LAC Regional program implementation. Four of six Results Frameworks were fully approved and two others are about to be approved. All received preliminary funding for early "jump-starting" of new activities through LAC contracting mechanisms or Global Bureau programs and instruments. Collaborative efforts among LAC/RSD sectoral teams, Global Bureau staff and technical experts in PPC in defining Results Frameworks and in implementation of program activities have been fruitful. Nevertheless, it must be recognized that this past year was the first year of implementation for several large regional program components, such as the Hemispheric Free Trade Expansion Program (HFTE) and the Partnership for Education Revitalization in the Americas (PERA). It takes time to build the pace of implementation and negotiate working

relationships and mechanisms with an extremely large array of partners and participants, and therefore to show achievement of results.

At the political level, the process of implementation of Summit, USAID and Bureau goals and objectives was aided considerably by post-1994 Summit and First Ladies meetings in Bolivia and Central America on sustainable development attended by Vice President Gore and First Lady Hilary Clinton, respectively. These meetings provided opportunities for sharing of country and regional organization experiences in implementation of policies and programs. In preparation for these high-profile and very well publicized "accountings," LAC decision-makers were impelled to drive their own bureaucracies to hasten implementation and release funding. The Regional program helped finance these events and helped prepare policy and program analyses and recommendations for decision makers.

In the process of refining Results Frameworks, intersectoral linkages in the LAC Regional program were strengthened this past year. The very positive results of the relationships between economic growth and trade and environment elements within the HFTE program are presented in Part II of this R4. RSD's Democracy and Human Rights (DHR) and Environment (ENV) teams designed and sponsored a preparatory civil society conference in Montevideo, the results of which fed into the Bolivia Summit and the resulting call for a new "Inter-American Strategy for the Promotion of Public Participation in Decision-making for Sustainable Development." The ENV is examining the viability of a Society Engaged in Development (SED) initiative which will strengthen, integrate and complement SO #5 managed by DHR in areas such as NGO strengthening and public participation. DHR and RSD's Broad-Based Economic Growth (BBEG) Team have also worked with Missions in reviewing labor programs and in jointly responding to AIFLD's proposal to the Global Bureau to work in LAC. RSD's Population, Health and Nutrition (PHN) Team has worked with BBEG on food fortification issues and continues to work on health and environment issues with ENV.

By far the major and most disruptive constraints on implementation this past year were the combined effects of USDH personnel cuts and the successive budget crises faced by the Agency. These disruptions were profoundly disturbing, not only to our professional staff, but also to our country-level, regional, hemispheric and global partners, as well as to the people in LAC countries who actually participate in regional activities or benefit from them. Not only was "unrestricted" development assistance funding severely reduced for the Regional program but other budget decision-making and releases took place in such frantic "fits and starts" that activity managers had to scramble to reprogram activities at short notice and SO teams had to juggle ever more limited funding for competing, but equally essential, priorities under approved Results Frameworks. In the face of a budget system which operates so undependably, budget decisions end up being made by people far removed from program implementation and drive the program, rather than the reverse. Results suffer along with USAID's reputation as a dependable partner and Management Contracts are rendered almost meaningless.

The major Bureau and LAC/RSD effort to reengineer Strategic Objectives and programs over the past one to two years was successful in some respects, but created delays in implementation

in others. The economic growth, environment and health SOs greatly clarified definition and understanding of intermediate results and indicators in the process refining Results Frameworks. Other SOs and programs benefitted less. The sheer time devoted to organizing the implementation of reengineering, including scheduling people for additional meetings and the need for staff to attend training and then retraining sessions to operate an ever-changing NMS, slowed RSD response times in terms of workload - both in relation to the Regional program and to RSD's many other responsibilities.

With reengineering systems now more or less in place, the coming year should see full implementation and much greater progress toward attaining intermediate results - IF we can count on receiving our budget on a more timely basis and IF economic growth and democracy are not impacted by further curtailment of "unrestricted" funding while hard and soft earmarks remain inviolate. If these conditions do not improve, whole sub-components of the LAC Regional Program Results Frameworks may have to be eliminated and anticipated results and indicators will certainly have to be fundamentally redefined and renegotiated. If the unrestricted funding picture improves for the Agency and Bureau, expanded efforts under SO #1 and SO #6 have already been discussed in RSD and could be ready for implementation in relatively short order.

Shortage of OE funding for travel for Washington-based managers of regional programs is a serious constraint for management of the Regional program. Until USAID decides whether to open a larger number of regional or sub-regional missions with an adequate cadre of technical/sectoral specialists, LAC/Washington USDH staff in regional bureaus must be empowered to travel to their regions more frequently, not only to ensure accountability of funds in regional programs but also to exchange ideas, experience and implementation advice with regional institutions and U.S. partners operating on site. Equally problematic is unpredictable disbursement of travel funding over the year within the Bureau that effectively eliminates the ability to plan travel in advance in any organized way.

PART II: Progress Toward Objectives

Strategic Objective #1: Progress toward resolving key market issues impeding environmentally sound and equitable free trade in the Hemisphere.

SO Ranking: Met Objectives

Introduction

This SO represents USAID's programmatic response to USG policy and Summit of the Americas initiatives to establish the Free Trade Area of the Americas (FTAA), the Partnership for Biodiversity, and the Partnership for Pollution Prevention which are addressed through the Hemispheric Free Trade Expansion (HFTE) Results Framework. This SO is designed to assist

LAC countries resolve key market issues that impede environmentally sound and equitable free trade so these countries may participate in the FTAA. The Results Framework has four IRs which complement and reinforce each other: Trade Liberalization, Trade and Labor/Management Relations, Trade and Market Participation, and Trade and the Environment. Preliminary activities under HFTE were started in FY 1995-96, but were not able to be expanded upon until the approval of the revised Results Framework in August, 1996.

HFTE's role in assisting smaller countries in the FTAA process is a catalytic one. Therefore, each activity is designed as a demonstration with the intent that the activity be replicated on a wider scale through market forces, public sector intervention, and/or leveraging of other donor funds. The SO management team is working closely with partners to identify key trade issues in selected countries and trade subregions, design and implement appropriate solutions for demonstration, and encourage appropriate follow-on to ensure replication of HFTE's successful activities and achieve the SO targets - at least one-third of the countries in targeted subregions advancing toward resolving identified trade-related equity and environmental issues. Targeted sub-regions include Central America, the Caribbean and Andean countries.

1. Performance Analysis

The time frame covered by this R4 for SO #1 is from August 1996 to February 1997. During this period, performance met expectations. However, the continuing decline in "unrestricted funding" available to the LAC Bureau and delays in receiving Agency resources to support economic growth initiatives are seriously constraining USAID's principal economic growth initiative for the LAC region. Lack of a timely and full release of budgetary resources has resulted in an embarrassing inability of the HFTE management team to make commitments to partners, is compromising HFTE's and USAID's credibility in the development community, and has seriously impeded aggressive implementation of this SO. Due to budget uncertainties and reductions in economic growth funding, all HFTE activities have been funded at levels significantly below that which were initially proposed. In addition to only partially funding activities, others were eliminated or postponed to future years.

The HFTE program, however, has still managed to provide increasing regional leadership in support of USAID's sustainable development strategy, and has made progress in playing a catalytic role in fostering expanded markets, market participation, and investment in human resources. It is still too early in the life of SO#1 to be able to report progress toward achieving the SO#1 Indicators. The Trade Policy Steering Sub-Committee, composed of USG agencies, is only now beginning to lay out parameters and options to guide the process of negotiating country membership into the FTAA and key information regarding issues identification by the Summit International Working Groups is also only now beginning to emerge. None-the-less, the HFTE activity can make a substantial contribution to U.S. trade objectives, because of its flexible mechanism to link U.S.-based services to host country services by collaborating with well established USAID missions overseas.

Success in the HFTE project is measured by advancement toward adoption of key trade reforms, policies, practices and/or technologies along an established progression continuum. Success is measured only when the advance occurs through the actions of governments, other donors, NGOs, the private sector or USAID missions as a result of the activity's catalytic impact. Along the established HFTE progression continuum, an "advance" is measured by progression on the continuum to the point established as the specific target for each IR activity. The "number" of policy, practice or technology advances is the number of activities successfully reaching their target in the specified country or industry or, in the case of regional or sub-regional activities, the specified region or sub-region. The HFTE progress continuum for each Results Package will be made available at all R4 review meetings.

IR#1: Trade Liberalization - Progress by smaller-economy countries in establishing FTAA-consistent trade discipline reforms.

The FTAA process is underway and both U.S. Trade Representative (USTR) and HFTE partners are eager to collaborate to provide technical support to assist the smaller-economy countries in making the needed trade-related reforms. All of these reforms are at the beginning stages of the progression continuum. Preliminary feedback from the Summit International Working Groups indicates that there is growing interest in the two key trade disciplines that are the primary focus of HFTE to date - customs and rules of origin, and sanitary and phytosanitary measures.

The need to establish an FTAA secretariat will also be a focus of future LAC strategic planning, subject to the availability of increased unrestricted funding for the LAC Regional program. Through support of a secretariat, HFTE could make a significant leadership contribution to the construction of the FTAA and position USAID as a key player, along with the USTR, in advancing USG policy to foster smaller-economy country progress toward successful negotiation of membership into the FTAA.

To advance Indicator #1a - Number of smaller-economy countries, in the three target subregions, progressing toward adoption of FTAA-consistent business facilitating reforms in key trade discipline areas - the U.S. Customs Service is working with the government of Honduras to accelerate prototype development of a modernized customs model for the Hemisphere. The IR#1 management team is working closely with U.S. Department of Agriculture/Animal Plant Health Inspection Service, Institute for Cooperation on Agriculture, and the U.S. Food and Drug Administration on their proposals to advance smaller-economy country progress in establishing FTAA-consistent sanitary and phytosanitary measures, and with the Caribbean Law Institute on its proposal to assist Caribbean countries in drafting and implementing trade-supportive legislation.

To advance Indicator #1b - Number of potential trade-related issues identified and adopted for action by appropriate FTAA stakeholders - the IR#1 management team has achieved the following successes in issues identification: (1) the potential of rural wireless in Chile to improve communication and information access in telecommunications-underserved rural areas; (2) whether funds to cover the operating costs of a Hemispheric Plant Protection Training Center

could be generated by establishing a Hemispheric Plant Protection Endowment; and (3) how the Western Hemisphere's agricultural technology system can be made more trade-driven. HFTE is exploring how to advance getting these issues identified for action by appropriate FTAA stakeholders. The team also is preparing to fund the National Center for Food and Agricultural Policy's proposal for networks and conferences to identify trade policy issues. Discussions are also underway with USAID's Caribbean missions to develop a Caribbean trade strategy.

IR #2: Trade and Labor/Management Relations - Progress toward improved modern labor/management relations in the Hemisphere.

To advance Indicator #2a - Number of policy advances in key issue areas - the IR#2 management team is seeking to nurture awareness of the need in smaller-economy countries to establish and enforce labor standards as essential for participation in the FTAA. Most of this IR's activities are at the beginning- to mid-advancement levels on the progression continuum. HFTE is following closely the Global Bureau's Democracy and Governance Initiative designed to advance the work of the Summit of the Americas Labor Working Group and identify policy issues where HFTE may be able to provide technical assistance.

To advance Indicator #2b - Number of practice advances in key issue areas - the management team is working with the Department of Labor to introduce Occupational Safety and Health (OSH) practices and standards and familiarize participants with the resolution of plant health and safety issues by committees comprised of both managers and workers. At December's Caribbean/Latin American Action Conference in Miami, the DOL presented these OSH issues and it will conduct a conference on OSH in 1997 for regional labor representatives. In Ecuador, the Federal Mediation and Conciliation Service introduced labor and management issues through training in the use of interest-based negotiations as a mechanism for resolving labor and management differences. This effort caught the attention of Southern Cone countries which are seeking to receive similar technical assistance in interest-based negotiation. HFTE is aggressively seeking participation and collaborating with other donors in this activity.

HFTE is also funding a workforce planning initiative to foster awareness of and interest in country adoption of appropriate workforce planning policies, strategies and programs.

IR#3: Trade and Market Participation - Progress toward the adoption of improved policies, practices, and technologies addressing key small- and medium-sized enterprise trade issues.

IR#3 is the equity component of HFTE focusing on enhancing more equitable participation of women and other disadvantaged groups such as indigenous populations in such key areas as capital markets, property markets and technology markets. Advances toward achieving this IR's two indicators - Number of policy advances and Number of practice or technology advances - were made in identifying key issues affecting small- and medium-sized enterprise participation in trade-supportive capital, property, and technology markets. Most of the IR's activities are

at the beginning to mid advances on the progression continuum. One exception is ACCION International which achieved its goals.

ACCION International's initiative to foster an expanded network of private-sector-based financial service providers for lending to small- and medium-sized producers and entrepreneurs resulted in two policy advances, one planned and one unplanned, and two technology advances. This activity has led to a recent break through which allows ACCION's affiliates in Bolivia and Paraguay to attract investment capital via individual investors buying certificates of deposit and/or the placement of bonds in the stock market. As policy advances, the ACCION activity established guidelines for the constitution of licensed microfinanced institutions and established general operating and reporting requirements for microfinanced institutions. As technology advances, ACCION activities resulted in business plans adopted in nine countries and the adoption of financial instruments within individual institutions in Bolivia and Paraguay.

An excellent example of HFTE's replication approach is its partnership with the U.S. Geological Survey to establish an infrastructure for digital geographic data to support trade-related and development-related decisionmaking through a hemispheric network of countries and institutions that have geographic data holdings. This Inter-American Geospatial Data Network (IGDN) activity resulted in one policy advance and two technology advances in Brazil and Costa Rica and is now the cornerstone of a collaborative effort to develop a regional mapping and geographic information system supported by a broader network of funding sources, including the Pan-American Institute of Geography and History, the Inter-American Development Bank and the government of Canada.

Another technology advance, the sustainable coffee production activity, has resulted in a follow-on activity in Guatemala in collaboration with the Mission and the Global Bureau.

IR #4: Trade and the Environment - Progress toward the adoption and implementation of improved policies, practices and technologies addressing key environment-related trade issues in the Hemisphere.

The IR#4 management team has identified key areas where HFTE's resources can serve a catalytic and leveraging role in advancing environmentally sound free trade. These areas include enhancing environmental management in major export-oriented extractive sectors such as shrimp mariculture and inshore coastal fisheries, forestry, and metal ore mining; pollution prevention in key export-oriented industries such as food processing, metal finishing, tanneries and textiles; and legal and regulatory reform.

To advance Indicator #4a - Number of policy advances in key issue areas - the management team has worked to influence the Bolivia Summit on Sustainable Development initiatives for civil society participation, forestry and mining; formalize collaboration between Central and South America countries on forestry issues; launch a LAC regional initiative for environmentally sustainable metal ore mining; and launch a LAC regional environmental law program within USAID to support environmental legal framework development in Nicaragua, a Paraguay trade

and environment conference, and a LAC regional conference on civil society participation in sustainable development.

HFTE also is supporting an assessment of key LAC trade-related environmental issues; a second regional forum on private sector investment in sustainable forestry; a "white paper" examining policies and practices to support environmentally sound shrimp mariculture; a model program for expanded access via the Internet to national and international environmental laws and standards; case studies on the effective use of legal and regulatory policy as environmental protection tools; and the development of a monitoring system to assess the human health risks of exposure to lead contamination in the multi-donor effort to phase out the use of leaded gasoline in the LAC region.

To advance Indicator #4b - Number of practice or technology advances in key industries or sectors - the program is supporting the development and conduct of industrial "clean production" workshops in Andean Pact countries for targeted industries; the development and conduct of model workshops on ISO 14000 international environmental standards in Jamaica and Peru; and the establishment of a program for the provision of trade and business grants to promote emerging markets in the LAC region for U.S.-developed clean industrial environmental and sustainable energy technologies. None of these activities have yet been completed, therefore no advances have occurred along the progress continuum.

Other Accomplishments

HFTE Management

- SO#1 Results Framework refined
- HFTE progress tracking continuum developed
- Lotus Notes management information system for HFTE developed
- Lotus Notes capacity within Caribbean Office of Regional Affairs and G/CAP developed
- Prototype for HFTE Trade Forum newsletter developed
- Intranet capacity to access HFTE information system developed

2. Expected Progress Through FY 1999 and Management Actions

The current momentum propelling the SO#1 management team and partners combined with the growing pressure on HFTE's three target subregions to prepare for FTAA negotiations, indicates that HFTE will make significant progress toward achieving its objectives. With adequate funding support from the LAC Bureau, HFTE is poised to serve as a regional mechanism to accelerate smaller-economy country progress toward successful negotiation of FTAA membership. HFTE anticipates the following progress in each IR:

IR 1: Trade Liberalization

- Building of awareness and increased interest in FTAA-consistent trade discipline reforms in all 12 target smaller-economy countries. These reforms include a prototype modernized customs system in Honduras and concrete progress toward FTAA-consistent sanitary and

phytosanitary standards and practices through establishing a Hemispheric Plant Protection Training Center.

- Achievement of a consensus to establish a functioning FTAA secretariat to support the process of individual country or subregion negotiation of membership into the FTAA.
- Development of a "Caribbean Trade for Development Strategy" in collaboration with USAID's Caribbean Office of Regional Affairs.
- Establishment of subregional trade policy networks in the Caribbean and Central American to support issue identification in trade-related agriculture, develop and conduct appropriate trade policy analyses, and provide recommendations to help the subregions countries in negotiating their membership into the FTAA.

IR 2: Trade and Labor/Management Relations

- Increase country awareness and interest in adopting FTAA-consisted policies regarding labor standards and enforcement.
- Increase country awareness and interest in establishing and adopting occupational safety and health standards and practices, interest-based negotiation models, and workforce planning strategies.

IR#3: Trade and Market Participation

- Priority focus on land titling activities in response to an anticipated commitment at the 1998 Summit of the Americas in Santiago, Chile.
- Increase efforts for a consensus among donors and partners for a Hemispheric system to nurture trade-based agroecological science and technology cooperation.
- Identify opportunities to reduce USAID funding for capital markets to the extent that other donors are giving this area increased attention and resources.
- Collaborate with G/CAP to move forward with the carbon sequestration certificate market based on this activity's demonstrated success in Central America and its potential for adoption and sustainability through private sector market forces.

IR #4: Trade and the Environment

- Increase understanding of key trade and environment issues by LAC governments, industries, NGOs, and investors.
- Establish model programs for internet dissemination of national environmental policies and standards, and enhance civil society participation in environmental legal reform.
- Trial of clean production technologies and model environmental regulations developed for metal ore mining.
- Develop model environmental regulations for shrimp mariculture and inshore coastal fisheries.
- Develop certification criteria for non-timber forest product, incorporate low-impact logging and improved timber pricing into timber concessions agreements, and demonstrate low-impact logging practices.
- Demonstrate clean production technologies for key export-oriented industries, expand commercial opportunities for U.S. environmental firms in clean industrial technologies, and demonstrate a system for monitoring health effects of leaded gasoline phaseout.

USAID OBJECTIVE: Strengthening Markets and Expanding Access and Opportunity

LAC BUREAU OBJECTIVE: Support of LAC countries that share the vision of a Hemispheric free trade area as a key to prosperity.

RSD Strategic Objective #1: Progress toward resolving key market issues impeding environmentally sound & equitable free trade in the Hemisphere.

Development Assumption

Key Issues impeding free trade will be identified by FTAA International Working Groups and through established dialogues with representatives of U.S. and LAC partners.

Development Hypothesis

If USAID, by playing a catalytic role with our partners and other donors, can introduce prototype market institution reforms in response to identified key trade issues in selected countries and trade subregions, e.g. CARICOM, MERCOSUR, and CACM, then market forces, governments, and/or other donors can replicate the reforms and resolve the issues.

SO #1 Indicator 1

Number of subregions with at least one-third of the countries advancing toward resolving identified trade-related equity issues.

SO #1 Indicator 2

Number of subregions with at least one-third of the countries advancing toward resolving identified trade-related environmental issues.

Intermediate Result #1.1

Progress by smaller-economy countries in establishing FTAA-consistent trade discipline reforms.

Indicator #1.1.a

Number of smaller-economy countries, in the three target subregions, progressing toward adoption of FTAA-consistent business facilitating reforms in key trade discipline areas.

Indicator #1.1.b

Number of potential trade-related issues identified and adopted for action by appropriate FTAA stakeholders.

Partners:
 FDA, IICA, USDA/APHIS, U.S. Customs Service, USDA/LACTECH, NCFAP
 USDA/ERS, NTIA

Intermediate Result #1.2

Progress toward improved modern labor/management relations in the Hemisphere.

Indicator #1.2.a

Number of policy advances in key issue areas.

Indicator #1.2.b

Number of practice advances in key issue areas.

Partners:
 Department of Labor, Federal Mediation and Conciliation Service, International Labor Affairs Bureau, AIFLD

Intermediate Result #1.3

Progress toward the adoption of improved policies, practices, and technologies addressing key small- and medium-sized enterprise trade issues.

Indicator #1.3.a

Number of policy advances in key issue areas assisting small- and medium-sized enterprises.

Indicator #1.3.b

Number of practice or technology advances in key issue areas assisting small- and medium-sized enterprises.

Partners:
 ACCION International, USDA/LACTECH, INCAP, Chemonics Intl., Smithsonian Institute, IICA, LTC, World Bank, USGS, IDB, Harvard, CLAA, WRI, ISNAR, IBRD

Intermediate Result #1.4

Progress toward the adoption and implementation of improved policies, practices, and technologies addressing key environment-related trade issues in the Hemisphere.

Indicator #1.4.a

Number of policy advances in key issue areas.

Indicator #1.4.b

Number of practice or technology advances in key industries.

Partners:
 RCG/Hagler Bailey, Inc., University of Minnesota, CIEL, Camp Dresser & McKee International Inc., ELI, EPA, Institute of the Americas, PAHO NOAA, University of Rhode Island, USFS, WRI National Association of State Agencies,

46

STRATEGIC OBJECTIVE NO. 1

PERFORMANCE DATA TABLES

STRATEGIC OBJECTIVE NO. 1: Progress toward resolving key market issues impeding environmentally sound and equitable free trade in the Hemisphere.				
APPROVED: August 23, 1996				
SO No. 1 Indicator 1: Number of subregions with at least one-third of the countries advancing toward resolving identified trade-related equity issues.				
Unit of Measure: Number of subregions		Year	Planned	Actual
Source: Implementing partners.				
Comments: An "advance" is when one-third or more of the countries in a targeted sub-region make an advance on a key trade-related equity issue. Targeted subregions are as follows: Smaller Economies, South America (Bolivia, Ecuador, Paraguay), Central America and the Caribbean. Assumptions: Planned estimates based on: (1) full level of funding for all years; and (2) a 75% success rate of activities for a given planned-success-date (PSD) year.	Baseline	1995	0	0
	Target	1996	0	0
	Target	1997	1	
	Target	1998	2	
	Target	1999	3	

STRATEGIC OBJECTIVE NO. 1: Progress toward resolving key market issues impeding environmentally sound and equitable free trade in the Hemisphere.

APPROVED: August 23, 1996

SO No. 1 Indicator 2: Number of subregions with at least one-third of the countries advancing toward resolving identified trade-related environmental issues.

Unit of Measure: Number of subregions (non-cumulative).		Year	Planned	Actual
Source: Implementing partners.				
Comments: An "advance" is when one-third or more of the countries in a targeted sub-region make an advance on a key trade-related environmental issue. Targeted subregions are as follows: CACM, Mercosur (Bolivia, Paraguay), Andean Pact (Bolivia, Ecuador, Peru). Assumptions: Planned estimates based on: (1) full level of funding for all years; and (2) a 75% success rate of activities for a given PSD year.	Baseline	1995	0	0
	Target	1996	0	0
	Target	1997	1	
	Target	1998	2	
	Target	1999	3	

STRATEGIC OBJECTIVE NO. 1 - Progress toward resolving key market issues impeding environmentally sound and equitable free trade in the Hemisphere.

APPROVED: August 23, 1996

Intermediate Result 1.1: Progress by smaller-economy countries in establishing FTAA-consistent trade discipline reforms.

Indicator 1.1.a: Number of smaller-economy countries, in the three target subregions, that are progressing toward adoption of FTAA-consistent business-facilitating reforms in key trade discipline areas.

Unit of Measure: Country		Year	Planned *	Actual
Source: Information provided by partners in monitoring the implementation of HFTE	Baseline	1996	0	0
Comments: Two trade discipline reform areas are identified (customs and SPS as below): 1. U.S. Customs (prototype modernized customs system) 2. Sanitary and Phytosanitary (SPS): a. IICA: SPS Workshops b. APHIS: Plant Protection Training Center c. FDA: Food-Product Safety Regulatory Systems * Planned (targets) = # of identified trade discipline areas times # of countries where HFTE will achieve in subject year an "advance" (awareness, > interest > trial > adoption) along adoption continuum. **Targets in 1999 and 2000 reflect countries at the trial stage of the continuum.	Target	1997	1. 12 2. 12	
	Target	1998	1. 12 2. 12	
	Target	1999**	1. 1 2. 1	
	Target	2000**	1. 1 2. 1	

STRATEGIC OBJECTIVE NO. 1 - Progress toward resolving key market issues impeding environmentally sound and equitable free trade in the Hemisphere.

APPROVED: August 23, 1996

Intermediate Result 1.1: Progress by smaller-economy countries in establishing FTAA-consistent trade discipline reforms.

Indicator 1.1.b: Number of potential trade-related issues identified and adopted for action by appropriate FTAA stakeholders.

Unit of Measure: Issue		Year	Planned	Actual
Source: Information provided by partners.	Baseline	1996	NA*	3
* Number of potential trade-related issues that will be identified by appropriate FTAA stakeholders cannot be predefined. Each year HFTE will work toward determining whether there are any issues which should be accepted as such by appropriate FTAA stakeholders.	Target	1997	NA*	
	Target	1998	NA	
	Target	1999	NA	
	Target	2000	NA	

STRATEGIC OBJECTIVE NO. 1 - Progress toward resolving key market issues impeding environmentally sound and equitable free trade in the Hemisphere.

APPROVED: August 23, 1996

Intermediate Result 1.2: Progress toward improved modern labor/management relations in the Hemisphere.

Indicator 1.2.a: Number of policy advances in key issue areas.

Unit of Measure: Policy Advances		Year	Planned	Actual
Source: Information provided by partners in monitoring the implementation of HFTE				
<p>Comments: Currently one area for labor policy reform has been identified (the need for an International Working Group for Labor) and USAID has partially funded the following proposal:</p> <p>1. AIFLD -- create an international working group for labor</p>	Baseline	1995	0	0
	Target	1996	0	0
	Target	1997	1	
	Target	1998	0	
	Target	1999	0	

STRATEGIC OBJECTIVE NO. 1 - Progress toward resolving key market issues impeding environmentally sound and equitable free trade in the Hemisphere.

APPROVED: August 23, 1996

Intermediate Result 1.2: Progress toward improved modern labor/management relations in the Hemisphere.

Indicator 1.2.b: Number of practice advances in key issue areas.

Unit of Measure: Practice Advances		Year	Planned	Actual
Source: Information provided by partners.				
<p>Comments: Several areas for labor policy reform have been identified, including enforcement of workers rights, interest-based bargaining, and workforce planning/training/education. USAID has partially funded the following proposals:</p> <ol style="list-style-type: none"> 1 DOL -- organize regional conference on worker safety 2. FMCS -- improve labor/management relations in Ecuador. 3. Salicrup -- develop strategies for workforce planning. <p>* No activities planned due to budget uncertainties.</p>	Baseline	1995	0	0
	Target	1996	0*	2
	Target	1997	1	
	Target	1998	2	
	Target	1999	1	

STRATEGIC OBJECTIVE NO. 1 - Progress toward resolving key market issues impeding environmentally sound and equitable free trade in the Hemisphere.

APPROVED: August 23, 1996

Intermediate Result 1.3: Progress toward the adoption of improved policies, practices and technologies addressing key small- and medium-sized enterprises related trade issues.

Indicator 1.3.a: Number of policy* advances in key issue areas assisting small and medium sized enterprises and producers.

Unit of Measure: Policy advances (non-cumulative).

Source: Information provided by partners in monitoring the implementation of HFTE.

Comments: (1) An "advance" is a unit of movement along the continuum: identification, awareness, interest, trial, adoption, implementation. Advancement is measured in terms of follow-up actions by LAC governments, companies, industry associations, international donors, USG agencies, (including USAID Missions), or other stakeholders. (2) The number of policy advances is measured by counting each time a policy is advanced in a target country or, in the case of regional or sub-regional activities, in the target region or sub-region. (3) The term "key" indicates significant trade access, economic or policy/regulatory issues capable of impeding sustainable trade for small- and medium-sized enterprises and producers.

* "Policy" includes legal and regulatory polices.

	Year	Planned	Actual
Baseline	1995	0	0
Target	1996	2	3
Target	1997	5	
Target	1998	4	
Target	1999	4	

IR 1.3.a Assumptions:

Planned estimates based on: full level of funding for all years. An activity is a success if it meets its objectives by the PSD. If an activity meets its objectives in a year different than its PSD, it is credited to that year and not the PSD.

STRATEGIC OBJECTIVE NO. 1 - Progress toward resolving key market issues impeding environmentally sound and equitable free trade in the Hemisphere.

APPROVED: August 23, 1996

Intermediate Result 1.3: Progress toward the adoption of improved policies, practices and technologies addressing key small- and medium-sized enterprises related trade issues.

Indicator 1.3.b: Number of practice or technology advances in key issue areas assisting small- and medium-sized enterprises and producers.

Unit of Measure: Practice or technology advances (non-cumulative).		Year	Planned	Actual
Source: Information provided by partners in monitoring the implementation of HFTE.				
<p>Comments: (1) An "advance" is a unit of movement along the continuum: identification, awareness, interest, trial, adoption, implementation. Advancement is measured in terms of follow-up actions by LAC governments, companies, industry associations, international donors, USG agencies, (including USAID Missions), or other stakeholders. (2) The number of policy advances is measured by counting each time a policy is advanced in a target country or, in the case of regional or sub-regional activities, in the target region or sub-region. (3) The term "key" indicates significant trade access, economic or policy/regulatory issues capable of impeding sustainable trade for small- and medium-sized enterprises and producers.</p>	Baseline	1995	0	0
	Target	1996	5	5
	Target	1997	3	
	Target	1998	3	
	Target	1999	3	

IR 1.3.b Assumptions:

Planned estimates based on: full level of funding for all years. An activity is a success if it meets its objectives by the PSD. If an activity meets its objectives in a year different than its PSD, it is credited to that year and not the PSD.

STRATEGIC OBJECTIVE NO. 1 - Progress toward resolving key market issues impeding environmentally sound and equitable free trade in the Hemisphere.

APPROVED: August 23, 1996

Intermediate Result 1.4: Progress toward the adoption and implementation of improved polices, practices and technologies addressing key environment-related trade issues.

Indicator 1.4.a: Number of policy* advances in key issue areas.

Unit of Measure: Policy advances (non-cumulative).		Year	Planned	Actual
Source: Implementing partners.				
<p>Comments: (1) An "advance" is a unit of movement along the continuum: identification, awareness, interest, trial, adoption, implementation. Advancement is measured in terms of follow-up actions by LAC governments, companies, industry associations, international donors, USG agencies, (including USAID Missions), or other stakeholders. (2) The number of policy advances is measured by counting each time a policy is advanced in a target country or, in the case of regional or sub-regional activities, in the target region or sub-region. (3) The term key indicates significant environment-related health, economic or policy/regulatory issues capable of impeding sustainable trade.</p> <p>* "Policy" includes legal and regulatory polices.</p>	Baseline	1995	0	0
	Target	1996	4	4
	Target	1997	3	
	Target	1998	4	
	Target	1999	4	

STRATEGIC OBJECTIVE NO. 1 - Progress toward resolving key market issues impeding environmentally sound and equitable free trade in the Hemisphere.

APPROVED: August 23, 1996

Intermediate Result 1.4: Progress toward the adoption and implementation of improved policies, practices and technologies addressing key environment-related trade issues.

Indicator 1.4.b: Number of practice or technology advances in key issue areas.

Unit of Measure: Practice or technology advances (non-cumulative).		Year	Planned	Actual
Source: Implementing partners.				
<p>Comments: (1) An "advance" is a unit of movement along the continuum: identification, awareness, interest, trial, adoption, implementation. Advancement is measured in terms of follow-up actions by LAC governments, companies, industry associations, international donors, USG agencies, (including USAID Missions), or other stakeholders. (2) The number of practice or technology advances is measured by counting each time a practice or technology is advanced in a target country or, in the case of regional or sub-regional activities, in the target region or sub-region. (3) The term "key" indicates significant environment-related health, economic or policy/regulatory issues capable of impeding sustainable trade.</p>	Baseline	1995	0	0
	Target	1996	0	0
	Target	1997	10*	
	Target	1998	13**	
	Target	1999	8***	

* Includes 8 NASDA grants.

**Includes 8 NASDA grants.

***Includes 4 NASDA grants.

Strategic Objective #2: Improved human resource policies adopted in selected LAC countries

SO Ranking: Met Objectives

Introduction

Education is crucial to continued political and economic development in LAC. The region's dramatic shift toward open economies, democratic governance and decentralization of the state has placed greater demands on citizens and governments alike. Open economies integrated into the global system require an internationally competitive labor force that is fully literate and skilled in science and technology. Schools must produce a flexible workforce, foster technological change, and prepare people for democratic citizenship and expanded opportunities. But, nowhere in the region are these goals being met. Many more children are enrolling in school now than in the 1960s, but, in the intervening period, the quality and efficiency of education sharply declined leaving people without the skills for 21st Century democracies and economies. These education problems cannot be solved without major reforms in policy that should be conceived, designed and implemented through broad national consensus.

LAC countries are aware that the effectiveness of current national educational reforms depends on an integrated effort among existing groups and networks - government, nongovernmental organizations, donors, business, research and communities - and on the process of regional dialogue and cross-sectoral learning. No national or regional mechanism currently exists to facilitate collaboration among private and public institutions, research and action oriented centers, public interest groups, media and political actors, and international networks of different types.

The 1994 Summit of the Americas recognized the central role of human resource development in all dimensions of national development and participants agreed to create a consultative forum to reform educational policies and focus resources more efficiently. The Partnership for Education Revitalization in the Americas (PERA) was designed by the RSD Education and Human Resources Team (EHR) in collaboration with the Global Bureau's HCD Center and the Agency's WID program in direct response to Summit Plan of Action Item 16, Universal Access to Education, and Action Item 18, Strengthening the Role of Women in Society. In September 1996, a cooperative agreement was signed by USAID and the Inter-American Dialogue (IAD), a Washington-based NGO, to create and make viable such a partnership. LAC Regional SO #2 aims to bolster participation of all groups in development and implementation of educational innovations and reforms.

1. Performance Analysis

Two factors had a substantial affect on program performance over the past year. First, funds for PERA that were anticipated early in FY 1996 were not released which delayed start-up and the signing of the cooperative agreement with IAD. Second, coordination with the Government of Mexico, the lead nation to coordinate implementation of Summit education initiatives with other countries, was constrained considerably during the PERA design and development stage by these budget problems and a shortage of EO travel funds for EHR staff. Without USAID assistance,

the Mexican Government's coordination plans and strategy for action on Summit education initiatives did not proceed expeditiously.

Activities under the SO involve participation of equal partners throughout the Hemisphere in defining, lobbying for and implementing basic education policy reform. The indicators of success for this SO are process and policy-related. At the SO level PERA has not met its performance expectations, nor was it expected to in the first year of the program given the long-term nature of policy activities. Policy adoption and increases in national education budgets and enrollment rates will occur after the process of advocacy and implementation is underway. Throughout the past year, "process" activities in support of and preparation for PERA were carried out despite the delayed start and these exceeded reasonable expectations.

At the intermediate result level, performance met or exceeded expectations during the start-up phase for the activity, which had been long delayed.

IR#1: Educational policy reform in targeted LAC countries developed.

Policy analyses were conducted in four targeted LAC countries - El Salvador, Jamaica, Paraguay and the Dominican Republic - with the participation of both local reformers and researchers. These focused on the process of implementation of educational reform in respective political and social environments. The analyses identify and discuss the applicability of "lessons learned" by countries of the region that have initiated a strategic transformation of their basic education systems. They also analyze different types of reforms and the conditions of successful implementation. These state-of-the-art analyses were widely disseminated throughout the region to policy makers. The case study findings confirmed that the PERA approach is the right course, and should yield significant benefits if implemented as planned. The study findings will be some of the basic documentation referred to by PERA working groups.

PERA facilitated continued collaboration and participation in Summit follow-on activities. Briefing materials were prepared on education policy reform for the sixth annual Conference of First Ladies of the Americas. The result was that the First Ladies committed themselves to forming new groups or working with existing ones in their countries to strongly advocate for educational reform.

IR#2: Strengthen capabilities of key public and private organizations to support policy dialogue.

Two very successful conferences - one on decentralization and the other on assessment of student performance - were held with the IAD's Program of Educational Reform in Latin America (PREAL). The PERA senior policy analyst, researchers working on PERA case studies, and ministry and private sector representatives from 12 LAC countries participated in these conferences.

Under PREAL, state-of the-art policy papers were widely disseminated on two critical policy areas currently under intense discussion in the LAC region: early childhood development, and the assessment of student performance at the national and school levels.

IR#3: Partnerships and networks formed.

During the design and start-up phase of the PERA activity, continuous dialogue has taken place with other donor agencies, NGOs and USAID missions in the region. As a result, at the upcoming formal opening of the secretariat, four to six partnerships and networks will have already been established.

Other Accomplishments

- Early in FY 1997, IAD staff met with Mexican Ministry of Education Officials on three occasions to discuss and coordinate PERA activities. These meetings resulted in improved communications with the Government of Mexico and a commitment to continued collaboration.
- EHR staff attended and participated in a conference held at the Inter-American Development Bank on alleviation of poverty among peoples of African decent in Latin America. The impact of education policy changes on Afro-Latin minorities was a focal point of discussion and PERA will be contributing to this on-going dialogue.
- The PERA project officer was actively involved in the discussion and planning of the girls and womens education initiative for Guatemala and Honduras, which will contribute to definition of effective education policy reform under PERA.

2. Expected Progress Through FY 1999 and Management Actions

Start-up costs during the first full year of implementation will be focused on establishing the PERA secretariat and on initiating activities, such as policy analyses, dissemination of results, country policy workshops, and establishment of communications linkages among the PERA members to access data, references and documents. Through FY 1999, the PERA secretariat will:

- Define and develop membership of PERA.
- Organize general meetings to identify and build consensus on critical policy issues, related to educational quality, finance, governance and equity.
- Establish working groups to carry out analytical studies in key policy areas and disseminate findings to PERA membership.
- Create an interactive database for use by PERA membership.

Once the PERA secretariat is established, the Executive Secretary at the IAD will work to create affiliate relationships with education organizations in each of the major LAC sub-regions. The affiliates and working groups will address the critical policy issues in the aforementioned four areas. Expected progress through 1999 includes:

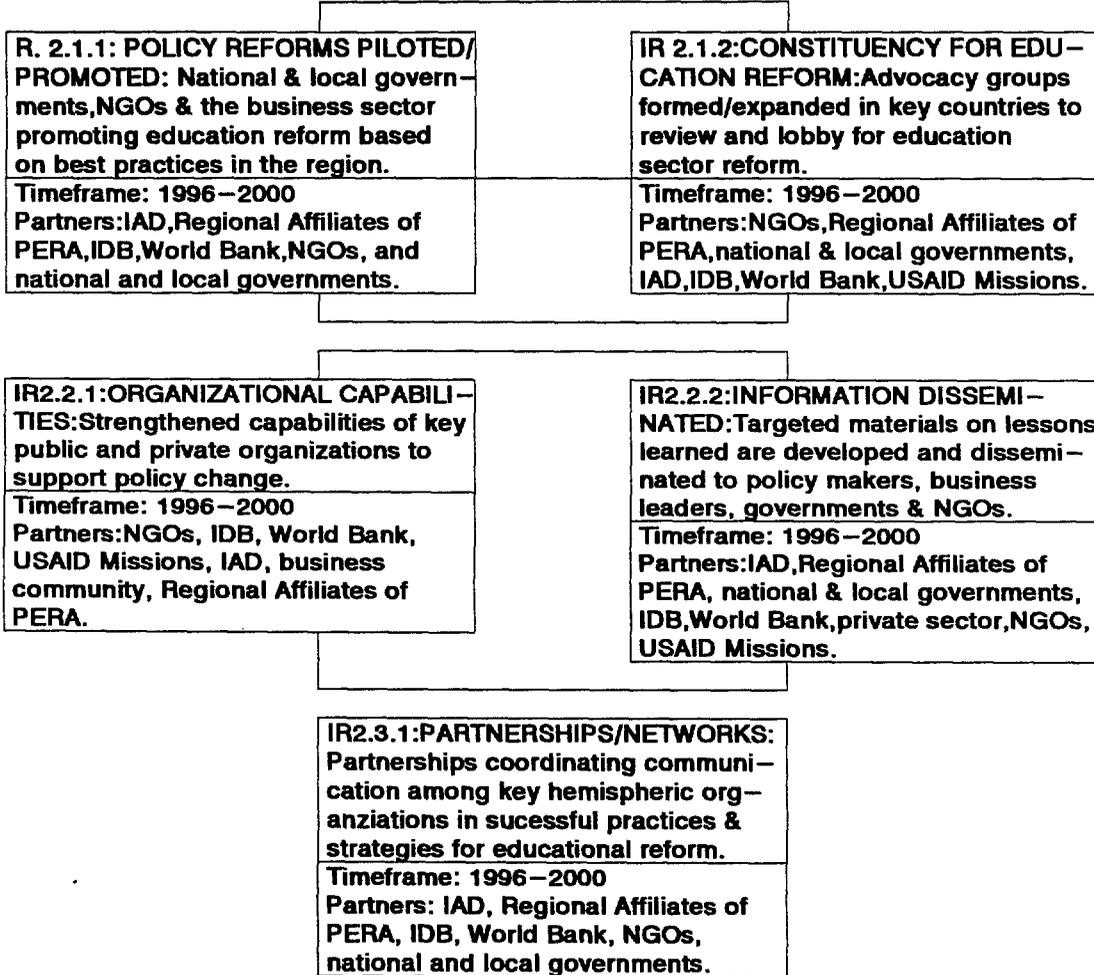
- Workshops in at least five countries with implementors of successful interventions improving the quality of instruction.
- Working groups formed to examine successful practices for promoting participation of female, poor and indigenous students in schooling.
- Preparation and dissemination to different target audiences (e.g. policy makers, the business and education communities) of sets of materials on "lessons learned" about decentralization and other issues including local control of schools.

PERA RESULTS FRAMEWORK

Agency Objective:1.3:Basic Education expanded and improved to increase human productivity.

LAC/RSD Objective 2: Improved human resource policies adopted in selected LAC countries.

IR 2.1: POLICY REFORM
Educational policy reforms developed in targeted countries.



Critical Assumptions:

- *The countries that signed the Summit Plan of Action are committed to implementing the education initiative.
- *Political commitment to support education reform at the individual country level can be generated and sustained.
- *The expressed interest of potential members other than governments is translated into actual participation.
- *The minimal bureaucratic structure envisioned will be sufficient to complement the seed fund provided for USAID to establish a Secretariat.
- *Other donors will provide financial support for PERA activities to complement the seed funding provided by USAID to establish a Secretariat.

STRATEGIC OBJECTIVE NO. 2

PERFORMANCE DATA TABLES

STRATEGIC OBJECTIVE NO. 2: Improved human resource policies adopted in selected countries.				
APPROVED: 11/01/1996				
SO No. 2 Indicator 1: Number of education policies adopted in selected countries.				
Unit of Measure: Number of education policies.		Year	Planned	Actual
Source: Inter-American Dialogue/PERA Secretariat Reports and annual statistical reports from Ministries of Education in LAC region.				
<p>Comments: Policy dialogue, adoption and implementation is a lengthy process. Results are expected to be slow at the beginning as momentum builds and the partnership is functioning at full strength.</p> <p>Selected countries are LAC/Bureau emphasis countries in Central America and the Caribbean: Guatemala, Nicaragua, El Salvador and Haiti.</p>	Baseline	1996	--	NA
	Target	1997	3	
	Target	1998	5	
	Target	1999	7	
	Target	2000	10	
	Target	Total	25	

STRATEGIC OBJECTIVE NO. 2: Improved human resource policies adopted in selected countries.

APPROVED: 11/01/1996

SO No. 2 Indicator 2: Increased education budgets allocated to primary education in selected countries.

Unit of Measure: Number of countries with increased budget.		Year	Planned	Actual
Source: IAD/PERA Secretariat Reports.				
Comments: Selected countries are LAC/Bureau emphasis countries in Central America and the Caribbean: Guatemala, Nicaragua, El Salvador and Haiti. An increase in the budget allocations to primary education is anticipated in PERA member nations as well as selected countries.	Baseline	1996	--	NA
	Target	1997	2	
	Target	1998	4	
	Target	1999	6	
	Target	2000	10	
	Target	Total	10	

STRATEGIC OBJECTIVE NO. 2: Improved human resource policies adopted in selected countries

APPROVED: 11/01/1996

SO No. 2 Indicator 3: Increased primary school enrollment of rural and indigenous girls in selected LAC countries.

Unit of Measure: Number of countries with increased enrollment.		Year	Planned	Actual
Source: IAD/PERA Secretariat Reports.				
Comments: PERA activities will be coordinated with those of the Girls' and Women's Education Initiative. Each activity is supportive of the other's goals and objectives.	Baseline	1996	--	NA
	Target	1997	1	
	Target	1998	2	
	Target	1999	3	
	Target	2000	4	
	Target	Total	10	

STRATEGIC OBJECTIVE NO. 2: Improved human resource policies adopted in selected countries

APPROVED: 11/01/1996

INTERMEDIATE RESULT 2.1: Policy Reform: Educational policy reform in targeted LAC countries developed.

INDICATOR 2.1.a: New policies developed in key educational policy areas.

Unit of Measure: Number of policies developed.

Source: IAD/PERA Secretariat Reports.

Comments: Key educational policy areas are equity, quality, finance and governance. Qualitative issues of how to measure the adoption and implementation of educational policy will be addressed when the scope-of-work is drafted for periodic evaluations.

	Year	Planned	Actual
Baseline	1996	--	NA
Target	1997	5	
Target	1998	5	
Target	1999	5	
Target	2000	5	
Target	Total	20	

STRATEGIC OBJECTIVE NO. 2: Improved human resource policies adopted in selected countries

APPROVED: 11/01/1996

INTERMEDIATE RESULT 2.1: Policy Reform: Educational policy reform in targeted LAC countries developed

INDICATOR 2.1.b: Significant aspects of PERA findings will be adopted.

UNIT OF MEASURE: Number of policy findings adopted.

SOURCE: IAD/PERA Secretariat Reports.

INDICATOR DESCRIPTION:

COMMENTS: PERA findings and guidelines will be included/adopted by local, regional, or national entities. The Cooperative Agreement was signed at the end of FY 96. Policy development was not among the preparatory activities.

Year	Planned	Actual
1996	-----	N/A
1997	2	
1998	2	
1999	4	
2000	4	
Target	12	

STRATEGIC OBJECTIVE NO. 2: Improved human resource policies adopted in selected countries.

APPROVED: 11/01/1996

INTERMEDIATE RESULT 2.1.1: Education policy reform pilot tested and promoted.

INDICATOR 2.2.1.a: Promising practices & successful approaches disseminated and marketed.

UNIT OF MEASURE: Number of promising practices disseminated.	Year	Planned	Actual
SOURCE: IAD/PERA Secretariat Reports.	1996	-----	2
INDICATOR DESCRIPTION:	1997	10	
COMMENTS: Promising practices and successful approaches will be marketed to Parliamentarians and public private sector decision makers.	1998	10	
	1999	10	
	2000	10	
	Target	40	

STRATEGIC OBJECTIVE NO. 2: Improved human resource policies adopted in selected LAC countries.

APPROVED: 11/01/1996

SUB-INTERMEDIATE RESULT 2.1.1: Education policy reform pilot tested and promoted in key education policy areas.

INDICATOR 2.1.1.b: Pilot programs begun in key education policy areas (equity, quality, governance, and finance).

UNIT OF MEASURE: Number of pilot programs.

SOURCE: IAD/PERA Secretariat Reports.

INDICATOR DESCRIPTION:

COMMENTS: Pilot education policy programs will be tested in at least three LAC countries, beginning in 1998.

Year	Planned	Actual
1996	-----	-----
1997	-----	-----
1998	1	
1999	2	
2000	2	
Target	5	

STRATEGIC OBJECTIVE NO. 2: Improved human resource policies adopted in selected LAC countries.

APPROVED: 11/01/1996

INTERMEDIATE RESULT 2.1.2: Constituency for education reform.

INDICATOR 2.1.2: Advocacy groups formed by country to promote key education policy reform.

UNIT OF MEASURE: Number of countries/groups.	Year	Planned	Actual
SOURCE: IAD/PERA Secretariat Reports.	1996	1/1	N/A
INDICATOR DESCRIPTION:	1997	3/3	
COMMENTS: Advocacy groups will be formed or expanded in at least four countries to review and lobby for education reform. This is a process indicator. The formation of additional advocacy groups is anticipated in 1998, 1999 and 2000.	1998	TBD	
	1999	TBD	
	2000	TBD	
	Target	TBD	

STRATEGIC OBJECTIVE NO. 2: Improved human resource policies adopted in selected LAC countries.

APPROVED: 11/01/1996

INTERMEDIATE RESULT 2.2.1: Strengthened capabilities of key public and private organizations to support policy dialogue.

INDICATOR 2.2.1.a: Number of organizations participating in development and implementation of educational policy analysis.

UNIT OF MEASURE: Number of government, NGO, and private sector organizations.

SOURCE: IAD/PERA Secretariat Reports.

INDICATOR DESCRIPTION:

COMMENTS: While there was no institutional strengthening activity during the start-up period, at least 8 different ministries, private sector organizations, and NGOs participated in the first policy analysis exercise: case studies of educational reform in LAC. Previously reported target of 190 was in error.

Year	Planned	Actual
1996	5	8
1997	15	
1998	25	
1999	25	
2000	40	
Target	110	

STRATEGIC OBJECTIVE NO.2: Improved human resource policies adopted in selected LAC countries.

APPROVED: 11/01/1996

INTERMEDIATE RESULT 2.2.1: Strengthened capabilities of key public and private organizations to support policy dialogue.

INDICATOR 2.2.1.b: Number of workshops/training in key policy areas.

UNIT OF MEASURE: Number of workshops.

SOURCE: IAD/PERA Secretariat Reports.

COMMENTS PERA will conduct workshops, educational analyses and provide technical assistance to members. For ease of presentation the number of workshops will be monitored. On-sight evaluations and a follow--on survey of participants will serve as one means of assessing the qualitative impact of the workshops and training activities.

Year	Planned	Actual
1995	0	1
1996	2	2
1997	3	
1998	5	
1999	5	
2000	5	
Target	20	

STRATEGIC OBJECTIVE NO. 2: Improved human resource policies adopted in selected LAC countries.

APPROVED: 11/01/1996

INTERMEDIATE RESULT 2.2.2: Information disseminated/materials developed.
(New IR)

INDICATOR 2.2.2.a: Workshops and training modules developed.

UNIT OF MEASURE: Number of workshops/materials developed.	Year	Planned	Actual
SOURCE: IAD/PERA Secretariat Reports.	1996	-----	N/A
INDICATOR DESCRIPTION:	1997	3/3	
COMMENTS: Workshops and training modules will be developed to showcase findings of the working groups. Workshops will be held with all interested PERA members, from all sectors of the community. The objective is to encourage local and national adoption of best practices.	1998	7/7	
	1999	5/5	
	2000	5/5	
	Target	20/20	

STRATEGIC OBJECTIVE NO. 2: Improved human resource policies adopted in selected LAC countries.

APPROVED: 11/01/1996

INTERMEDIATE RESULT 2.2.2: Information disseminated/materials developed.

INDICATOR 2.2.2.b: Findings, results, strategies disseminated to all PERA Members.

UNIT OF MEASURE: Number of findings disseminated.	Year	Planned	Actual
SOURCE: IAD/PERA Secretariat Reports.	1996	-----	N/A
INDICATOR DESCRIPTION:	1997	20	
COMMENTS: Information will be disseminated to all members through electronic media, reports, newsletters, video, etc.	1998	40	
	1999	40	
	2000	60	
	Target	160	

STRATEGIC OBJECTIVE NO. 2: Improved human resource policies adopted in selected LAC counties.

APPROVED: 11/01/1996

INTERMEDIATE RESULT 2.3.1: Partnership/Networks formed.

INDICATOR 2.3.1a: Heterogenous working groups formed to address critical issues.

UNIT OF MEASURE: Number of working groups.

SOURCE: IAD/PERA Secretariat Reports.

INDICATOR DESCRIPTION:

COMMENTS: Working groups will address, identify, and evaluate successful practices. Additional working groups will be formed as PERA carries out it's mandate. The final or target number of working groups will be determined by the PERA membership and available resources.

Year	Planned	Actual
1996	1	0
1997	3	
1998	TBD	
1999	TBD	
2000	TBD	
Target	TBD	

STRATEGIC OBJECTIVE NO. 2: Improved human resource policies adopted in selected LAC countries.

APPROVED: 11/01/1996

INTERMEDIATE RESULT 2.3.1: Partnerships/Networks formed.

INDICATOR 2.3.1.b: Consensus developed on critical areas of education policy.

Unit of Measure: Number of areas and issues selected for analysis.	Year	Planned	Actual
SOURCE: IAD/PERA Secretariat Reports.	1996	-----	N/A
INDICATOR DESCRIPTION:	1997	2	
COMMENTS: The expected outcome is that a consensus will be reached in the first two years of the project on the critical areas of education policy. Expectations are that additional policy areas will be identified for analysis in the out years.	1998	2	
	1999	-----	
	2000	-----	
	Target	4	

Strategic Objective #3: More effective delivery of selected health services and policy interventions

SO Ranking: Met Objectives

Introduction

The two health Strategic Objectives presented in last year's R4 were consolidated into one this year: SO #3 - More effective delivery of selected health services and policy interventions. This SO reflects the inherent relationships of the efforts to influence health outcomes in USAID presence countries by fostering increased and improved use of selected health services (reflected in three initiatives on vaccinations, IMCI and basic emergency obstetric care to contribute to decreases in maternal mortality) supported by appropriate health reforms designed to increase equitable access to basic health services (reflected in a fourth initiative on health sector reform). The scope of activities and the expected results under this SO encompass those previously presented in the two separate SOs. This combined SO is designed to focus attention in the Americas to implement Summit Plan of Action Item 17 and USAID strategies and priorities intended to complement bilateral programs and have additional impact at a regional level. Each initiative has been developed by a separate Results Package team composed of USAID staff and our implementing partners in each case. Different groups of target countries have been selected for each initiative. Non-target countries will also benefit from the SO initiatives - for example, new technologies will be shared with them, but no direct costs will be borne for their participation.

1. Performance Analysis

The primary goal over the past year was to be the development and approval of the Strategic Framework, Results Frameworks and the start up of activities in support of each of the four SO initiatives. Our expectations were met regarding the vaccination initiative, which is up and running. Our expectations were also met regarding development and approval of the maternal mortality initiative, but implementation has been delayed. Development of the Results Packages for the IMCI and health sector reform initiatives met expectations, but have been delayed in approval and start up.

Due to PHN Team staff shortages and an issue on PAHO's part regarding USAID Standard Provisions (return of interest earned to the USG), activities for three of the four Results Packages under the Health Results Framework could not be initiated as planned. The Bureau is considering actions in regard to staff shortages in PHN. The Standard Provisions issue will impede PAHO from participating in new initiatives, affecting the incremental funding for the vaccination grant. While it might have been possible to complete program development on the schedule planned, the time required to implement a reengineered, highly participatory process, involving teams of LAC, Global and PPC Bureau staff as well as PAHO and Global Bureau implementing agencies, will benefit the program in the medium and long term. Collaboration between Global Bureau implementing agencies and PAHO has improved as a result of the process.

Given that implementing agencies for some of the initiatives do not yet have funds with which to work, baseline and target values for some indicators are provisional and others are still to be determined. Agreements with development partners call for establishing these values within two months of beginning work on each initiative. An updated indicators chart will likely be available for R4 review discussions.

Vaccination Initiative

Implementation of this initiative began in June 1996. Accomplishments during the first six months of implementation include:

SO level

- In 1996, three target countries achieved 90 percent or higher coverage of BCG, DPT3 and OPV3 meeting the target for this indicator.
- Peru achieved 95 percent coverage with measles vaccine, thus meeting the target. This level of coverage stops transmission.

IR level

- Measles surveillance has improved significantly throughout the region. There has been no laboratory-confirmed indigenous measles transmission in LAC during the 1992-96 period.
- Each of the eight target countries have established National Measles Reference Laboratories and together with the Regional Reference Laboratories have improved the diagnostic capability to identify possible measles cases.
- There has been an increased commitment on the part of governments to earmark national resources to cover the recurrent costs of country programs. To support this interest a proposal was prepared to draft legislation in the Andean and Latin American Parliament.

Maternal Mortality Initiative

Although the initiative was approved at the end of November 1996, implementation is pending the resolution of the Standard Provision issue between USAID and PAHO. The Results Package, including more specific indicators and corresponding activities, was collaboratively developed by the Results Package Team involving partners (PAHO and the Global Bureau's Quality Assurance and MotherCare projects) and in consultation with Missions, approved and the grant signed with PAHO during the Sixth Conference of Wives of Heads of State and Government of the Americas.

Integrated Management of Childhood Illness Initiative

Implementation has not begun pending resolution of the Standard Provision issue and approval of the initiative by the AA/LAC. The Results Package, including more specific indicators and corresponding activities, was collaboratively developed by the RP Team involving partners (PAHO and the Global Bureau's BASICS project) in consultation with missions, and reviewed by LAC, Global and Management staff.

Health Sector Reform Initiative

The Results Package, including more specific indicators for IRs presented at the last R4 and activities to accomplish them, was collaboratively developed by the RP Team involving partners (PAHO and the Global Bureau's Partnerships for Health Reform [PHR] and Data for Decisionmaking projects) in consultation with missions. Partners are expected to submit final proposals in February 1997.

- Agreement was reached on a common approach to foster use of National Health Accounts (NHAs) techniques between the PHR contract, PAHO and the World Bank. This will enable international comparability and foster sharing of experiences among LAC countries.
- Joint appraisal visits to candidate countries for the NHA activity by PHR and PAHO staff have begun - ensuring common criteria and programming, regardless of which institution provides technical assistance for which country.

2. Expected Progress Through FY 1999 and Management Actions

The IMCI, maternal mortality and health sector reform initiatives will begin in February 1997. Given the delay in program start up, funding will be needed during the five-year period FY 1997-FY 2001, rather than FY 1996-FY 2000 as anticipated earlier. Indicator targets have been adjusted to reflect this change in starting date and we anticipate reaching levels shown in the Performance Data Tables.

By 1999, we expect that the eight target countries for the vaccination initiative will have achieved the planned level of immunization coverage and countries will be well on their way to financing all costs related to vaccines and syringes. Efforts in the Neonatal Tetanus program will continue to focus on the identification of high-risk areas where there continues to be a problem even though there has been a consistent decline in the number of cases. Also by 1999, in six of the eight target countries for the IMCI initiative, 10 percent of facilities will be delivering that service along with 100 percent of facilities in the districts that have pilot programs under this initiative. The level of service delivery will be the result of respective country decisions to adopt IMCI, prepare for it, develop capacity to deliver services, and rely on monitoring and evaluation to adjust programs in the eight target countries. Because baselines are not known, we cannot predict the annual target values for progress on indicators for the maternal mortality and health sector initiatives at this time.

RESULTS FRAMEWORK: LAC/RSD HEALTH SERVICES OBJECTIVE

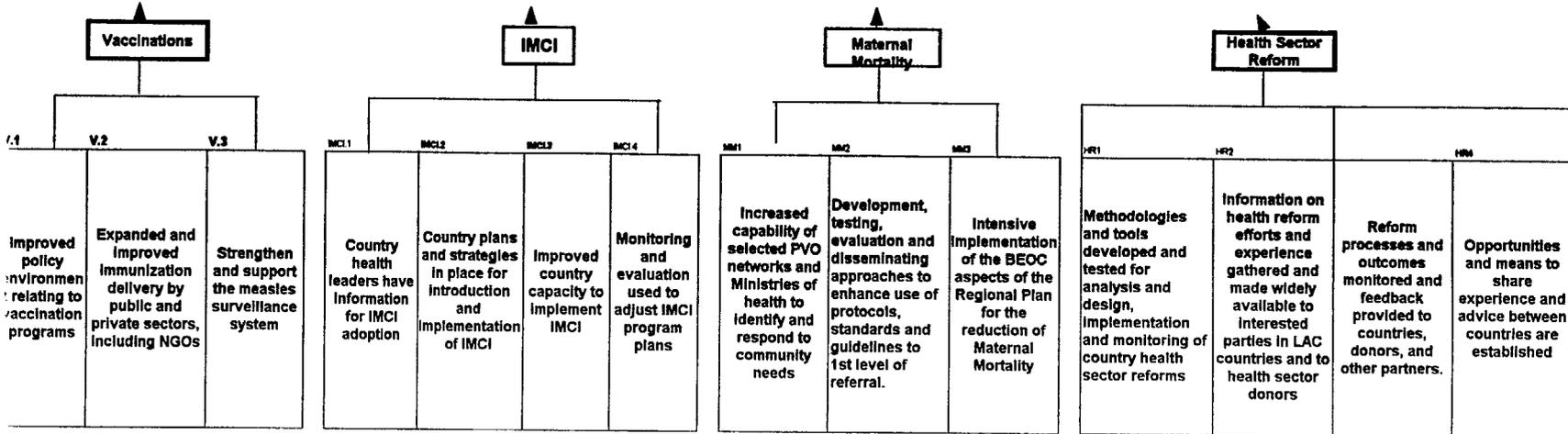
Agency Goal:

Stabilizing World Population and Protecting Human Health

LAC/RSD Strategic Objective:

More effective delivery of selected health services and policy interventions

Intermediate Results:



Time frame: 1996-2000
Partners: PAHO

Time frame: 1997-2001
Partners: PAHO and Basics

Time frame: 1997-2001
Partners: PAHO, MotherCare, Quality Assurance Project

Time frame: 1997-2001
Partners: PAHO, Partnership for Health Reform, Data Decision Making

Critical Assumptions:

- Host countries continue to honor their commitment to the implementation of the various resolutions of the Pan American Health Organization, as well as those of the World's Children Summit and the Summit of the Americas to reduce measles cases and deaths and to maintain high immunization coverage.
- All partners collaborate in the implementation of their health programs, particularly those related to child survival and development.
- Partners continue to participate in the Inter-Agency Coordinating Committees, both regionally and at the country level, to provide technical and financial support to activities related to national immunization programs and to the measles elimination initiative.

IMCI Critical Assumptions:

- Decentralization: that the process of decentralization is strengthened and/or continues.
- Integrated Service Delivery: that integrated services is the preferred service delivery model as opposed to vertical programs. Political commitment and resources (human and financial) will gradually be shifted from vertical programs towards providing service delivery through an integrated care model.
- Sustainability: that if IMCI is to be an effective approach for treating the sick child and counseling caretakers, the quality of care needs to be improved and sustained.

MM Critical Assumptions:

- Political commitment continues for support of goals to reduce maternal mortality made by countries when approving the Regional Plan for the Reduction of Maternal Mortality, and the declarations from the World Summit for Children, the International Conference on Population and Development and the Summit of the Americas.
- Use of modern contraception is maintained or increased in target countries.
- Access to prenatal and clean delivery care in target countries is maintained or increased.

HR Critical Assumptions:

- Government and non-government health providers, professional societies, university faculty willing to participate together in reform efforts.
- In-country interested parties can mobilize political will to re-direct resources (time, personnel, and money) to reforms that increase equitable access to basic health services.
- Donors continue to fund capital costs for country health reform design and implementation including technical assistance, studies, and systems design/implementation.

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404

STRATEGIC OBJECTIVE NO. 3

PERFORMANCE DATA TABLES

STRATEGIC OBJECTIVE NO. 3: More effective delivery of selected health services and policy interventions.				
APPROVED: TBD				
SO NO. 3 INDICATOR 1: Target countries with coverage of each EPI antigen (BCG, OPV3, DPT3, measles, and TT2) at planned levels (see comment section).				
UNIT OF MEASURE: Number.		Year	Planned	Actual
SOURCE: PAHO Reports.			a/ b/ c	a/ b/ c
<p>COMMENTS: Target countries for the vaccination initiative include: Bolivia, Ecuador, Peru, Nicaragua, El Salvador, Honduras, Guatemala and Haiti.</p> <p>a = # of countries with at least 90% vaccination coverage of core antigens (BCG, OPV3, DPT3) in children < 1 year of age.</p> <p>b = # of countries with 95% measles vaccine coverage of children 1 year of age.</p> <p>c = # of countries with 100% vaccine coverage with TT2 in women of childbearing age in high risk areas.</p> <p>* This is provisional data due to incomplete country reporting, these figures may be revised.</p> <p>** This target can only be achieved if Haiti begins reporting (otherwise target will be 7/7/7)</p>	Baseline	1995	--	2/ 1/ 0 (B)
	Target	1996	3/ 1/ 0	3/ 1/ 0*
	Target	1997	4/ 2/ 2	
	Target	1998	5/ 3/ 4	
	Target	1999	7/ 6/ 6	
	Target	2000 (T)	8/ 8/ 8 **	

STRATEGIC OBJECTIVE NO. 3: More effective delivery of selected health services and policy interventions.

APPROVED: TBD

SO NO. 3 INDICATOR 2: Target countries with 10% of facilities delivering Integrated Management of Childhood Illness (IMCI) services.

UNIT OF MEASURE: Number.	Year	Planned	Actual
SOURCE: PAHO and BASICS.	1996	--	0 (B)
INDICATOR DESCRIPTION:	1997	0	
COMMENTS: Target countries for the IMCI Initiative include: Bolivia, Ecuador, Peru, El Salvador, Guatemala, Honduras, Nicaragua, and Haiti.	1998	5	
	1999	6	
	2000	7	
	2001 (T)	8	

STRATEGIC OBJECTIVE NO. 3: More effective delivery of selected health services and policy interventions.

APPROVED: TBD

SO NO. 3 INDICATOR 3: Target countries with 100% of facilities in pilot districts delivering IMCI services.

UNIT OF MEASURE: Number.	Year	Planned	Actual
SOURCE: PAHO and BASICS.	1996	--	0 (B)
INDICATOR DESCRIPTION:	1997	0	
<p>COMMENTS: Target countries for the IMCI Initiative include: Bolivia, Ecuador, Peru, El Salvador, Guatemala, Honduras, Nicaragua, and Haiti.</p> <p>Pilot districts for each of the target countries will be selected in consultation with the Ministries of Health, PAHO and Basics representatives.</p>	1998	5	
	1999	6	
	2000	7	
	2001 (T)	8	

STRATEGIC OBJECTIVE NO. 3: More effective delivery of selected health services and policy interventions.

APPROVED: TBD

SO NO. 3 INDICATOR 4: Target countries with basic obstetric care delivered according to national standards at 10% or more of first-level referral facilities in addition to the pilot districts where the program works.

UNIT OF MEASURE: Number	Year	Planned	Actual
SOURCE: PAHO, MotherCare, Quality Assurance Reports.	1996	0	TBD (B)
INDICATOR DESCRIPTION:	1997	TBD	
COMMENTS: Target countries for the maternal mortality initiative include: Bolivia, Brazil, DR, Ecuador El Salvador, Guatemala, Haiti, Honduras, Nicaragua, Paraguay and Peru.	1998	TBD	
Baseline and planned levels will be provided to USAID NLT 2 months after implementing agencies receive funds (approximately mid-March, 1997).	1999	TBD	
Pilot districts for community and facility improvement activities will be used to test program interventions.	2000	TBD	
	2001 (T)	TBD	

STRATEGIC OBJECTIVE NO. 3: More effective delivery of selected health services and policy interventions.

APPROVED: TBD

SO NO. 3 INDICATOR 5: Target countries with at least 25% of obstetric complications treated at the first level of referral in pilot districts.

UNIT OF MEASURE: Number.	Year	Planned	Actual
SOURCE: PAHO, MotherCare, Quality Assurance Reports.	1996	0	TBD (B)
INDICATOR DESCRIPTION:	1997	TBD	
COMMENTS: Target countries for the maternal mortality initiative include: Bolivia, Brazil, DR, Ecuador El Salvador, Guatemala, Haiti, Honduras, Nicaragua, Paraguay and Peru.	1998	TBD	
	1999	TBD	
Baseline and planned levels will be provided to USAID NLT 2 months after implementing agencies receive funds (approximately mid-March, 1997).	2000	TBD	
Pilot districts for community and facility improvement activities will be used to test program interventions.	2001 (T)	13	

STRATEGIC OBJECTIVE NO. 3: More effective delivery of selected health services and policy interventions.

APPROVED: TBD

SO NO. 3 INDICATOR 6: Target countries with changes in structure and functioning of health sector, that increase at least 3 of the following: efficiency, equity, quality, financial sustainability, and community participation.

UNIT OF MEASURE: Number.	Year	Planned	Actual
SOURCE: PAHO Reports, using information from PHR, DDM and other sources.	1996	0	TBD (B)
INDICATOR DESCRIPTION:	1997	TBD	
COMMENTS: Target countries are the USAID presence countries with PHN objectives: Bolivia, Ecuador, Peru, Paraguay, Brazil, Mexico, El Salvador, Guatemala, Honduras, Nicaragua, Dominican Republic, Jamaica, and Haiti.	1998	TBD	
-Examples of changes in structure and functioning are: changes in the relationship between public and private institutions, between local and national institutions, and the separation of provision of services, financing services, and regulation and normative functions.	1999	TBD	
-Baseline and annual target values for indicators to be provided to USAID by PAHO within 2 months of grant signing (approximately June 1, 1997).	2000	TBD	
	2001 (T)	13	

STRATEGIC OBJECTIVE NO. 3: More effective delivery of selected health services and policy interventions.

APPROVED: TBD

INTERMEDIATE RESULT 3.1: Vaccination Initiative: Improved policy environment relating to vaccination services.

INDICATOR 3.1: Target countries which finance all costs related to vaccines and syringes.

UNIT OF MEASURE: Number	Year	Planned	Actual
SOURCE: PAHO	1995	--	2 (B)
INDICATOR DESCRIPTION:	1996	3	3
COMMENTS: Target countries for the vaccination initiative include: Bolivia, Ecuador, Peru, Nicaragua, El Salvador, Honduras, Guatemala and Haiti.	1997	5	
	1998	6	
	1999	6	
	2000 (T)	8	

STRATEGIC OBJECTIVE NO. 3: More effective delivery of selected health services and policy interventions.

APPROVED: TBD

INTERMEDIATE RESULT 3.2: Vaccination Initiative: Expanded and improved vaccination delivery by public and private sectors, including NGOs.

INDICATOR 3.2: Target countries with less than 10% missed opportunities* to vaccinate.

UNIT OF MEASURE: Number	Year	Planned	Actual
SOURCE: PAHO	1995	--	0 (B)
INDICATOR DESCRIPTION:	1996	1	1
COMMENTS: Target countries for the vaccination initiative include: Bolivia, Ecuador, Peru, Nicaragua, El Salvador, Honduras, Guatemala and Haiti. * Missed opportunities refers to those times a woman and/or child comes to a health center for reasons other than to receive vaccinations and the health worker does not review the child's/mothers' immunization status and provide the requisite vaccinations.	1997	2	
	1998	5	
	1999	7	
	2000 (T)	8	

STRATEGIC OBJECTIVE NO. 3: More effective delivery of selected health services and policy interventions.

APPROVED: TBD

INTERMEDIATE RESULT 3.3: Vaccine Initiative: Strengthening and support of the measles elimination surveillance system

INDICATOR 3.3: Samples from suspected measles cases investigated properly* by regional laboratories.

UNIT OF MEASURE: Proportion	Year	Planned	Actual
SOURCE: PAHO	1995	--	60% (B)
INDICATOR DESCRIPTION:	1996	80%	80%
<p>COMMENTS: Target countries for the vaccination initiative include: Bolivia, Ecuador, Peru, Nicaragua, El Salvador, Honduras, Guatemala and Haiti.</p> <p>* Properly reviews to follow-up of every suspected measles case in the region according to the Measles Elimination Guide which includes: visits by a trained epidemiologist to the area where a possible case has occurred, collection of specimens for laboratory investigation and vaccination of all unvaccinated children.</p>	1997	90%	
	1998	95%	
	1999	100%	
	2000 (T)	100%	

STRATEGIC OBJECTIVE NO. 3: More effective delivery of selected health services and policy interventions.

APPROVED: TBD

INTERMEDIATE RESULT 3.4: IMCI Initiative: Country leaders have information for IMCI adoption.

INDICATOR 3.4.a: Target counties where country leaders have adequate* information regarding IMCI.

UNIT OF MEASURE: Number	Year	Planned	Actual
SOURCE: PAHO and BASICS Reports	1996	--	0 (B)
INDICATOR DESCRIPTION:	1997	2	
<p>COMMENTS: Target countries for the IMCI Initiative include: Bolivia, Ecuador, Peru, El Salvador, Guatemala, Honduras, Nicaragua and Haiti.</p> <p>* Country leaders have been briefed on and have information on (through informational visits and orientation workshops) the IMCI strategy, country requirements in order to implement IMCI (e.g. policies, human resources, drug management systems, etc)</p>	1998	5	
	1999	8	
	2000	8	
	2001 (T)	8	

STRATEGIC OBJECTIVE NO. 3: More effective delivery of selected health services and policy interventions.

APPROVED: TBD

INTERMEDIATE RESULT 3.4: IMCI Initiative: Country leaders have information for IMCI adoption.

INDICATOR 3.4.b: Target countries with official decision to adopt IMCI.

UNIT OF MEASURE: Number	Year	Planned	Actual
SOURCE: PAHO and BASICS Reports.	1996	--	0 (B)
INDICATOR DESCRIPTION:	1997	2	
COMMENTS: Target countries for the IMCI Initiative include: Bolivia, Ecuador, Peru, El Salvador, Guatemala, Honduras, Nicaragua and Haiti.	1998	5	
	1999	8	
	2000	8	
	2001 (T)	8	

STRATEGIC OBJECTIVE NO. 3: More effective delivery of selected health services and policy interventions.

APPROVED: TBD

INTERMEDIATE RESULT 3.5: IMCI Initiative: Country plans and strategies in place for introduction and implementation of IMCI services.

INDICATOR 3.5: Target countries with IMCI plans and strategies adopted including identification of resource requirements.

UNIT OF MEASURE: Number	Year	Planned	Actual
SOURCE: PAHO and BASICS Reports.	1996	--	0 (B)
INDICATOR DESCRIPTION:	1997	2	
COMMENTS: Target countries for the IMCI Initiative include: Bolivia, Ecuador, Peru, El Salvador, Guatemala, Honduras, Nicaragua and Haiti.	1998	5	
	1999	8	
	2000	8	
	2001 (T)	8	

STRATEGIC OBJECTIVE NO. 3: More effective delivery of selected health services and policy interventions.

APPROVED: TBD

INTERMEDIATE RESULT 3.6: IMCI Initiative: Improved country capacity to implement IMCI.

INDICATOR 3.6.a: Target countries with more than 10% of ambulatory health facilities which have (all of the following): IMCI norms; service providers trained in IMCI; IMCI essential drugs available at least 75% of time; and district plans that include IMCI at this level.

UNIT OF MEASURE: Number	Year	Planned	Actual
SOURCE: PAHO and BASICS Reports.	1996	--	0 (B)
INDICATOR DESCRIPTION:	1997	2	
COMMENTS: Target countries for the IMCI Initiative include: Bolivia, Ecuador, Peru, El Salvador, Guatemala, Honduras, Nicaragua and Haiti.	1998	5	
	1999	8	
	2000	8	
	2001 (T)	8	

STRATEGIC OBJECTIVE NO. 3: More effective delivery of selected health services and policy interventions.

APPROVED: TBD

INTERMEDIATE RESULT 3.6: IMCI Initiative: Improved country capacity to implement IMCI.

INDICATOR 3.6.b: Target countries with 100% of pilot districts which have: IMCI norms; service providers trained in IMCI; IMCI essential drugs available at least 75% of time; and district plans that include IMCI at this level.

UNIT OF MEASURE: Number.	Year	Planned	Actual
SOURCE: PAHO and BASICS Reports.	1996	--	0 (B)
INDICATOR DESCRIPTION:	1997	2	
COMMENTS: Target countries for the IMCI Initiative include: Bolivia, Ecuador, Peru, El Salvador, Guatemala, Honduras, Nicaragua and Haiti.	1998	5	
	1999	8	
	2000	8	
	2001 (T)	8	

STRATEGIC OBJECTIVE NO. 3: More effective delivery of selected health services and policy interventions.

APPROVED: TBD

INTERMEDIATE RESULT 3.7: Monitoring and evaluation is used to adjust IMCI program plans.

INDICATOR 3.7: Target countries with IMCI annual plans that reflect findings from monitoring and evaluation.

UNIT OF MEASURE: Number	Year	Planned	Actual
SOURCE: PAHO and BASICS Reports.	1996	--	0 (B)
INDICATOR DESCRIPTION:	1997	2	
COMMENTS: Target countries for the IMCI Initiative include: Bolivia, Ecuador, Peru, El Salvador, Guatemala, Honduras, Nicaragua and Haiti.	1998	5	
	1999	8	
	2000	8	
	2001 (T)	8	

STRATEGIC OBJECTIVE NO. 3: More effective delivery of selected health services and policy interventions.

APPROVED: TBD

INTERMEDIATE RESULT 3.8: Health Reform Initiative: In-Country capability to assess health sector problems and to design, implement and monitor reforms.

INDICATOR 3.8: Target countries that have an entity responsible for a/ b/ c/ d (see IR indicators 1-4 below in comments section).

UNIT OF MEASURE: Number

SOURCE: PAHO Reports from PHR, DDM and other sources.

INDICATOR DESCRIPTION:

COMMENTS: Target countries are the USAID presence countries with PHN objectives: Bolivia, Ecuador, Peru, Paraguay, Brazil, Mexico, El Salvador, Guatemala, Honduras, Nicaragua, Dominican Republic, Jamaica, and Haiti.

a = IR1 ...responsible for reform.

b = IR2 ...responsible for reform with access to analytical skills.

c = IR3 ...responsible for reform with an enabling policy environment.

d = IR4 ...responsible for reform with authority to direct human and financial resources to implement reforms.

Baseline and annual target values for indicators to be provided to USAID by PAHO within 2 months of grant signing.

Year	Planned a/ b/ c/ d	Actual a/ b/ c/ d
1996	--	TBD (B)
1997	TBD	
1998	TBD	
1999	TBD	
2000	TBD	
2001 (T)	13	

STRATEGIC OBJECTIVE NO. 3: More effective delivery of selected health services and policy interventions.

APPROVED: TBD

SUB-INTERMEDIATE RESULT 3.8.1: Health Reform Initiative: Methodologies and tools developed, tested and disseminated for analysis and design, implementation and monitoring of country health sector reforms.

INDICATOR 3.8.1: Target countries using 50% of the methodologies and tools developed, tested and disseminated by this program.

UNIT OF MEASURE: Number	Year	Planned	Actual
SOURCE: PAHO Reports from PHR, DDM and other sources	1996	--	TBD (B)
INDICATOR DESCRIPTION:	1997	TBD	
COMMENTS: Target countries are the USAID presence countries with PHN objectives: Bolivia, Ecuador, Peru, Paraguay, Brazil, Mexico, El Salvador, Guatemala, Honduras, Nicaragua, Dominican Republic, Jamaica, and Haiti.	1998	TBD	
The denominator for a country will not include methodologies and tools inappropriate for that country.	1999	TBD	
Baseline and annual target values for indicators to be provided to USAID by PAHO within 2 months of grant signing (approximately June 1, 1997).	2000	TBD	
Baseline and annual target values for indicators to be provided to USAID by PAHO within 2 months of grant signing (approximately June 1, 1997).	2001 (T)	13	

STRATEGIC OBJECTIVE NO. 3: More effective delivery of selected health services and policy interventions.

APPROVED: TBD

SUB-INTERMEDIATE RESULT 3.8.2: Health Reform Initiative: Information on health reform efforts and experiences gathered and made available to interested parties in LAC countries and to health sector donors.

INDICATOR 3.8.2: New titles in the BIREME/LILACS collections of published and fugitive LAC health sector reform literature appropriately abstracted and accessible.

UNIT OF MEASURE: Number.	Year	Planned	Actual
SOURCE: PAHO Reports.	1996	--	TBD (B)
INDICATOR DESCRIPTION:	1997	TBD	
COMMENTS: Target countries are the USAID presence countries with PHN objectives: Bolivia, Ecuador, Peru, Paraguay, Brazil, Mexico, El Salvador, Guatemala, Honduras, Nicaragua, Dominican Republic, Jamaica, and Haiti.	1998	TBD	
	1999	TBD	
Baseline and annual target values for indicators to be provided to USAID by PAHO within 2 months of grant signing (approximately June 1, 1997)	2000	TBD	
	2001 (T)	TBD	

STRATEGIC OBJECTIVE NO. 3: More effective delivery of selected health services and policy interventions.

APPROVED: TBD

SUB-INTERMEDIATE RESULT 3.8.3: Health Reform Initiative: Reform processes and outcomes monitored and feedback provided to countries, donors and other partners.

INDICATOR 3.8.3: Target countries for which data on principal indicators of health sector reform process and outcomes are analyzed and reported by PAHO to country program managers, donors, and other partners.

UNIT OF MEASURE: Number.	Year	Planned	Actual
SOURCE: PAHO Reports.	1996	--	TBD (B)
INDICATOR DESCRIPTION:	1997	TBD	
<p>COMMENTS: Target countries are the USAID presence countries with PHN objectives: Bolivia, Ecuador, Peru, Paraguay, Brazil, Mexico, El Salvador, Guatemala, Honduras, Nicaragua, Dominican Republic, Jamaica, and Haiti.</p> <p>Baseline and annual target values for indicators to be provided to USAID by PAHO within 2 months of grant signing (approximately June 1, 1997).</p>	1998	TBD	
	1999	TBD	
	2000	TBD	
	2001 (T)	13	

STRATEGIC OBJECTIVE NO.3: More effective delivery of selected health services and policy interventions.

APPROVED: TBD

SUB-INTERMEDIATE RESULT 3.8.4: Health Reform Initiative: Opportunities and means to share experience and advice between countries are established.

INDICATOR 3.8.4.a: Target countries with electronic networks of public and private members/subscribers.

UNIT OF MEASURE: Number.	Year	Planned	Actual
SOURCE: PAHO Reports from PHR, DDM and other sources.	1996	--	TBD (B)
INDICATOR DESCRIPTION:	1997	TBD	
COMMENTS: Target countries are the USAID presence countries with PHN objectives: Bolivia, Ecuador, Peru, Paraguay, Brazil, Mexico, El Salvador, Guatemala, Honduras, Nicaragua, Dominican Republic, Jamaica, and Haiti.	1998	TBD	
	1999	TBD	
	2000	TBD	
	2001 (T)	13	
Baseline and annual target values for indicators to be provided to USAID by PAHO within 2 months of grant signing (approximately June 1, 1997).			

STRATEGIC OBJECTIVE NO.3: More effective delivery of selected health services and policy interventions.

APPROVED: TBD

SUB-INTERMEDIATE RESULT 3.8.4: Health Reform Initiative: Opportunities and means to share experience and advice between countries are established.

INDICATOR 3.8.4.b: Target countries hosting and/or sending participants on study tours and/or sub-regional topical meetings sponsored by this initiative.

UNIT OF MEASURE: Number	Year	Planned	Actual
SOURCE: PAHO Reports from PHR, DDM and other sources.	1996	--	TBD (B)
INDICATOR DESCRIPTION:	1997	TBD	
COMMENTS: Target countries are the USAID presence countries with PHN objectives: Bolivia, Ecuador, Peru, Paraguay, Brazil, Mexico, El Salvador, Guatemala, Honduras, Nicaragua, Dominican Republic, Jamaica, and Haiti.	1998	TBD	
	1999	TBD	
	2000	TBD	
	2001 (T)	13	
Baseline and annual target values for indicators to be provided to USAID by PAHO within 2 months of grant signing (approximately June, 1997).			

Strategic Objective #4: Protection of selected LAC parks and reserves important to conserve the hemisphere's biological diversity

SO Ranking: Met Objectives

Introduction

This SO is one of the most important and successful for this Agency in accomplishing its goals in protecting globally important areas of biodiversity and for the USG in meeting its Summit of the Americas and Bolivia Sustainable Development Summit obligations. Intensive efforts under this SO to strengthen local NGOs also make significant contributions to the Agency's goal of strengthening the democratic process.

1. Performance Analysis

During the last nine months of project implementation, we were not quite able to meet our SO performance expectations. Three additional park sites no longer require intensive USAID support. Four others anticipated to reach this goal did not because: (a) two Colombian sites experienced unusual delays in receiving FY 1996 funds due to the decertification and guerrilla activity impeded planned activities; (b) Sierra de las Minas was expanded by Government of Guatemala to include 52,000 acres of adjoining wetland, requiring additional Parks in Peril (PiP) support to ensure protection; and (c) the long-term financing workshop for Darien, Panama, was postponed until early 1997. Of these, only Sierra de las Minas will require intensive USAID support after FY 1997. We expect to fully meet FY 1997 SO indicator targets because we will have a full year of project implementation at all sites and are addressing several deficiencies.

IR#1: Strengthened on-site capacity for long-term protection of targeted parks and reserves.

The successful employment of the new PiP monitoring system showed that the program is not meeting the targets for strengthening on-site capacity. Last year, we reported that nearly all sites had accomplished this IR goal. As a result, LAC/RSD upgraded the standards for what qualifies as "adequate number of park guards," "needed protection infrastructure" and "adequately demarcated and patrolled" park boundaries. Thus, both the planned and actual numbers are lower than those reported last year, although more park sites met the higher standards in FY 1996 than in FY 1995. In addition, problems working in Colombia, as well as the expansion of existing park sites, have caused us to fall below our targets for this IR. We expect to meet our targets for FY 1997 because implementation has continued in Colombia and on-site protection for expanded park areas has been incorporated into the FY 1997 annual site workplans where appropriate.

IR#2: Strengthened capacity of partner NGOs for sustainable management of targeted parks and reserves.

One of the truly remarkable accomplishments of this SO has been its ability to strengthen 14 local conservation NGOs by making them competent administrators and project managers and influential actors in defining local and national environmental policy. Our primary partner NGOs have networked with an additional 23 local NGOs and three government organizations greatly exceeding targets in the number of policy interventions made over the past year. In FY 1997, we expect to continue the trend of increasing the number of local NGOs able to become

involved in policy interventions, as well as increase the total number of these interventions. Given the success of this IR's policy components, we may revise targets upwards in future years.

IR#3: Community constituency developed to support sustainable management of targeted parks and reserves.

We are generally meeting our targets under this IR. The most impressive indicator of success is that, of the 11 sampled park sites, more than 33 percent of the individuals are aware of the importance of the local parks, which greatly exceeding our planned expectations. This demonstrates the effectiveness of the environmental education programs at these sites. In terms of gender, this SO has been more successful at reaching women with awareness programs (nearly 45 percent of the population aware of the local park's importance) than with conservation-oriented economic activities and conservation planning (nearly 22 percent and 27 percent respectively). Efforts will be made to better target women in the planning of these activities.

IR #4: Non-USAID funding sources attained or created for parks and reserves.

The SO continues to be remarkably effective at leveraging additional non-USAID funding. Over \$2.9 million provided by local governments and local NGOs matched USAID investments at the 21 sites still receiving intensive support in FY 1996. This averages almost \$140,000 per site, exceeding our goal of \$106,000 and continuing the trend of increasing local financial contributions to individual sites. Note that in FY 1996, The Nature Conservancy provided an additional \$570,000 match to this SO above those contributed from local sources.

PiP is still not meeting its targets for development of park-specific long-term financial management plans. In large part, the shortfall has resulted from delays by local governments in approving the plans. We also underestimated the time required for getting the consensus of local stakeholders. We have reduced the future planned number of completed long-term financial management plans in FY 1997-99 since our initial targets were too high. To address the difficulties in completing long term financial plans, additional FY 1997 funds have been targeted to long-term financial planning workshops with active local government participation, and The Nature Conservancy's "Conservation Training Week" in April 1997 has added a special planning track for the Board of Directors of partner NGOs.

Our intermediate customer, The Nature Conservancy, participated in the design and subsequent minor modification of the SO Results Framework. The Conservancy is responsible for providing LAC/RSD with indicator data. The Nature Conservancy and local NGO partners jointly designed the "Consolidation Scorecard" which is used yearly to gather this information. The technical staff of the SO Core team meets with The Nature Conservancy once every two months to formally discuss project progress and ultimate customer (i.e., local NGO and community) feedback. Numerous informal meetings and conversations occur on a regular basis. Members of the SO Core teams also make several site visits a year to get ultimate customer feedback. Development of the Scope of Work for the upcoming external evaluation has involved The Nature Conservancy, and the evaluation itself will involve actively both intermediate and ultimate customers, as well as LAC Missions.

Other Accomplishments

- Greatly improved park protection is continuing at 28 park sites in 12 countries, covering more than 19 million acres.
- Three additional protected areas now have attained adequate management (the SO indicator) meaning that they no longer require intensive USAID funding to support park management activities - Morne Trois Pitons, Dominica; Rio Bravo, Belize; Yanachaga, Peru. To date, a total of 10 (covering 7.7 million acres) of the 28 original PiP sites have reached this goal.
- The SO's Results Framework has become The Nature Conservancy's key management tool to guide resource allocation, program planning and results measurement. These methodologies, with modification, have also been adopted by USAID/Peru and USAID/Nicaragua and are being incorporated by the government of Venezuela's Park Service.
- USAID supported the establishment of the Inter-American Commission on Biodiversity and Sustainable Development, an advisory committee of Hemispheric NGO, private sector and government leaders who developed and ensured the incorporation of biodiversity initiatives in the Plan of Action for the December 1996 Bolivia Sustainable Development Summit.
- The America Electric Power Company, due to PiP efforts, provided Fundacion Amigos de Naturaleza with \$8.78 million to add and protect 2.2 million acres of Noel Kempff, Bolivia, thereby doubling the park's size.
- The Dutch and Peruvian governments will provide \$2.6 million over the next five years to support Yanachaga, Peru and contiguous protected areas. PiP's partner NGO, ProNaturaleza, will receive two-thirds of these funds.
- Three local NGO partners (Amigos de Sian Ka'an, Mexico; Pronaturaleza, Peru; PROMETA, Bolivia) received international awards for their conservation efforts at PiP sites. Their work also led to the declaration of four new protected areas. Efforts of a fourth local partner, Centro de Sonora, Mexico, led to the declaration of a new park site in Northwestern Mexico.
- Park user fees at Morne Trois Pitons, Dominica, will now support park management, and the Caribbean Development Bank lent the government of Dominica over \$3 million to develop the park for ecotourism. The park was also increased an additional 2,470 acres (a 15 percent increase).

2. Expected Progress Through FY 1999 and Management Actions

With adequate and timely funding, all 28 sites should have adequate management by the end of FY 1999. To insure this, especially in light of the revised values for IR#1 and the difficulty in completing long-term management plans, we will use FY 1997 funds to conduct an external evaluation, in collaboration with appropriate LAC Missions, of the Parks in Peril program. Results of this evaluation will be fully incorporated into management of this SO before next year's R4 review.

This fiscal year, we also will initiate at least four new sites to conserve samples of the Hemisphere's biodiversity that are currently not protected by USAID or other donors. Already, LAC Missions in Brazil, Jamaica, the Dominican Republic and Paraguay have reserved funds to co-finance new PiP sites with LAC/RSD. Mexico is expected to have funds to co-finance an additional one to two sites.

Because of slightly reduced funding to PiP over the last two years, several "lessons learned" activities have been postponed. We hope to finance these in FY 1998 and FY 1999.

STRATEGIC OBJECTIVE NO. 4

PERFORMANCE DATA TABLES

STRATEGIC OBJECTIVE NO. 4: Protection of selected LAC parks and reserves important to conserve the Hemisphere's biological diversity.			
APPROVED: 19/07/96			
SO NO. 4 INDICATOR 1: Number and area of targeted parks and protected areas with adequate management.			
UNIT OF MEASURE: Number/Area (millions of acres).	Year	Planned	Actual
SOURCE: Based on PiP criteria/ The Nature Conservancy.	1990 B	-----	0
INDICATOR DESCRIPTION:	1994	4/4.1	4/4.1
COMMENTS: Criteria include:	1995	7/5.9	7/6.3
(a) Immediate conservation threats deterred;	1996	14/12	10/7.7
(b) A long-term management plan being developed;	1997	19/17.7	
(c) Institutional strengthening of LAC NGOs to implement and/or assist in the management of selected parks and reserves;	1998	24/18.9	
(d) Long term financial plan in progress and funding ensured for recurrent operation costs;	1999	28/19.3	
(e) A local constituency actively participating in supporting park protection.	(T)		
	2000	33/22.7	
	2001	35/24.5	

STRATEGIC OBJECTIVE NO. 4: Protection of selected LAC parks and reserves important to conserve the Hemisphere's biological diversity.

APPROVED: 19/07/96

INTERMEDIATE RESULT 4.1: Strengthened on-site capacity for long-term protection of targeted parks and reserves.

INDICATOR 4.1.1: Sites with adequate number of trained park guards and protected areas specialists.

UNIT OF MEASURE: Number	Year	Planned	Actual
SOURCE: Intermediate partner (The Nature Conservancy).	1990 B	-----	0
	1994	4	4
INDICATOR DESCRIPTION:	1995	7	7
	1996	14	11
	1997	18	
	1998	24	
	1999	28	
	2000	33	
	2001	35	
COMMENTS: According to needs assessment set forth in initial workplans and monitored by yearly evaluations.			

STRATEGIC OBJECTIVE NO. 4: Protection of selected LAC parks and reserves important to conserve the Hemisphere's biological diversity.

APPROVED: 19/07/96

INTERMEDIATE RESULT 4.1: Strengthened on-site capacity for long-term protection of targeted parks and reserves.

INDICATOR 4.1.2: Sites with needed protection infrastructure.

UNIT OF MEASURE: Number

SOURCE: Intermediate partner (The Nature Conservancy)

INDICATOR DESCRIPTION:

COMMENTS: According to needs assessment set forth in initial workplans and monitored by yearly evaluations.

Note: Final target may change as PiP enters new sites.

Year	Planned	Actual
1990	-----	0
1994	4	4
1995	7	7
1996	14	16
1997	18	
1998	24	
1999	28	
2000	33	
2001 T	35	

STRATEGIC OBJECTIVE NO. 4: Protection of selected LAC parks and reserves important to conserve the Hemisphere's biological diversity.

APPROVED: 19/07/96

INTERMEDIATE RESULT 4.1: Strengthened on-site capacity for long-term protection of targeted parks and reserves.

INDICATOR 4.1.3: Sites with adequately demarcated and patrolled park boundaries.

UNIT OF MEASURE: Number

SOURCE: Intermediate partner (The Nature Conservancy)
1994

INDICATOR DESCRIPTION:

COMMENTS: According to needs assessment set forth in initial workplans and monitored by yearly evaluations.

Year	Planned	Actual
1990	-----	0
1994	4	4
1995	7	7
1996	14	10
1997	18	
1998	24	
1999	28	
2000	33	
2001	35	
T		

STRATEGIC OBJECTIVE NO. 4: Protection of selected LAC parks and reserves important to conserve the Hemisphere's biological diversity.

APPROVED: 19/07/96

INTERMEDIATE RESULT 4.2: Strengthened capacity of partner NGOs for sustainable long-term management of targeted parks and reserves.

INDICATOR 4.2.1: Number of NGOs that have met and continue to meet the PiP institutional, administrative, and management criteria.

UNIT OF MEASURE: Number	Year	Planned	Actual
SOURCE: Intermediate partner (The Nature Conservancy).	1990 B	-----	0
INDICATOR DESCRIPTION: Criteria include: (a) management and financial reports submitted; (b) pass audit; (c) complete work plan; (d) submit annual evaluations; (e) personnel development; (f) project implementation.	1994	17	17
	1995	19	19
	1996	14*	14
	1997	13*	
	1998	19	
	1999	19	
COMMENTS: * NGOs from PiP sites no longer receiving intensive USAID funding are not included in planned FY'96 and FY'97 numbers. TNC is developing a survey to measure NGO capacity after USAID funding period. These will be included in FY'98 planning.	2000	22	
	2001 (T)	24	

STRATEGIC OBJECTIVE NO. 4: Protection of selected LAC parks and reserves important to conserve the Hemisphere's biological diversity.

APPROVED: 19/07/96

INTERMEDIATE RESULT 4.2: Strengthened capacity of partner NGOs for sustainable long-term management of targeted parks and reserves.

INDICATOR 4.2.2: Number of NGOs involved in policy interventions per year; Number of policy interventions undertaken per year.

UNIT OF MEASURE: Number NGOs/interventions per year.	Year	Actual	Planned
SOURCE: Intermediate partner (The Nature Conservancy).	1994 B	-----	14/64
	1995	20/70	17/93
	1996	25/100	42/139
	1997	50/110	
	1998	60/130	
	1999	70/150	
	2000	75/160	
	2001 (T)	80/170	
	INDICATOR DESCRIPTION: Policy interventions include those contributing to the development and implementation of improved government policies and partnerships affecting park management. This includes activities such as public planning processes, park (and related) regulations and enforcement.		
COMMENTS: NGOs include those not supported by PiP directly, but have worked in alliance with partner NGOs on policy interventions as a result of PiP funding.			

STRATEGIC OBJECTIVE NO. 4: Protection of selected LAC parks and reserves important to conserve the Hemisphere's biological diversity.

APPROVED: 19/07/96

INTERMEDIATE RESULT 4.3: Community Constituency developed to support sustainable management of targeted parks and reserves.

INDICATOR 4.3.1: The proportion of the local constituency aware of the importance of local park/reserve site.

UNIT OF MEASURE: Percent (disaggregated by gender)	Year	Planned	Actual
SOURCE: Intermediate partner (The Nature Conservancy).	1995 B	-----	very low
INDICATOR DESCRIPTION: "Awareness" includes: (a) awareness of location of park boundaries and/or zones and reasons for placement of those boundaries; (b) ability to articulate the ecological, economic, and health benefits accrued to local communities due to existence of park; and (c) recognition and understanding of the objectives of particular projects being conducted in or around the park (e.g., sustainable forestry management).	1996	10%	36% (16% women; 20% men)
	1997	15%	
	1998	20%	
COMMENTS: Representative sites sampled initially until methodology is mature. All sites sampled by 1999. Incorporation of gender into planning numbers still being developed.	1999	25% (28 sites)	
	2000	25% (33 sites)	
FY96: 382,100 people sampled (11 sites), 146,325 people aware; 66,000 women.	2001 T	25% (35 sites)	

STRATEGIC OBJECTIVE NO. 4: Protection of selected LAC parks and reserves important to conserve the Hemisphere's biological diversity.

APPROVED: 19/07/96

INTERMEDIATE RESULT 4.3 NAME: Community Constituency developed to support sustainable management of targeted parks and reserves.

INDICATOR 4.3.2: Number and proportion of people engaged in conservation-oriented activities in and around park site.

UNIT OF MEASURE: Number and Percent per year (disaggregated by gender).

SOURCE: Intermediate partner (The Nature Conservancy).

INDICATOR DESCRIPTION: Examples of activities include ecotourism, small-scale organic agriculture, bee keeping, sustainable harvesting of wildlife and other non-timber forest products, etc.

COMMENTS: Representative sites sampled initially until methodology is mature. All sites sampled by 1997. Incorporation of gender into planning numbers still being developed.

Note: 249,540 people sampled (nine sites)

Year	Planned	Actual
1995 B	-----	very low
1996	4200/15%	6248/11% (1371 women)
1997	5600/20%	
1998	7000/25%	
1999	8400/30%	
2000	9900/30%	
2001 (T)	10500/30%	

STRATEGIC OBJECTIVE NO. 4: Protection of selected LAC parks and reserves important to conserve the Hemisphere's biological diversity.

APPROVED: 19/07/96

INTERMEDIATE RESULT 4.3: Community Constituency developed to support sustainable management of targeted parks and reserves.

INDICATOR 4.3.3: Number and proportion of people involved with consultation and decision-making at the site.

UNIT OF MEASURE: Number and Percent (disaggregated by gender).

SOURCE: Intermediate partner (The Nature Conservancy).

INDICATOR DESCRIPTION: Includes community members involved with park management planning.

COMMENTS: Representative sites sampled initially until methodology is mature. All sites sampled by 1998. Incorporation of gender into planning numbers still being developed.

Note: 99,700 people sampled (5 sites).

Year	Planned	Actual
1995 B	-----	very low
1996	560/2%	200/4% (55 women)
1997	1120/4%	
1998	1680/6%	
1999	2240/8%	
2000	3300/10%	
2001 (T)	4200/12%	

STRATEGIC OBJECTIVE NO. 4: Protection of selected LAC parks and reserves important to conserve the Hemisphere's biological diversity.

APPROVED: 19/07/96

INTERMEDIATE RESULT 4.4: Non-USAID funding sources attained or created for parks and reserves.

INDICATOR 4.4.1: Annual local government and NGO contributions for park and reserve protection.

UNIT OF MEASURE: Annual \$US per year for all sites/Average \$US per site.	Year	Planned	Actual
SOURCE: Intermediate partner (The Nature Conservancy)	1992	835,000 /41,750	687,922 /34,396
INDICATOR DESCRIPTION: Annual targets determined by projected local government and NGO contributions in annual work plans. Information on actual contributions derived from Quarterly Financial Billing Reports to USAID.	1993	1,145,000 /45,800	1,259,806 /50,396
COMMENTS: Planning numbers based on \$US needed for park protection activities at the site per year. These vary yearly depending on which sites are still receiving USAID support, how much support is being provided by USAID, and what individual site needs are during a particular year. Only sites still receiving intensive USAID support are included in calculations. Number of sites: 1991 = 10 1992 = 20 1993 = 25 1994 = 26 1995 = 28 1996 = 21 1997 = 18 1998 = 11 1999 = 9 2000 = 7 Baseline: 1991 = \$179,000; \$ 17,900 per site Target: 2001 = \$275,137; \$137,568 per site (2 sites)	1994	1,395,000 /53,654	2,322,506 /89,327
	1995	1,705,000 /60,693	3,100,562 /110,716
	1996	2,225,512 /105,483	2,917,653 /138,936
	1997	1,509,095 /83,839	
	1998	1,200,276 /109,116	
	1999	1,238,112 /137,568	
	2000	962,976 /137,568	

STRATEGIC OBJECTIVE NO. 4: Protection of selected LAC parks and reserves important to conserve the Hemisphere's biological diversity.

APPROVED: 19/07/96

INTERMEDIATE RESULT 4.4: Non-USAID funding sources attained or created for parks and reserves.

INDICATOR 4.4.2: Number of parks and reserves with long term management plans completed and updated regularly by GO/NGO partners.

UNIT OF MEASURE: Number of park/reserve sites.	Year	Planned	Actual
SOURCE: I Intermediate partner (The Nature Conservancy)	1990 B	-----	0
INDICATOR DESCRIPTION: This is a key indicator of a site's ability to achieve long term non-USAID support for its survival as a viable area. An updated financial plan indicates that a de facto management plan exists upon which were based the activities "costed out" and budgeted in the financial plan. These plans include the selection of the most important and feasible activities for park protection, and insure that sufficient income exists or can be realistically projected to cover these activities.	1994	4	0
COMMENTS: All other sites have site long term management plans in progress.	1995	8	0
COMMENTS: All other sites have site long term management plans in progress.	1996	15	6
COMMENTS: All other sites have site long term management plans in progress.	1997	13	
COMMENTS: All other sites have site long term management plans in progress.	1998	19	
COMMENTS: All other sites have site long term management plans in progress.	1999	28	
COMMENTS: All other sites have site long term management plans in progress.	2000	33	
COMMENTS: All other sites have site long term management plans in progress.	2001 (T)	35	

Strategic Objective #5: Reinforcement of regional trends that strengthen democracy in the LAC region

SO Ranking: Met Objectives

Introduction

The still recent transition of many LAC countries to elected government reinforces the need to consolidate democratic systems of government that are still very fragile and vulnerable - as events in Paraguay and Ecuador have demonstrated over the last year. The key trends affecting the process of democracy in the region remain basically the same: efforts to consolidate the legitimacy of government institutions, a growing need to confront increased crime and citizens' concern for personal security, the growth of pluralism and civil society, decentralization and increased importance of municipal governments, and persistent income inequality and poverty under democratic political systems. For LAC countries, consolidation of democracy is fundamental to progress in many other areas, especially in promoting economic growth and investment and addressing issues of poverty and inequality. For this reason, the 1994 Summit of the Americas identified democracy as a key focus for action that will be on the Summit agenda again in Chile in 1998. SO #5 and RSD-DHR activities directly address two key Summit Action items #3 - Invigorating Society/Community Participation and #5 - Combatting Corruption.

1. Performance Analysis

Because of the short period since agreement on a definition of the SO and because activities are still being developed, some specific indicators of SO achievement are still being finalized. The general direction of change, however, in those indicators is already in place. On that basis, and on the basis of qualitative assessment of events and developments associated with DHR interaction with counterparts, Missions and donors, progress toward objectives - even during the short period since the last R-4 review - is reasonably on target. There have been many accomplishments this past year under the democracy SO.

- The Inter-American Institute for Human Rights (IIDH) has begun a comprehensive Strategic Review to assure that its focus and activities are relevant to the changed political context of the 1990s and review its management structure and strategic approach.
- IIDH's Center for Promotion of Electoral Assistance (CAPEL) carried out successful election programs that made a major contribution to free, fair and transparent elections in Nicaragua and the Dominican Republic.
- The Regional Financial Management Project (RFMIP), in concert with 22 countries in Latin America, sponsored the Third International Conference on the Problems of Fraud and Corruption in government, reaching 4000 direct participants and millions more through video and TV broadcasts.
- The RFMIP project serves as executive secretariat of a donor consultative group that is playing an important role in promoting anti-corruption and integrated financial management within the donor community. The project has leveraged new multilateral donor investments of \$700,000 in Peru and Nicaragua.

- The Regional Civic Education project has expanded the initial nucleus of five lead organizations coordinated by the Partners of the Americas to reach nearly 80 NGOs throughout the region with training and technical assistance and bringing them into a regional Civil Society Network. From these organizations, some 20 organizations will be chosen as "multiplier organizations" providing technical assistance and training to others within their own country.
- NGO leaders in the region developed a statement on citizen participation that was adopted by the Santa Cruz Summit and are actively working to promote greater recognition and support for civil society as part of preparations for the 1998 summit in Chile.
- Leading NGOs in the region are participating in an effort to promote civic education throughout LAC, which was energized by a regional civic education conference held in Argentina in October, 1996, and which continues through regional and country-specific planning and activities.

DHR's efforts to reinforce and promote positive democratic trends has been negatively affected by difficulties in identifying an appropriate person from the Department of Justice to play a lead role in the justice sector for DHR and by budget cuts which deferred development of a new initiative to address political competition and pluralism. Also, in areas in which new indicators were proposed as part of a revision of the Results Framework undertaken last year, agreements on the nature of the indicators were relatively slow and it was therefore difficult to develop baseline data and targets in all cases. Reengineering helped improve ways of approaching work in the democracy area, but has also been very time-consuming and involved some issues, e.g. indicators and appropriate targets, where it has been difficult to find consensus especially in the case of a regional program. This process has held up approval of the DHR Results Framework. DHR proposes to address some of these issues through a program of qualitative evaluation involving persons with expertise and experience in the primary trend areas addressed by the DHR program. These efforts will be integrated into reporting on performance and in the decision-making process for program activities.

The Regional democracy and human rights program is an important catalyst for strengthening commitment to democratic change in the region. The program aims to elicit Mission, donor and government support for several types of democratic change and to focus the efforts of NGOs, occupational groups, government officials and institutions on those issues. DHR's reinforcement of democratic trends is largely seen through the intermediate results below. Impact is based on the direct use of program resources as well as on a high level of Bureau staff involvement in regional conferences, donor collaboration, Inter-agency USG policy planning, Summit planning and follow-up, and support for Mission strategy development (e.g. in Guatemala, Honduras, and Bolivia this past year). These activities contribute to a consensus around strategies for democratic development and promote greater commitment to activities promoting democratic change.

IR#1: Strengthened regional mechanisms to promote human rights and rule of law.

DHR's most important regional impact comes through its core support for the continuing development of IIDH. IIDH carries out research and produces a wide range of technical publications on human rights, the most recent breaking ground in rights issues related to the

police. But its most important contribution is through its well-respected annual Interdisciplinary Course on Human Rights involving participants from all countries of the region, for which there is a demand far greater than can meet. As technical secretariat for the Ibero-American Federation of Ombudsmen, IIDH convened a two-day workshop in Sao Paulo for 230 participants on support for ombudsmen of police matters.

This year IIDH has gone through some difficult internal transitions which, in the short run, caused some loss of momentum but which, in the long run, should help IIDH mature as an institution. Changes included installing a new Executive Director in July and new director of CAPEL in September. IIDH is just beginning a major Strategic Review encouraged by USAID and involving the Board, staff, major donors, outside consultants and international human rights experts. We hope this review is helping the Institute re-examine its vision and develop consensus around objectives, plans, strategies, and management approaches, and ensure that IIDH programming remains focused on the human rights issues on which it can have the most impact within a changed political context in the region.

Expectations for performance in this IR have been met, although we have solid quantitative data for only one of the institutional strength indicators for IIDH. Broader diversification of IIDH core funding has been taking place to the point that USAID provides only approximately 25 percent of IIDH's core budget (although USAID Missions funded a variety of other special projects). The issue of broadening sources of core funding is being addressed in the Strategic Review and in dialogue with other donors such as the European Community, particularly regarding collaborative financing of democracy programs. Requests for specific human rights assistance and incountry training courses by IIDH over the last year came from USAID Missions (e.g. for assisting Nicaragua draft a reform of the legislation affecting courts), other agencies and governments.

The Regional program's contribution to rule of law efforts throughout the region was operationalized through a Department of Justice RSSA who helped review specific projects, designed projects, carried out justice sector assessments, reviewed legal reforms and facilitated acquisition of appropriate technical assistance. The impact of this type of assistance is to help establish de facto regional norms and minimum standards for laws and legal process in the region by sharing experiences and plans through regional networks, information exchanges and donor coordination.

After termination of the last RSSA in October 1996 and following extended consultations, the Department of Justice and LAC have not identified an appropriate person to fill the new RSSA which has left a void in technical assistance and support complementing activities that account for half of the overall democracy funding for the LAC region. Results related to the RSSA's work obviously fell short of expectations, and were confined to efforts to initiate a judicial exchange program in Mexico. DHR is exploring other staffing options to address regional objectives in the justice subsector. USAID rule of law programs and other donor efforts are also being increasingly oriented toward improved personal security and integration of police training efforts with ongoing Administration of Justice activities.

IR#2: Strengthened regional mechanisms to improve public sector legitimacy.

The Regional program's core support of CAPEL has helped build an institution frequently called on by bilateral missions and governments for technical assistance in carrying out electoral support. During 1996, CAPEL provided significant technical assistance to the

Dominican Republic elections and carried out a major successful election assistance program in Nicaragua through bilateral agreements with the USAID Mission. Other major involvements for CAPEL last year included continued support to developing the regional electoral election protocols (the Protocols of Tikal and Quito), acting as the secretariat for the Inter-American Union of Electoral Bodies, assistance to Panama to strengthen political parties and plan electoral reforms, and providing local or national election observers in Guatemala, Ecuador, and Paraguay. Given its contributions to the major elections of 1996 in the region, which were deemed by observers to be free, fair, and transparent, and the continuing effort to improve electoral planning, expectations for performance in this area were met or exceeded. CAPEL's assistance in Nicaragua is soon to be evaluated by the Mission and will serve as an important mechanism of customer feedback for CAPEL. However, the departure of the head of CAPEL has created some difficulties, which hopefully will be addressed by the overall IIDH Strategic Review and the search for a successor.

The Regional program's major initiative to promote government accountability and counter corruption is the Regional Financial Management Improvement project (RFMIP). Through pilot programs, conferences, training, and provision of technical assistance this project has catalyzed interest in countries throughout the hemisphere, generated bilateral projects, and, through the USAID-created and -funded Donor Consultative Group, collaborated with the World Bank and the Inter-American Development Bank (IDB) as they programmed some \$140 million in this sector. The project's activities to counter corruption and share experiences across countries have made it key part of the Summit of the America's "No to Corruption" initiative through support for public information programs, conferences and seminars - including USAID's first teleconferences - to reinforce citizens' new awareness that corruption can be fought through newly available democratic processes.

As of December 1996, some 18 countries have been approved for multilateral bank loans either to install integrated financial management systems or to improve a particular aspect of their financial management system. In El Salvador, the 1996 IDB loan grew out of USAID's initial program. At the sub-federal level, Brazil received an IDB loan in 1996, as did Argentina the same year. Venezuela received a second World Bank loan. The loan for Ecuador was signed in 1995, began implementation but is currently suspended, and Haiti is awaiting Congressional ratification for a 1995 World Bank loan. RFMIP plays an instrumental role in coordinating donor activity in each of these countries through the Donor Consultative Group (DCG) and assists through delivery of technical assistance, publications, courses, model laws, conferences and seminars. USAID, through the DCG, is leveraging through a \$10,000 investment of technical assistance, a \$1.2 million grant in 1997 from the World Bank to strengthen the Central American association of comptrollers general in an effort to strengthen the external audit function in each Central American country.

With the signing of the Inter-American Convention Against Corruption and attendant interest and commitment to anti-corruption initiatives, much attention under RFMIP during the reporting period was focused on promoting citizen awareness of problems associated with corruption. A core anti-corruption strategy team which includes the core team members of the DCG on Financial Management, has been formed to gather and disseminate information, identify NGOs and coordinate USAID, IDB and World Bank activities in this area. RFMIP is supporting the adaptation and implementation of Transparency International's National Integrity Sourcebook in Latin America and is beginning to promote accountability and transparency methodologies at the sub-national level, both through the DCG process and through field activities. Since June 1996, about 4,500 individuals across a broad spectrum

of interests and professions have participated directly in RFMIP-sponsored anti-corruption activities. RFMIP's Respondacon III hemisphere-wide teleconference reached a potential audience of millions through cable and national television networks. A network of local/national coordinators for anti-corruption activities has been identified; and a questionnaire on people's perception of corruption has been administered and analyzed. Both of these instruments will be further developed during 1997 for use at the 8th International Anti-corruption Conference and Respondacon IV, both of which will take place in September in Peru.

The Regional program's pilot Local Governance and Municipal Development project is closing out activities in Paraguay as the bilateral Mission establishes its democratic local governance/decentralization activities. Recent accomplishments include the holding of open municipal meetings to discuss budgets and other key decisions with community representatives in Paraguay and legislative initiatives to promote decentralization. As Paraguay-specific activities close out, DHR aims to reorient this project toward regional activities, associations, exchanges of experience, and promoting decentralization and democratic local governance promotion efforts. An assessment to explore this began in January 1997. Viable indicators and targets will be determined in the process of designing this regional activity.

IR#3: Strengthened regional mechanisms to promote pluralism and civil society.

The Regional program's major initiative to encourage the trend toward a more politically active civil society is its activity with Partners of the Americas and five lead NGOs from the region (Conciencia and Poder Ciudadano of Argentina, Participa of Chile, Universidad de los Andes in Colombia, and INIAP of Guatemala). Together these groups are developing a network of civil society NGOs that share information, experience, and technical assistance, specifically to help NGOs throughout the region develop and become more effective. The nucleus for this network solidified during 1996 and the project began moving into a "multiplier" stage as the lead NGOs reached out to more than 60 other NGOs with initial training and technical assistance efforts. The response from this first stage of contact has exceeded expectations and required some revision of the initial design. It appears necessary to accommodate a larger second tier of multiplier organizations or to set criteria to be more selective in determining which organizations serve as focal points in each country. The initial plan was to select 20 organizations (four working with each lead NGO split between two countries) to serve as multiplier organizations working within their country with other NGOs.

These activities also serve as major contributors to follow-up efforts to the Miami Summit under Action item 3, "Invigorating civil society/citizen participation". The lead organizations and Partners played an important role in contributing to a meeting in Uruguay to development of a statement on civil society for the Santa Cruz summit. They have also become integrated into a regional effort to promote civic education galvanized by the the CIVITAS conference in Argentina in October. The lead organizations attended the conference and are a part of subregional and country-specific follow-up efforts to develop strategies for civic education efforts. These activities enrich and broaden their efforts to build a network of civil society organizations that share information and expertise and provide mutual support.

Recognizing that a major challenge in building democracy in LAC is to broaden political participation and address issues of political competition, DHR had proposed analytic activities to better understand the political dynamics associated with political parties and interest groups and perhaps develop pilot activities. This effort was a casualty of Bureau budget cuts and has been deferred to next year.

Another major regional initiative in support of pluralism and civil society has been the Latin American Journalism project which has involved nearly 5,000 journalists over the last few years and generated bilateral activities in Panama, Bolivia, Nicaragua, and Peru. These activities have initiated establishment of standards of professionalism and ethics among journalists in the region. The training center established in Panama provided training to 278 men and women over the last year. The center will be turned over to the Latin Americans on April 3, 1997, which will coincide with the First Inter-American Journalism Conference sponsored by the center. DHR plans a one-year no-cost extension of the project to help offset the costs of seminars in enable the center to build its endowment faster during the center's first year of operation, and to continue the publication of Pulso magazine which provides a vehicle for continued training and outreach to journalists.

2. Expected Progress through FY 1999 and Management Actions

DHR expects to accomplish its objectives through FY 1999, providing adequate budget resources are made available. On the understanding that democratization proceeds in "fits and starts" and some indicators may fall short while others exceed expectations, the general progress in each area suggests that activities are on track to meet overall objectives by 1999. The following will be accomplished over the next two years:

- Completion of the IIDH Strategic Review, critical to determining the future focus and structure of IIDH efforts and, ultimately, its strength and reach as an institution promoting human rights in the region. For USAID, review results will be a critical factor leading to three related management actions: extension of the existing IIDH grant, which has not been fully funded, for up to one year, a decision on the future level and focus of USAID support to IIDH, and developing a new assistance instrument for IIDH.
- Under the existing project supporting decentralization and democratic local governance, DHR will incorporate regional support based on the recommendations of the assessment team that visited South America and consultations with USAID missions, and review RHUDO's regional effort to promote local governance in Central America.
- Devise a mechanism to examine/develop strategies to incorporate groups into the democratic process which have traditionally been excluded. Although only a small initial effort is envisioned, some examination is needed to address a problem common to much of the region - that is, the various disadvantaged social or economic groups which have not been drawn into democratic changes.

RESULTS FRAMEWORK FOR STRATEGIC OBJECTIVE

AGENCY GOAL
BUILDING DEMOCRACY

Development Hypothesis
Promoting or countering key trends involving human rights, judicial reform, personal security, pluralism, civil society, decentralization, accountability, and legitimacy of public institutions can contribute to deepening democracy

Reinforcement of regional trends that deepen democracy in Latin America and the Caribbean

Intermediate Result #1
Strengthened regional mechanisms to promote human rights and rule of law

Activities
Expanded activities that promote human rights monitoring
Timeframe: 95-98
Partners: IIDH

598-0591 Human Rights Initiatives

Core funding for IIDH for human rights activities

Activities
Information exchanges to promote judicial reform & incorporate police training
Timeframe: 94-98
Partners: DOJ

598-0642 Regional Administration of Justice

RSSA with the Department of Justice

Activities of Bilateral Missions and the Global Center for Democracy and Governance that promote human rights and rule of law, improved public sector legitimacy, expanded pluralism, and more politically active civil society

Intermediate Result #2
Strengthened regional mechanisms to improve public sector legitimacy

Activities
Expanded activities that promote free, fair, and transparent elections
Timeframe: 95-98
Partners: IIDH/CAPEL

598-0591 Human Rights Initiatives

Core funding for IIDH/CAPEL for election activities

Activities
Increased opportunity to share local government and decentralization experience
Timeframe: Annual
Partners: RHUDO, Missions, IDB, WB

598-0799 Local Governance and Municipal Development

RHUDO/FIU activities in Paraguay, Inter-American Mayors Conference, support for regional municipal associations

Activities
Increased opportunity to share legislative strengthening experiences
Timeframe: 97-99
Partners: TBD

Ad hoc activities

Activities
Expanded programs to promote government accountability
Timeframe: 93-98
Partners: Casals IDB, World Bank Missions

598-0800 Regional Accountability and Financial Management

Anticorruption and government financial management reform activities

Activities of other major donors and individual governments that result in activities that promote human rights and rule of law, improved public sector legitimacy, expanded pluralism and more politically active civil society

Intermediate Result #3
Strengthened regional mechanisms to promote pluralism and civil society

Activities
Establishment of regional programs to assist NGOs and representative institutions
Timeframe: 97-99
Partners: PARTNERS Lead LAC NGOs, TBD

598-0813 Regional Civic Education & Expanded Pluralism Partnerships between U.S. and LAC civic education groups and establishment of regional NGO civil society network, survey analysis, pilot projects

Activities
Improved training opportunities for Latin American Journalists
Timeframe: 92-98
Partners: FIU

598-0802 Latin American Journalism Project

Training programs & establishment of Regional Training Center in Panama

STRATEGIC OBJECTIVE NO. 5

PERFORMANCE DATA TABLES

STRATEGIC OBJECTIVE NO. 5: Reinforcement of regional trends that deepen democracy in LAC.			
APPROVED: Pending			
SO INDICATOR: Extent to which regional program reinforces trends that deepen democracy in LAC.			
<p>UNIT OF MEASURE: 5-point scale (still to be operationalized).</p> <hr/> <p>SOURCE: Quantification of judgments of a panel of experts convened annually.</p> <hr/> <p>INDICATOR DESCRIPTION: Two parts: Identification of key regional DHR trends and expert judgement about the extent to which Regional DHR program has contributed to them.</p> <hr/> <p>COMMENTS: Direct quantitative measurement of trends and meaningful higher level democracy results at the regional, SO level is virtually impossible. To get around that problem, DHR will use a Freedom House-type methodology, quantifying the qualitative judgements of a panel of regional experts.</p>	Year	Planned	Actual
	1996	xxxxxx	baseline TBD
	1997	see comment	
	1998		
	1999		
	2000		
	2001		
	2002		
	2003		

STRATEGIC OBJECTIVE NO. 5: Reinforcement of regional trends that deepen democracy in LAC.

APPROVED: Pending

INTERMEDIATE RESULT 5.1: Strengthened regional mechanisms to promote human rights and the rule of law.

INDICATOR 5.1.1: Diversification of core financial support for IIDH (Internat'l Institute for Human Rights).

UNIT OF MEASURE: Percentage.

SOURCE: IIDH Financial Report

INDICATOR DESCRIPTION: Percentage of IIDH core institutional budget which comes from non-USAID sources. Indicator includes only USAID core support, not Mission support from bilateral budgets for specific purposes which varies greatly from year to year.

COMMENTS: IIDH's core institutional support has become much more diversified during the years of USAID support, in large part as a result of LAC donor coordination efforts. Continuing gradual reduction of USAID core institutional support is expected, though specific targets after 1998 are tentative and will be decided after IIDH's strategy review (now underway) and very likely incorporated into new grant.

Year	Planned	Actual
1979	Historical	Est. near 100%
1996	Baseline	25%
1997	24%	
1998	22%	
1999	20%	
2000	18%	
2001	16%	

STRATEGIC OBJECTIVE NO. 5: Reinforcement of regional trends that deepen democracy in LAC.

APPROVED: Pending

INTERMEDIATE RESULT 5.1: Strengthened regional mechanisms to promote human rights and rule of law.

INDICATOR 5.1.2: Demand for IIDH human rights services.

UNIT OF MEASURE: Number of requests (still to be worked out with IIDH). Must determine which types of requests to count, and how/whether to weight requests of different magnitude.

SOURCE: IIDH Administration to report.

INDICATOR DESCRIPTION: Two parts: The number of requests received by IIDH (from other countries in the region, from regional organizations, etc.) for technical assistance, training or other assistance. And the rate of response by IIDH. Still to be operationalized by IIDH.

COMMENTS: In principle, this indicator seems possible, though such data has not been systematically collected or reported by IIDH in the past. Must work out a system for reporting it with IIDH, and make 1997 the baseline year. The main problem in operationalizing is expected to be combining different types of requests (i.e., training and TA, or for assistance requiring greatly differing levels of effort).

Year	Planned	Actual
1997	baseline	TBD
1998	TBD	
1999	TBD	
2000		
2001		
2002		

STRATEGIC OBJECTIVE NO. 5: Reinforcement of regional trends that deepen democracy in LAC.

APPROVED: Pending

INTERMEDIATE RESULT 5.1: Strengthened regional mechanisms to promote human rights and rule of law.

INDICATOR 5.1.3: Strengthened bilateral administration of justice/rule of law programs.

UNIT OF MEASURE: Narrative/Qualitative	Year	Planned	Actual
SOURCE: Department of Justice/RSSA reporting and Mission feedback.	1996	see narrative	see narrative
INDICATOR DESCRIPTION: Narrative describing AOJ/RoL assistance during previous year and incorporating Mission response on its impact/usefulness. Results related to this activity are dependent on specific requests for assistance, so will vary greatly from year to year.	1997		
COMMENTS: This indicator does not lend itself to quantitative measurement, so will require qualitative reporting.	1998		
Over the past 12 months, the DOJ RSSA provided strategic assistance to 11 country programs, including Haiti, Mexico, and Brazil. The Haiti and Brazil programs were significantly modified as a result.	1999		

STRATEGIC OBJECTIVE NO. 5: Reinforcement of regional trends that deepen democracy in LAC.

APPROVED: Pending

INTERMEDIATE RESULT 5.2: Strengthened regional mechanisms to improve public sector legitimacy.

INDICATOR 5.2.1: Demand for CAPEL electoral assistance.

UNIT OF MEASURE: Number of Requests	Year	Planned	Actual
SOURCE: Report by IIDH/CAPEL	1996	baseline	5 (est)
INDICATOR DESCRIPTION: Technical assistance requests received by CAPEL through electoral commissions or regional electoral associations.	1997	5	
COMMENTS: Though CAPEL reports present a picture of extensive assistance to LAC countries and to regional electoral associations, requests were not systematically counted and reported before. Current baseline figures and targets are notional and may have to be adjusted after working out new reporting with CAPEL. Assistance requests may eventually diminish as national electoral practices and regional electoral associations are more institutionalized. A current issue: under new USAID assistance rules, it may be more difficult for USAID Missions to access CAPEL assistance, than to access US organizations through existing IQCs or cooperative agreements.	1998	6	
	1999	6	

STRATEGIC OBJECTIVE NO. 5: Reinforcement of regional trends that deepen democracy in LAC.

APPROVED: Pending

INTERMEDIATE RESULT 5.2: Strengthened regional mechanisms to improve public sector legitimacy.

INDICATOR 5.2.2: Sharing of decentralization/local government development experience.

UNIT OF MEASURE: Number of DLG forums and participants in those forums.

SOURCE: Project reports.

INDICATOR DESCRIPTION: Number of forums supported by regional project, and number of participants in those forums.

COMMENTS: Numbers and targets are not established yet, as the regional DLG project is to be refocused this year. Targets will be set pending decisions later this year about refocusing the regional support, based on a regional assessment.

Year	Planned	Actual
1996	baseline	
1997	x forums yyy persons	
1998	x forums yyy persons	
1999	x forums yyy persons	
2000		
2001		

STRATEGIC OBJECTIVE NO. 5: Reinforcement of regional trends that deepen democracy in LAC.

APPROVED: Pending

INTERMEDIATE RESULT 5.2: Strengthened regional mechanisms to improve public sector legitimacy.

INDICATOR 5.2.3: Participation in accountability and anti-corruption forums.

UNIT OF MEASURE: Number of forums/number of persons (direct participants) attending them.	Year	Planned	Actual
SOURCE: RMFIP Reporting.	1996	2 / 2000	5 / 4650
INDICATOR DESCRIPTION: Number of forums/number of persons participating in them.	1997	2 / 3000	
COMMENTS: RFMIP has leveraged project personnel and funds by providing minimal support to conferences initiated by other organizations, thus greatly increasing the number of activities and participants where key financial management and anticorruption themes are addressed. Decrease in 1998 will be due to winding down of project.	1998	1 / 150 (comment)	

STRATEGIC OBJECTIVE NO. 5: Reinforcement of Regional Trends that Deepen Democracy in LAC.

APPROVED: Pending

INTERMEDIATE RESULT 5.2: Strengthened regional mechanisms to improve public sector legitimacy.

INDICATOR 5.2.4: Actions to promote accountability & anticorruption efforts.

UNIT OF MEASURE: Number of countries with new donor-supported accountability and anticorruption activities during the year.

SOURCE: RFMIP reporting.

INDICATOR DESCRIPTION: Number of countries with new donor-supported accountability activities initiated during the year.

COMMENTS: No other donors were working in the area of accountability and anticorruption prior to RFMIP. The project actively encouraged other donor support by setting up a continuing donor coordination council. Most other donor activity in the area originated from those project activities. Project funding ends in 1988, but a cumulative total of 18 countries with accountability and anticorruption activities is expected by 2000.

Year	Planned	Actual
1994	2	5
1995	5	5
1996	3	4
1997	3	
1998	0	

STRATEGIC OBJECTIVE NO. 5: Reinforcement of regional trends that deepen democracy in LAC.

APPROVED: Pending

INTERMEDIATE RESULT 5.2: Strengthened regional mechanisms to promote pluralism & civil society.

INDICATOR 5.2.5: Growth of regional civil society network.

UNIT OF MEASURE: Cumulative number of organizations brought into the civil society network.

SOURCE: Partners of the Americas reports.

INDICATOR DESCRIPTION: Cumulative organizations brought into the civil society network.

COMMENTS: Under the Regional Civic Education Project, partnerships and exchanges promoting civil society are supported in 13 countries through Partners of the Americas. Starting with 5 lead NGOs, the project strategy is to strengthen them, then use them as multipliers in planned phases to give TA and help strengthen subsequent tiers. In the absence of a direct practical measure of how much each of the many organization is strengthened, the cumulative number of organizations actively involved in the network through the lead NGOs is the most workable measure. This will be supplemented with qualitative information on a sampling of organizations strengthened.

Year	Planned	Actual
1996	5	5
1997	25	
1998	25	
1999	85	
2000	85	

STRATEGIC OBJECTIVE NO. 5: Reinforcement of trends that deepen democracy in LAC.

APPROVED: Pending

INTERMEDIATE RESULT 5.3: Strengthened regional mechanisms to promote pluralism and civil society.

INDICATOR: Professionalism of journalists.

UNIT OF MEASURE: Number of journalists.

SOURCE: LAJP Reports.

INDICATOR DESCRIPTION: Number of Journalists who received training under LAJP.

COMMENTS: Journalists have been trained under the project in a wide range of topics at the core of journalistic professionalism (journalistic ethics, role of press in a democracy, investigative reporting, environment, newsroom production, editing and writing). Though the number of persons trained is obviously not a direct measure of professionalism, it is the only practical measure of impact for such a region-wide objective. Project ends in 1997.

Year	Planned	Actual
1995	historical	572
1996	baseline	278
1997	100	

Special Objective #6: To equip a broad-base of leaders and potential leaders in LAC countries with technical skills, training and academic education

SpO Ranking: Met Objectives

Introduction

LAC/RSD's participant training strategy is based on the hypothesis that to bring about long-term impact and sustainable development, two factors are critical: (1) a stable developing social, political and economic environment conducive to economic growth; and (2) an educated, civically-aware and skilled population with capable leaders to manage and implement programs and policies. One of the core concepts in participant training has been the effort to focus on specific targeted populations - the academically gifted and the economically disadvantaged - most of whom have been young, rural and indigenous or government officials sent for academic or technical studies - with the potential to make a contribution to their countries and bring about positive change.

The range and depth of subject matter content (e.g. advanced economics, small business management, health administration) offered to participants, combined with the opportunity to experience American culture first-hand, has been a key factor not only in program performance but in achieving results.

Evidence of the positive impact that USAID trainees have made on their communities and institutions upon completion of their training is substantial. As resources for long-term U.S.-based training decline, it is important to ensure that program and participant performance is not affected.

1. Performance Analysis

Over the last year, progress under this Special Objective at the SO and IR levels has remained consistently high, exceeding expectations. The main activities under this SpO are Advanced Training in Economics (ATIE) and the Caribbean and Latin American Scholarship Program (CLASP II).

ATIE has provided long-term participant training to produce a significant number of professionally trained economists who are starting to have a substantive impact on the quality of economic analysis and policy implementation in the region. Ninety percent of the 158 ATIE graduates (25 percent women) are serving in key government offices (some are advisors or special assistants to presidents and vice presidents of their countries), and as directors of central banks, heads of ministries, and in important positions in the private sector. Many ATIE graduates are now teaching in public and private universities, thereby producing a multiplier effect through the training of future economists.

Under the CLASP program, 23,805 individuals have initiated training in the United States, 16,613 under CLASP I and 7,192 under CLASP II. Of the total number of CLASP participants 10,704, (45 percent) were women. In late 1996, 285 students completed two-year programs, and 30 completed short-term programs and returned to their countries to begin employment.

IR#1: Leaders and potential leaders from LAC successfully completed U.S and LAC training.

Recent evaluation data have shown:

- Trainees have reported that the training helped them improve their performance at work (88.6 percent) and learn new skills (85.3 percent), and that they have found CLASP training useful for their career goals (87.9 percent).
- An estimated 81.6 percent of trainees attribute increase in salary at least in part to their U.S. training.
- Approximately 91 percent of all recently returned trainees are employed. The figure is slightly higher among ATIE graduates, at 94.7 percent.

IR#2: Returned trainees active, influential in the community and their professions.

Among all CLASP trainees, 20,688 individuals (87 percent) are from socially, ethnically or economically disadvantaged backgrounds. Over 75 percent of returned participants took part in volunteer activities and 55 percent assumed leadership roles.

IR#3: Returnees find new jobs or increased responsibility and/or earning on the old job.

- Of CLASP trainees returned six months or longer, 69 percent received salary increases and 79 percent reported they had increased work responsibilities. ATIE graduates serve in key government jobs.
- To respond to the economic crisis in Haiti, a special follow-on program was developed. The focus was to increase immediate employment levels among CLASP alumni. The first action was a fact finding trip to Haiti to identify potential areas for alumni employment and a qualified candidate for a new Follow-on Specialist position. Subsequent to this trip, a Follow-on Specialist was hired and the results of her work have truly been impressive. Within months of being hired, employment levels among CLASP returnees quickly rose to more than 80 percent.

IR#4: Returnees maintain U.S. ties

- The number of participants maintaining ties in the United States has held constant at between 10 to 11 percent. Graduates tend to maintain ties through membership in job-related international associations, or institutions of higher education.

2. Expected Progress Through FY 1999 and Management Actions

Students from 13 LAC countries have participated in the ATIE program. The remaining seven students currently obtaining advanced degrees under the ATIE project will complete their studies and will go on to fill positions as economists in either the government or private sector.

The Georgetown component of CLASP II - Cooperative Association of State Schools for Scholarships (CASS) - will:

- Complete the training of 295 students who began two years ago in September 1995 and identify and place the final group of about 250 students who start training in September 1997.
- Refine the CASS approach to short-term training programs and training of indigenous women.
- Strengthen the reentry component to assist women graduates with their search for employment in non-traditional fields of study.

SPECIAL OBJECTIVE NO. 6

PERFORMANCE DATA TABLES

SPECIAL OBJECTIVE NO. 6: A broad-base of leaders and potential leaders in LAC countries equipped with technical skills and academic education.			
APPROVED: 9/30/90			
SpO INDICATOR 1: Leaders and potential leaders from LAC successfully completed U.S. and LAC training.			
UNIT OF MEASURE: Number of leaders trained annually. <hr/> SOURCE: A/FF Annual Quarterly Reports. <hr/> INDICATOR DESCRIPTION: <hr/> COMMENTS: Prior planned figure of 650 for 1996 was in error. Total number of participants 1985-1995 is 20,454.	Year	Planned	Actual
	1995	-----	20,454
	1996	650	315
	1997	295	
	1998	255	
	1999	240	
	Target	21,559	21,559

SPECIAL OBJECTIVE NO. 6: A broad-base of leaders and potential leaders in LAC countries equipped with technical skills, training and academic education.

APPROVED: 9/30/91

INTERMEDIATE RESULT 6.1: Returned students employed in area of expertise and applying skills, leadership.

INDICATOR 6.1: Number of returnees employed.

UNIT OF MEASURE: % employed.

SOURCE: A/FF Annual quarterly reports.

INDICATOR DESCRIPTION:

COMMENTS:

Year	Planned	Actual
1995	-----	89%
1996	89%	90%
1997	90%	
1998	91%	
1999	91%	
Target	91%	

SPECIAL OBJECTIVE NO. 6: A broad-base of leaders and potential leaders in LAC countries equipped with technical skills, training and academic education.

APPROVED: 9/30/91

INTERMEDIATE RESULT 6.2: Returned trainees active, influential in community, professions.

INDICATOR 6.2: Number, level, and type of community professional activities returnees are involved in after training.

UNIT OF MEASURE: Percent of participation in community activity.

SOURCE: IA/FF Annual and Quarterly reports.

INDICATOR DESCRIPTION: Participation is voluntary association /involvement in community or civic activity, such as community development projects, municipal elections, or the PTA.

COMMENTS:

Year	Planned	Actual
1995	-----	89%
1996	89%	89%
1997	90%	
1998	90%	
1999	90%	
	90%	

SPECIAL OBJECTIVE NO. 6: A broad-base of leaders or potential leaders in LAC countries equipped with technical skills, training and academic education.

APPROVED: 9/30/91

INTERMEDIATE RESULT 6.3: Returnees find new jobs or increased responsibility/earning in old job.

INDICATOR 6.3: Returnees with new jobs or increased earnings.

UNIT OF MEASURE: Percentage of returnees.	Year	Planned	Actual
SOURCE: IA/FF Annual Quarterly Reports.	1995	-----	82%
	1996	82%	81%
INDICATOR DESCRIPTION:	1997	85%	
COMMENTS:	1998	85%	
	1999	85%	
	Target	83%	

SPECIAL OBJECTIVE NO. 6: A broad-base of leaders and potential leaders in LAC countries equipped with technical skills, training and academic education.

APPROVED: 9/30/91

INTERMEDIATE RESULT 6.4: Returnees maintain U.S. ties.

INDICATOR 6.4: Returnees who maintain ties in the U.S.

UNIT OF MEASURE: Percentage of returnees.	Year	Planned	Actual
SOURCE: IA/FF Annual Quarterly reports.	1995	-----	11%
	1996	11%	11%
INDICATOR DESCRIPTION:	1997	11%	
COMMENTS:	1998	11%	
	1999	12%	
	Target	12%	

III. Status of the Management Contract

Since the last R4 DAEC, substantial progress has been made in LAC Regional program design and implementation. Four of six Results Frameworks have been fully approved (SOs #1, #2 and #4 and SpO #6) and two others (SO #3 Health and SO #5 Democracy) are ready for approval. The July 1996 LAC Regional Program Management Contract is still relevant and is in the process of being carried out by respective SO Teams and other management-level teams. For all six SOs, the SO, Results Package and Intermediate Results Teams meet regularly and collaboration has been highly professional, personally rewarding to participants and productive. For all six SOs, implementation proceeded but was subject to peripatetic availability and release of funds and successive budget cuts caused pain, particularly acute in the case of SO #1. While some important activities had to be eliminated and others delayed, the overall thrust of the Regional program Management Contract is still valid.

The only major change to the Strategic Framework of the Regional Program as presented in last year's DAEC has been the consolidation of two health Strategic Objectives into one over the past year. The purpose was to relate subcomponents on health services and policy more tightly, rationalize budget planning and make the overall new Strategic Framework administratively easier to handle. The purposes and content of the health SO were not changed in the process. The budget presented in this R4 for the "merged" SO is the sum of the planned budgets for the two SOs and is still required in its entirety.

SO #1, Free Trade (HFTE), has taken the hardest budget "hit" as unrestricted funds have been reduced dramatically over the past year. In FY 1999, the SO Team had planned to obligate \$1.34 million for economic growth activities. Given funding realities, the Team is now requesting \$1.185 million and has been forced to establish an internal priority among SO components and HFTE activities which will need to be even more rigorously applied should the funding situation worsen. The SO #1 Team is not requesting a change in its basic Management Contract and will proceed on the assumption that funding will be available for FY 1999 to allow completion of work and achievement of results, more or less, as planned.

The Team for SO #4, Environment (PiP), is seeking no changes in its Management Contract. However, an extension of two to three years in the LOP will be necessary to meet PiP site goals as new sites will be initiated in the third quarter of FY 1997 that will need the additional years to become sustainable. The LOP extension is necessary to fully capture the "lessons learned" from this SO. In addition, OYB transfers from LAC Missions, while planned in the text of the PiP cooperative agreement, were not included fully in the budget resulting in an understatement of the required authorization level. An increase in the authorization level will be requested to compensate for this oversight. The action will not represent an increase in USAID funding initially anticipated to achieve the SO.

The Results Framework for SO #5, Democracy, has been under review by the LAC Bureau and Global Bureau since August 1996 to address issues raised by last year's DAEC. Discussions that have delayed the clearance process for the Results Framework within the Bureau have largely focused on issues involving indicators and presentation - which now appear to have been largely resolved. There is a need to bring these discussions to closure as soon as possible to allow the Bureau to proceed with the SO. Appropriate definitions of SOs, results and indicators in the democracy sector are still the subject of considerable general debate, even among external experts, and especially for objectives for a program that operates on a regional basis. DHR proposes that we go forward based on some reasonable

consensus. To this end, DHR has drafted a Results Framework that is within its manageable interests and appropriate for the Bureau's work. RSD requests that any issues not resolved through consultations within the Bureau and with Global prior to publication of this document be dealt with during Program Week, and that the AA/LAC review the proposed Results Framework and any unresolved issues as part of the DAEC process, if it has not been approved by that time.

IV. Resource Request

The following tables present the proposed LAC Regional program budget over the R4 period, FY 1997-99. In last year's R4 and during the process of Bureau budget consultations, RSD advised the AA of the progress, needs and absorptive capacity of Regional program SOs. Taking into consideration the latest information on availability of funds to the Agency and Bureau, particularly regarding earmarks and "unrestricted" funding, our estimates have been revised. We request approval of the following minimum resources, including adjustments to the program levels for FY 1997 and 1998 that have either been approved or are expected to be approved: FY 1997, \$34.11 million; FY 1998, \$29.92 million; FY 1999, \$28.75 million. The Regional program has been operating with 12 months or less in the pipeline and for the period FY 1997-99 that is likely to remain the case. The proposed funding levels are consistent with resources proposed by the Bureau in annual CPs and BBS exercises.

Budget Observations

SO#1, Free Trade/HFTE

Within the SO #1 Results Framework, funding for the Trade and the Environment IR is essentially earmarked. Therefore, flexibility to make changes in the program is confined to the other intermediate results. The approach in terms of funding prioritization will continue to be as follows:

First priority to IR #1 Trade Liberalization. Based on the priority of assisting smaller-economy countries to move toward FTAA membership negotiation, this intermediate result will support and provide leadership in establishing the FTAA Secretariat and narrow focus to assisting the Andean and Caribbean subregions.

Second priority to IR #2 Trade and Market Participation. This program component emphasizes equity issues and will receive equal weight as the environment component of SO #1.

Third priority to eliminating the Trade and Labor/Management Relations IR.

Fourth priority to curtailing or eliminating Market Participation.

The HFTE program was approved for LOP funding of \$10.8 million, of which \$3.0 million was planned for IR#4, relating to environmental sustainability. Within the original LOP and IR#4 funding levels, a number of catalytic trade and environment activities have been identified for targeted trading blocs. The HFTE program provides an effective, unique and flexible mechanism to address key trade and environment issues through regional action, and could be utilized to address additional trade and environment concerns not currently supported under IR#4 (e.g. issues related to sustainable agriculture; tourism; pollution

prevention in industries). However, additional earmarked environment funding that becomes available to the Bureau cannot automatically be absorbed in this SO without serious consideration of a change to the HFTE LOP. Specifically, in FY 1998, accepting \$1.5 million (instead of the planned \$870,000) would exceed the planned \$3 million environmental LOP, and distort the balance within the HFTE program by restricting funding for key trade and economic growth activities under the other three intermediate results. RSD believes it is too early to actually propose a change in the LOP, particularly in view of uncertainty regarding unrestricted funding for trade IRs. However, over the coming year, the SO Team and Bureau may, after the necessary RSD staff work, be asked to consider the merits of and requirements for increasing HFTE LOP funding to permit some balanced expansion of both trade and environment efforts.

SO#5, Democracy

SO#5 has been given a budget ceiling of \$5.4 million for FY 1998 which will require some reduction in planned efforts to carry out the program as proposed. Specifically, it will mean a reduction in the planned level of support for IIDH, delaying some activities under RFMIP, limiting the scale of regional activities supporting exchange of information and activities in the area of democratic local governance, and only minimally meeting the needs of the civil society network. Based on the budget reductions of FY 1997, DHR has already postponed development of planned activities focused on Expanding Pluralism and suspended plans for a Legislative Linkages activity in favor of occasional ad hoc efforts using Global Bureau Center for Democracy and Governance mechanisms. The new activities to promote regional exchange of experience and information on decentralization and democratic local governance that are currently being developed will be started this year with a minimal initial obligation of \$350,000.

The requirements to fully meet the objectives outlined in the Results Framework for FY 1998 imply a budget level of \$6.5 million that would: 1) adequately fund activities undertaken by IIDH and CAPEL; 2) meet the full implementation needs of the RFMIP and Regional Civil Society activities; 3) adequately fund the newly started regional initiative in support of democratic local governance and decentralization; and 4) allow the development of the planned new activities to address political competition and pluralism. If new funding cannot be considered at an appropriate time, some IRs will have to be modified. As noted above, results associated with support to IIDH and RMFIP would be among the first casualties of lower budget figures as well as planned activities to promote democratic local governance and pluralism.

SO #5 funding needs will be considered along with the merits of additional funding for HFTE's trade and environment components, in the exercise referred to under SO #5.

SpO #6, Training

A Congressional earmark for the CASS (Georgetown University) component of the CLASP program is set annually by Congress. The current Project Assistance Completion date is September 30, 1999. The Regional program budget request reduces CASS/Georgetown funds from \$13.75 million in FY 1997 to \$10 million respectively in FY 1998 and 1999. In FY 1996, 279 students began a two year program of studies. Therefore, the FY 1997 intake of new students will have to be reduced considerably to remain consistent with the phasing down of the project. Pending a decision on whether the earmark will continue,

additional resources are not anticipated beyond FY 1999. However, an extension of the LOP and an increase in the authorized funding level will be needed in order to take all remaining students in the program through the concluding year of their studies.

USAID FY 1997 Budget Request by Program/Country
(\$000)

27-Feb-97
03:07 PM

Country/Program: LAC REGIONAL

S.O. #	Title	Approp Acct	Bilateral/Field Spt	Est. SO Pipeline at end of FY 96	FY 1997 Request								Est Expend. FY 97	Est Total cost life of SO	Mortgage at end of 1997		
					FY 1997 Total Request	Basic Education for Childrn	Other Economic Growth	Population	Child Survival	HIV/AIDS	Other Health	Environ				D/G	
SO 1: Progress Toward Resolving Key Market Issues Impeding Environmentally Sound and Equitable Free Trade in the Hemisphere																	
	DA	Bilateral	100	1,693	0	1,223	0	0	0	0	0	470	0	0	0		
	DA	Field Spt	0	1,348	0	488	0	0	0	0	0	860	0	0	0		
		Total	100	3,041	0	1,711	0	0	0	0	0	1,330	0	1,500	10,800	4,555	
SO 2: Improved Human Resource Policies Adopted in Selected LAC Countries																	
	DA	Bilateral	2,500	500	500	0	0	0	0	0	0	0	0	1,210	6,141	3,141	
	DA	Field Spt		327	327	0	0	0	0	0	0	0	0	227	1,005	778	
		Total	2,500	827	827	0	0	0	0	0	0	0	0	1,437	7,146	3,919	
SO 3: More Effective Delivery of Selected Health Services and Policy Interventions																	
	DA	Bilateral	1,600	4,295	0	0	0	3,981	0	314	0	0	0	2,930	15,600	9,056	
	DA	Field Spt		2,305	0	0	0	2,129	0	176	0	0	0	1,685	10,400	8,510	
		Total	4,517	6,600	0	0	0	6,110	0	490	0	0	0	4,615	26,000	17,566	
SO 4: Protection of Selected Parks and Reserves Important to Conserve the Hemisphere's Biological Diversity																	
	DA	Bilateral	7,000	4,020	0	0	0	0	0	0	0	4,020	0	6,620	20,780	9,840	
	DA	Field Spt		420	0	0	0	0	0	0	0	420	0	320	1,510	850	
		Total	7,240	4,440	0	0	0	0	0	0	0	4,440	0	6,940	22,290	10,690	
SO 5: Reinforcement of Regional Trends that Strengthen Democracy																	
	DA	Bilateral		1,835	0	0	0	0	0	0	0	0	1,835				
	ESF	Bilateral		3,000	0	0	0	0	0	0	0	0	3,000				
		Field Spt															
		Total	1,330	4,835	0	0	0	0	0	0	0	0	4,835	5,035	30,000	5,500	
SPO 1A Broad Base of Leaders and Potential Leaders in LAC Countries Equipped with Technical Skills, Training and Academic Education																	
	DA	Bilateral	15,480	13,750	0	13,750	0	0	0	0	0	0	0	14,750	140,750	17,027	
		Field Spt		0	0	0	0	0	0	0	0	0	0	0	0	0	
		Total	15,480	13,750	0	13,750	0	0	0	0	0	0	0	14,750	140,750	17,027	
Other Activities in Support of Agency Objectives																	
		Bilateral		0	0	0	0	0	0	0	0	0	0				
		Field Spt		620	0	0	0	0	0	0	0	0	0				
		Total	0	620	0	0	0	0	0	0	0	0	0	0	0	0	
		Bilateral		0	0	0	0	0	0	0	0	0	0				
		Field Spt		0	0	0	0	0	0	0	0	0	0				
		Total	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
Total Bilateral - DA				26,093	500	14,973	0	3,981	0	314	4,490	1,835					
Total Bilateral - ESF				3,055	0	0	0	0	0	0	0	3,055					
Total Field Support				5,020	327	488	0	2,129	0	176	1,280	0	2,232	12,915	10,138		
TOTAL PROGRAM				31,167	34,113	827	15,461	6,110	0	490	5,770	4,835	34,277	236,986	59,257		

FY 97 Budget Request by Appropriation - (\$000's)	
Development Assistance	31,113
Development Fund for Africa	0
Economic Support Funds	3,000
SEED	0
FSA	0
PL 480 Title II	0
PL 480 Title III	0
Micro & Small Ent. Dev. Credit Program	0
Housing Investment Guarantee Program	0
Enhanced Credit Program	0
Disaster Assistance	0

1054

USAID FY 1998 Budget Request by Program/Country
(\$000)

27-Feb-97
03:07 PM

Country/Program: LAC REGIONAL

S.O. #	Title	Est. SO Pipeline at end of FY 97	FY 1998 Request									Est Expend. FY 98	Est Total cost life of SO	Mortgage at end of 1998	
			FY 1998 Total Request	Basic Education for Chldrn	Other Economic Growth	Population	Child Survival	HIV/AIDS	Other Health	Environ	D/G				
SO 1: Progress Toward Resolving Key Market Issues Impeding Environmentally Sound and Equitable Free Trade in the Hemisphere															
DA	Bilateral	0	2,460	0	1,700	0	0	0	0	0	760	0	0	0	
DA	Field Spt	0	1,540	0	800	0	0	0	0	0	740	0	0	0	
	Total	1,641	4,000	0	2,500	0	0	0	0	0	1,500	0	3,000	10,800	555
SO 2: Improved Human Resource Policies Adopted in Selected LAC Countries															
DA	Bilateral	1,790	1,300	1,300	0	0	0	0	0	0	0	0	1,448	6,141	1,841
DA	Field Spt	100	200	200	0	0	0	0	0	0	0	0	200	1,005	578
	Total	1,890	1,500	1,500	0	0	0	0	0	0	0	0	1,648	7,146	2,419
SO 3: More Effective Delivery of Selected Health Services and Policy Interventions															
DA	Bilateral	2,965	2,340	0	0	0	1,908	0	432	0	0	0	4,335	15,600	5,481
DA	Field Spt	3,537	1,660	0	0	0	1,252	0	408	0	0	0	2,935	10,400	3,593
	Total	6,502	4,000	0	0	0	3,160	0	840	0	0	0	7,270	26,000	9,074
SO 4: Protection of Selected Parks and Reserves Important to Conserve the Hemisphere's Biological Diversity															
DA	Bilateral	4,400	4,580	0	0	0	0	0	0	0	4,580	0	6,695	20,780	5,280
DA	Field Spt	340	420	0	0	0	0	0	0	0	420	0	320	1,510	430
	Total	4,740	5,000	0	0	0	0	0	0	0	5,000	0	7,015	22,290	5,690
SO 5: Reinforcement of Regional Trends that Deepen Democracy															
DA	Bilateral	1,130	5,400	0	0	0	0	0	0	0	0	5,400			
	Field Spt		0	0	0	0	0	0	0	0	0	0			
	Total	1,130	5,400	0	0	0	0	0	0	0	0	5,400	6,050	30,000	12,000
SPO 1A Broad Based of Leaders and Potential Leaders in LAC Countries Equipped with Technical Skills, Training and Academic Education															
DA	Bilateral	15,691	10,000	0	10,000	0	0	0	0	0	0	0	14,126	140,750	7,027
DA	Field Spt		0	0	0	0	0	0	0	0	0	0			
	Total	15,691	10,000	0	10,000	0	0	0	0	0	0	0	14,126	140,750	7,027
	Bilateral		0	0	0	0	0	0	0	0	0	0			
	Field Spt		0	0	0	0	0	0	0	0	0	0			
	Total	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Bilateral		0	0	0	0	0	0	0	0	0	0			
	Field Spt		0	0	0	0	0	0	0	0	0	0			
	Total	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Bilateral - DA			26,080	1,300	11,700	0	1,908	0	432	5,340	5,400				
Total Field Support - DA			3,820	200	800	0	1,252	0	408	1,160	0				
TOTAL PROGRAM			31,594	29,900	1,500	12,500	0	3,160	0	840	6,500	5,400	39,109	236,986	36,765

FY 98 Budget Request by Appropriation - (\$000's)

Development Assistance	29,900
Development Fund for Africa	0
Economic Support Funds	0
SEED	0
FSA	0
PL 480 Title II	0
PL 480 Title III	0
Micro & Small Ent. Dev. Credit Program	0
Housing Investment Guarantee Program	0
Enhanced Credit Program	0
Disaster Assistance	0

1055

USAID FY 1999 Budget Request by Program/Country
(\$000)

27-Feb-97
03:07 PM

Country/Program: LAC REGIONAL

S.O. #	Title	Approp Acct	Bilateral/Field Spt	Est. SO Pipeline at end of FY 98	FY 1999 Request								Est Expend. FY99	Est Total cost life of SO	Mortgage at end of FY99
					FY99 Total Request	Basic Education for Chldrn	Other Economic Growth	Population	Child Survival	HIV/AIDS	Other Health	Environ			
SO 1: Progress Toward Resolving Key Market Issues Impeding Environmentally Sound and Equitable Free Trade in the Hemisphere															
	DA	Bilateral	0	485	0	485	0	0	0	0	0	0	0	0	0
	DA	Field Spt	0	700	0	700	0	0	0	0	0	0	0	0	0
	Total		2,641	1,185	0	1,185	0	0	0	0	0	3,000	10,800	(630)	
SO 2: Improved Human Resource Policies Adopted in Selected LAC Countries															
	DA	Bilateral	1,642	1,310	1,310	0	0	0	0	0	0	1,398	6,141	531	
	DA	Field Spt	100	190	190	0	0	0	0	0	0	190	1,005	388	
	Total		1,742	1,500	1,500	0	0	0	0	0	0	1,588	7,146	919	
SO 3: More Effective Delivery of Selected Health Services and Policy Interventions															
	DA	Bilateral	970	3,150	0	0	0	3,092	0	58	0	2,930	15,600	2,331	
	DA	Field Spt	2,262	1,772	0	0	0	1,310	0	462	0	1,840	10,400	1,821	
	Total		3,232	4,922	0	0	0	4,402	0	520	0	4,770	26,000	4,152	
SO 4: Protection of Selected LAC Parks and Reserves Important to Conserve the Hemisphere's Biological Diversity															
	DA	Bilateral	2,285	4,070	0	0	0	0	0	0	4,070	5,000	20,780	1,190	
	DA	Field Spt	440	430	0	0	0	0	0	0	430	500	1,510	0	
	Total		2,725	4,500	0	0	0	0	0	0	4,500	5,500	22,290	1,190	
SO 5: Reinforced Regional Trends that Deepen Democracy															
		Bilateral	480	6,650	0	0	0	0	0	0	0	6,650	6,120		
		Field Spt		0	0	0	0	0	0	0	0	0	0		
	Total		480	6,650	0	0	0	0	0	0	0	6,650	6,120	30,000	
SPO 1 A Broad Base of Leaders and Potential Leaders in LAC Countries Equipped with Technical Skills, Training and Academic Education															
	DA	Bilateral	12,430	10,000	0	10,000	0	0	0	0	0	14,075	140,750	(2,973)	
	DA	Field Spt		0	0	0	0	0	0	0	0	0	0	0	
	Total		12,430	10,000	0	10,000	0	0	0	0	0	14,075	140,750	(2,973)	
		Bilateral		0	0	0	0	0	0	0	0	0	0	0	
		Field Spt		0	0	0	0	0	0	0	0	0	0	0	
	Total		0	0	0	0	0	0	0	0	0	0	0	0	
		Bilateral		0	0	0	0	0	0	0	0	0	0	0	
		Field Spt		0	0	0	0	0	0	0	0	0	0	0	
	Total		0	0	0	0	0	0	0	0	0	0	0	0	
Total Bilateral				25,665	1,310	10,485	0	3,092	0	58	4,070	6,650			
Total Field Support				3,092	190	700	0	1,310	0	462	430	0			
TOTAL PROGRAM				23,250	28,757	1,500	11,185	0	4,402	0	520	4,500	6,650	35,053	236,986

FY 99 Budget Request by Appropriation - (\$000's)

Development Assistance	28,757
Development Fund for Africa	0
Economic Support Funds	0
SEED	0
FSA	0
PL 480 Title II	0
PL 480 Title III	0
Micro & Small Ent. Dev. Credit Program	0
Housing Investment Guarantee Program	0
Enhanced Credit Program	0
Disaster Assistance	0

2. Prioritization of Objectives

Taking into consideration (1) the past year's performance of the SO or special circumstances relating to performance (delayed approvals and starts), (2) the needs of the LAC region in the respective sector, (3) the urgency of U.S. foreign policy imperatives in LAC in the sector, (4) the potential to raise co-funding for the respective SO or funding to replace USAID assistance from other donor sources, (5) the duration over which USAID has already provided assistance in the sector or to achieve the stated results, to date, and (6) the comparative advantage of LAC regional program funding and continued involvement in the sector, the following order of priority - from highest to lowest - is established in the event that the Bureau has to radically curtail the number of SOs in the Regional program:

SO #5, Democracy

Political stability and continued development and maturation of LAC democracies is seen as the highest U.S. foreign policy priority in the region. As a result of the LAC Bureau's past work and present program in the region, its special relationships with regional institutions and public and private sector figures, and the inherent flexibility of USAID funding mechanisms, RSD would give top priority to activities in this sector - in particular, those that promise policy and strategic impact. DHR also has a good record of narrowing the number of subsectors in which it is involved or in which it proposes involvement, based on an assessment of technical expertise and management capacity in-house.

SO #1, Sustainable Free Trade (HFTE)

Free trade and equity concerns continue to be the second highest priority for the United States in the LAC region. LAC countries taken as a group are our largest trading partners with tremendous additional potential as the LAC and U.S. economies and populations become increasingly integrated. From the perspective of the LAC region, the Giant to the North has always been the major external factor in the development and progress of the region, and we have enormous influence in the economic sphere. In the experience of the LAC Bureau, even relatively modest availability of funds to carry out regional activities in collaboration with USTR, Treasury and many other USG and LAC institutions has influence and potential impact far beyond the apparent dollar commitment.

SO #3, Health

From the perspective of the United States, development of LAC institutions to provide health care to all elements of their population, thereby ensuring stability, equity and a healthy population to our immediate south has always been a priority concern. Access to health care to ensure a vital work force at lower cost to health systems is a priority concern for LAC countries. The U.S. has an excellent history of joining together with international and regional institutions, LAC governments and private sectors to strengthen family planning and vaccination services - absolutely fundamental interventions contributing to infant, child and maternal health. SO #3 represents an attempt to repeat the successes of these programs and even utilize some of the same mechanisms to have similar impact on specific causes of maternal mortality and on integrated management of childhood illnesses that still cause infant and child mortality rates to remain very high in the region. SO #3 also fosters health sector reforms that will increase equity of access to basic health care and lower costs to national budgets of providing such care. USAID has a distinct comparative advantage among donors

in working with both the public and the private sectors in family planning and maternal and child health policy definition and program delivery.

SO #4, Environment

The regional Parks in Peril (PiP) program, implemented in collaboration with The Nature Conservancy, has had spectacular success and RSD is extremely proud of this initiative. We are obviously planning to carry it to conclusion and hope that USAID and LAC funding remain available in the amounts needed to do so. However, should the Regional program experience draconian curtailment of funds, this program is one that could rely on its ability to "sell itself" effectively to other donors, LAC governments and LAC private sector commercial and non-profit organizations. PiP has already attracted external co-funding, has developed a number of innovative funding mechanisms and arrangements, and its reputation is very high in the environmental community. For these reasons, it is ranked somewhat lower in this prioritization than other regional sectoral efforts.

SO#2, Human Resources (PERA)

Education is a critical investment for sustainable development. Over the past 10 years or so, the issue for USAID has been how deeply the Agency is committed to direct involvement in strengthening basic education. Increasingly, USAID has deferred to other donors in working in the education sector. In many cases, USAID has limited involvement with other donors to providing technical assistance for preliminary design or for evaluation of programs, in collaboration with other donors. In fact, the number of education specialists in the Agency has declined and that affects both the Agency's and the Bureau's future ability to manage a large-scale project such as PERA. There is no doubt that education policy reform in LAC is necessary. Where there is some doubt is whether USAID has to be the prime donor, if other donors could be convinced to take such an effort as PERA over, fund it and implement it. The LAC Bureau and RSD would obviously prefer to work with its excellent regional contacts to implement PERA in support of Summit of the Americas' Action item 16. However, if Regional program funds are cut in a draconian way, there is education funding out there among other donors and USAID could either move to a co-funding relationship (for the basic LOP) or cede responsibility for the PERA project as a whole after a year or so of preliminary funding to get the Partnership going.

SpO#6, Training

Training projects have high potential payoff but are vulnerable to cuts when a funding crisis develops. One reason is that training can be integrated into individual sectoral activities, sometimes at lower cost than providing training through a stand-alone project. Some would argue that going that route in providing training is more desirable than funding stand-alone training projects. For the Bureau, the fact remains that CLASP, CASS and ATIE are coming to a close and, after years of providing training funds in LAC, we feel we could scale down or even eliminate stand-alone training projects without embarrassment. We will have to see if the Congress, which has a special interest in CASS, permits us to do so. Nevertheless, for the reasons stated, this SpO is ranked last in our prioritization.

3. Linkage of Field Support, Non-Emergency Title II and Title III

Field Support resources needed to obtain services and support from Global Bureau contracts or cooperative agreements to assist in achieving Regional program objectives are shown in the Field Support Table of this document and have been discussed with cognizant units of the Global Bureau. RSD collaborates on an almost daily basis with Global Bureau and PPC technical staff on design, implementation or evaluation issues concerning the Regional program, and makes use of Global's centrally-funded mechanisms to supplement implementation mechanisms readily available to the Bureau whenever it is possible and advisable to do so. As has been the case for many years in the PHN sector, working-level professional staff in all sectors in Global and LAC can generally find the best and most expeditious mix of implementation mechanisms to advance USAID's work when allowed the freedom, and encouraged by senior staff, to work together and do so. PPC and Global staff are also full participants in all SO Teams.

SO#1: HFTE will continue to require Global Bureau support through LAC TECH for management and technical support. HFTE also will also require Global Bureau support for its environmental activities.

SO#2: One senior education policy advisor is program funded through an OYB transfer to G/HCD's Advancing Basic Education and Literacy (ABEL II) project, until the end of FY 1997. We anticipate the recruitment and selection of a AAAs fellow for FY 1998 and 1999 to work on PERA-related education policy reform issues.

SO#3: With the exception of the immunization program, the initiatives in the Regional health SO include Global Bureau implementing agencies as partners in their design, development and implementation, and funds are transferred from LAC to Global for field support activities. The access to world-class technical expertise provided through centrally funded projects, in combination with the political and institutional strengths of PAHO, will contribute significantly to the success of this SO.

SO#4: Four program-funded ENV staff are now managed through G/ENV or G/HCD: two USDA RSSAs (through the Global Bureau's Environmental Planning and Management Project), the Caribbean Regional Environmental Advisor (through the Forest Resources Management project) and the AAAS Fellow (through the AAAS Fellows project).

SO#5: Current program activities, primarily carried out under grants or cooperative agreements, do not utilize G/DG field support mechanisms. The opportunities presented by G/DG contracting mechanisms however, make them a primary consideration for use to carry out future LAC regional programming or analysis efforts. To the extent that DHR is able finance new initiatives, for example, in a regional effort to promote democratic local governance or for analysis of survey data through LAC regional institutions, G/DG mechanisms would be likely candidates for utilization as implementation mechanisms. Discussions are underway between RSD-DHR and G/DG regarding the possibilities for collaboration in these areas.

SpO#6 does not require Global Bureau field support. The Regional program does not make use of non-Emergency Title II and Title III.

GLOBAL FIELD SUPPORT

Objective Name	Field Support: Activity Title & Number	Priority *	Duration	Estimated Funding (\$000)					
				FY 1997		FY 1998		FY 1999	
				Obligated by:		Obligated by:		Obligated by:	
				Operating Unit	Global Bureau	Operating Unit	Global Bureau	Operating Unit	Global Bureau
S.O. 1: Hemispheric Free Trade Expansion	936-5518 Coastal Resources Management	Medium-high	(2 years-97-98)		150		100		0
	936-5743 Energy Efficiency	Medium-high	(2 years-97-98)		40		0		0
	936-5594 Environmental Health	Medium-high	(2 years-97-98)		100		40		0
	Environmental Policy & Institutional Strengthening IQC	Medium-high	(2 years-97-98)		100		100		0
	936-5559 Environmental Pollution Prevention	Medium-high	(2 years-97-98)		370		200		0
	936-5556 Forestry Resources Management	Medium-high	(2 years-97-98)		100		100		0
	936-4215 LACTECH II (or replacement)	High	(3 years-97-99)		488		800		700
	NOAA RSSA	Medium-high	(2 years-98-99)		0		200		0
Subtotal SO 1					1348	0	1540	0	700

*For Priorities use high, medium-high, medium, medium-low, low

10/9/97

GLOBAL FIELD SUPPORT

Objective Name	Field Support: Activity Title & Number	Priority *	Duration	Estimated Funding (\$000)					
				FY 1997		FY 1998		FY 1999	
				Obligated by:		Obligated by:		Obligated by:	
				Operating Unit	Global Bureau	Operating Unit	Global Bureau	Operating Unit	Global Bureau
S.O.2: Imp. Human Resources Policies	936-5832 Advancing Basic Education and Literacy	High	(1 year - 97)		227		0		0
	936-5600 Innovative Scientific	High	(2 years - 97-99)		100		200		190
Subtotal SO 2					327		200		190
S.O.3: Health Services and Policy Interventions	936-6006.01 Basic Support for Institutionalizing Child Surviv	High	(5 yrs. - 97-01)		660		450		300
	936-5966.07 MotherCare II	High	(5 yrs. - 97-01)	450	0	300		200	
	936-5992 Quality Assurance	High	(5 yrs. - 97-01)		300		200		102
	936-6004.10 Health and Child Survival Fellows	High	(3 yrs. - 97-99)		209		0		120
	936--5970 TAACS, CEDPA	High	(3 yrs. - 97-99)		111		0		300
	936-5974.13 Partnership for Health Reform	High	(5 yrs. - 97-01)		464		360		430
	936-5991.01 Data for Decision Making	High	(5 yrs. - 97-01)		111		150		120
	Follow-on to Hlth. Tech. Serv. (936-5974.01)	High	(2 yrs. - 98-99)		0		200		200
Subtotal SO 3				450	1855	300	1360	200	1572

*For Priorities use high, medium-high, medium, medium-low, low

10883

GLOBAL FIELD SUPPORT

Objective Name	Field Support: Activity Title & Number	Priority *	Duration	Estimated Funding (\$000)						
				FY 1997		FY 1998		FY 1999		
				Obligated by:		Obligated by:		Obligated by:		
				Operating Unit	Global Bureau	Operating Unit	Global Bureau	Operating Unit	Global Bureau	
S.O.4: Protection of LAC Parks and Reserves	936-5517 Environmental Planning and Management	High	(5 years- 96-00)		260		260		270	
	936-5556 Forest Resources Management	High	(5 years- 96-00)		80		80		80	
	936-5600 AAAS Fellows Program	High	(5 years- 96-00)		80		80		80	
	Subtotal SO 4				420		420		430	
Other Activities in Support of Agency Objectives	936-5986.09 Child Health Research (Gorgas)	Medium	(1 year- 97)		315		0		0	
	936-5994.01 Environmental Health Project	Medium	(1 year- 97)		5		0		0	
	936-5122.01 - OMNI (Micronutrient Initiative)	Medium	(2 years- 97-98)		65		0		0	
	936-5120.01 - Sustain (Micronutrient Initiative)	Medium	(2 years- 97-98)		235		0		0	
	Subtotal "Other" SO				620		0		0	
GRAND TOTAL					450	4570	300	3520	200	2892

*For Priorities use high, medium-high, medium, medium-low, low

1080

4. Workforce and OE

RSD has two inter-related roles within the Bureau which continue to influence workforce and other program management requirements under this R4. First, LAC/RSD provides essential staff support to the LAC Bureau's Assistant Administrator, DAAs, other parts of the Bureau and USAID LAC field missions. RSD defines and anticipates, analyzes and responds to LAC political, strategic, policy and program trends relating to LAC sustainable development and United States foreign policy. This staff-intensive work sustains the LAC Regional program and ensures continuing USAID involvement and presence in LAC development. RSD's second role is to oversee implementation of the Regional program, approximately \$33 million annually of sustainable development activities under six SOs, uniquely regional in nature, responsive to regional themes, trends, issues, problems, needs and aspirations - and to the requests and needs of LAC partner institutions. The size of this program is equivalent to or larger than the OYB of several USAID field missions. RSD is composed of program and technical specialists who work intimately with LAC experts and institutions in the United States and LAC region to strengthen relationships. RSD's five teams focus on broad-based economic growth with equity; education and human resources; population, health and nutrition; the environment; and democracy and human rights - on intersectoral relationships among them and on "themes on the seams" of sustainable development.

In fulfilling dual roles, RSD staff work very closely with technical staff in PPC, Global Bureau Centers and field missions. The relationship with Global is particularly close. To implement the LAC Regional program, Global provides RSD with access to centrally-funded program instruments that can be utilized by LAC missions and the Regional program through OYB transfers and other funding arrangements to meet needs for short- and longer-term technical assistance. On occasion, LAC/RSD staff also supplement Global's field support services when a Global Center is temporarily understaffed and unable to respond to field needs at a particular time, although direct field support is not normally RSD's responsibility.

Serving Agency and Bureau goals through the Regional program, RSD staff work very intensively with LAC Missions, other Agency partners (PPC, Global, M and other regional bureaus), numerous other USG agencies, and other donor organizations. Some partners are specific to the region such as the Inter-American Development Bank, and others, like the World Bank or U.N. agencies have strong divisions devoted to LAC interests, while others are U.S.-based NGOs either entirely focused on the LAC region (e.g. The Nature Conservancy, Partners of the Americas) or have significant sections with LAC expertise.

In their design and implementation phases, SOs #1-#5 are all staff-intensive and will remain so. SOs #1, #2 and #3 have large-scale newly initiated components with intermediary organizations that have to be guided by RSD staff to establish management systems for use of USAID resources and get activities up and running. SO#4 is managed by a sophisticated intermediary which has developed excellent implementation systems over the years, however, the ENV Team (and the RSD Office in the case of the entire Regional program) has a continuing obligation to ensure accountability for PiP operations and finances in The Conservancy and, periodically on-site in countries in which PiP has ongoing or new activities. SO#5 also has new Regional program elements that require start-up and oversight. All RSD Teams work on events and issues that are related to but also transcend the specific activities in the Regional program or implementation "issues of the moment."

RSD and Regional program workforce projections and travel requirements are as follows:

RSD: Staffing/Travel Requirements			
Staff Classification	FY97	FY98	FY99
USDH	22*	23**	22**
Program Funded	11	11	12
Travel	\$75,000***	\$75,000	\$75,000

*Including 3 secretaries.

**Including 5 secretaries

***To 2/97, Bureau assurance of \$40,000 only.

To summarize, in 1994 (with a Regional Program of more than \$45 million) RSD had 36 USDH (including secretaries) and about 12 program-funded staff. As of October 1995, we reduced that number, based on changing program needs and consolidation of activities, to 26 USDH and the same number of program-funded staff (but a different composition based on program needs) as the time of last year's R4. As of February 1997, RSD has 22 USDH (including 3 secretaries) and 11 program-funded staff. For FY 1998, an important year in which implementation of large components of the program will be in the "take off" stage, we request 23 USDH (including 5 secretaries) and 11 program-funded staff. For FY 1999, we request 22 USDH (including 5 secretaries) and 12 program-funded staff. In FY 1999, once SO#2 and PERA are on their way, we are considering consolidating education expertise into either the BBEG or PHN teams and maintaining one USDH education specialist (instead of the three now on board) and one to two program-funded staff as required at that point. Over the next two years, taking Agency down-sizing into account, we will also be considering the pros and cons of stationing Regional program USDH and program-funded staff in Washington or within LAC. (Note: three program-funded staff are presently stationed in the region under the. LAC Regional program).

The Bureau ceilings set by the Management (M) Bureau on funding and recruitment of program-funded technical experts are a bit of a mystery to RSD professional staff managing the LAC Regional program. Once a Results Framework and budget is approved, the decision on whether or not to employ program-funded staff in activities, and how many - of what type - and when, we feel should be delegated within the Agency to program staff on SO and Results Package teams supervised by those Bureau managers (including the respective AAs) responsible for programs and results. While M ceilings are understandable in the case of OE-funded staff, the justification is much less obvious in the case of program-funded staff. As direct hire sectoral specialists are reduced in number as the Agency and this Bureau consolidate, in order to maintain level of activity, quality and accountability of LAC regional and bilateral programs, we will need the flexibility and delegation of authority to use our program judgment on whether and how many program-funded staff are required at any particular time.

TDY Travel and Professional Training/Outreach

Every year since the Regional program moved into the \$33-36 million range, we have requested a minimum of \$60,000 for program-related travel by USDH staff. In FY 1996, the Bureau responded positively, subject to the relatively limited OE it had received. By the end of FY 1996, RSD had utilized over \$75,000 for travel and none for professional training. Recognizing the Bureau's OE limitations, we are nevertheless requesting \$75,000 each year for FY 1997-99 for travel acknowledging that real costs will rise somewhat but the number of USDH staff will also decline as shown above over the period.

A major RSD concern is that OE is distributed unpredictably and unevenly by the Bureau over the course of the year, which makes forward planning of RSD participation in regional meetings, strategy development and evaluations with fixed dates very difficult. Our request to the AA/LAC is to agree clearly at the time of the DAEC to at least the amount proposed for RSD Regional program-related travel in the R4, and to try to allocate the funds to RSD in an early fiscal year tranche of at least one-half the amount and in two later tranches - roughly in the middle of the fiscal year and two to three months prior to the end of the fiscal year. Management of travel should then be delegated to the RSD Office Director, liaising with the LAC Controller, so that funds can easily be moved around to accommodate changes in dates of individual trips.

With OE as scarce to the Bureau as it has been, it has been impossible to put any funds aside for attendance by staff at professional meetings or courses. Nevertheless, the Agency and LAC Bureau should consider earmarking some OE for conference fees and related travel/per diem that results in updating sectoral/technical staff on the latest developments in their specialties.

5. Environmental Compliance

There are no outstanding environmental determination or compliance issues in the Regional program. The Bureau Environmental Compliance Officer is a member of the RSD staff and maintains records on any environmental assessments that must be carried out or updated.



U.S. AGENCY FOR
INTERNATIONAL
DEVELOPMENT

JUL 19 1996

MEMORANDUM TO THE DIRECTOR, LAC/RSD

THROUGH: Acting AA/LAC, Eric Zallman *9/12*
FROM: LAC/SPM, Janice Weber *Janice*
SUBJECT: LAC Regional R4 Review - Management Contract

Introduction: During Program Week for the LAC Regional program, June 7-14, 1996, a series of formal, scheduled meetings considered development objectives, indicators of progress toward meeting those objectives, resource requirements, and a broad range of program issues. This memorandum outlines major elements of discussion and decisions reached at those meetings.

Summary: The DAEC Review of the LAC Regional R4, held on June 14, 1996, was chaired by AA/LAC, Mark Schneider. In attendance were representatives from LAC, PPC, Global and M Bureaus. Based on the conclusions and follow-up actions resulting from the R4 review meetings, LAC/RSD will:

- initiate a review of the LAC Regional program to determine how to respond to changes in mission structure;
- provide AA/LAC and G/DG more information on the proposed new democracy activities;
- clarify for AA/LAC and DAA Zallman the Free Trade results framework and indicators, and the decision making process in choosing planned activities;
- identify budget priorities;
- estimate resources needed for the sick child and maternal mortality components of the health services delivery SO;
- review with AA/LAC the results frameworks for each SO and request a decision with respect to exercising RSD's delegation of authority;
- collaborate with G in a review of the Environmental Initiative of the Americas;

-- modify democracy results framework to show linkage to police training;

-- undertake an evaluation of the Local Governance and Municipal Development activity;

-- with SPM's assistance, review/refine indicators under the free trade and democracy SOs;

-- with G/DG's involvement, determine future assistance to IIDH/CAPEL;

-- work with the Bureau's gender advisor in addressing issues relating to gender and ethnicity and how to report performance;

-- work with G/EG to clarify future LAC Regional funding of ACCION and management of the grant;

-- develop a comprehensive list of accomplishments under each SO; and

-- prepare a list of the development partners and SO team members for each SO.

The FY1996-98 R4 was approved.

Opening Remarks at DAEC: In his opening statement, the Director, LAC/RSD, noted that LAC is the most "regional" of all regions in which USAID works. The LAC Regional program was characterized as: (1) working extensively with regional institutions and seeking regional approaches and efficiencies in pursuing sustainable results; (2) responding to Congressional earmarks, directives and U.S. foreign policy initiatives, particularly the Summit of the Americas; and (3) breaking down the barriers between technical specialities to create a more coherent sustainable approach to development by focusing on "themes on the seams," such as trade and environment, environment and health, health and education.

The Director emphasized that the past year has been a period of consolidation and refinement of the objectives and activities of the LAC Regional program. Four of the SOs are newly configured (free trade, human resources policies, health reform and health delivery) and respond to Summit of the Americas initiatives, while a fifth objective, addressing democracy, was substantially revised. The environment SO and the training special objective are basically unchanged. Despite the "newness" of much of the program, accomplishments were made under each SO, much of which sets the stage for full implementation of the SOs and lays the groundwork for higher level impact.

DAA/LAC Daubon noted LAC/RSD's considerable role as the catalyst for Summit of the Americas initiatives. The next Summit is planned for December 1997.

DAEC Issues and Concerns: The following issues and concerns were discussed at the DAEC. Subsequently, due dates were established for completing follow-up actions.

1. **The Effect of Limited Sustainable Development Missions and Global Interest Programs on the LAC Regional Program** - As a result of the RIGO II exercise, several LAC missions will be classified as limited sustainable development missions, in addition to those missions already so designated. Because these missions will have fewer staff than full sustainable development missions, it is assumed that USAID/W will play a greater role in setting parameters for country and regional strategies. With the likelihood that OE and staffing levels will continue to decline, LAC will have to determine the appropriate balance among maintaining specific regional activities, providing regional input in strategies and Agency technical decisions, and providing strategic support to missions. Ground rules for what we can do in those countries need to be clear to best determine the Office's role in providing support. The Bureau needs to determine how to focus regional efforts to maintain progress on activities of limited sustainable development missions that are critical to achieving regional goals. This will likely involve the private sector and other donors. (To be completed by next R4.)

In response to AA/LAC's concern, RSD team leaders explained how activities respond to the needs of smaller economies. In the case of the Parks in Peril program, however, activities cannot be implemented in close-out countries because they don't meet the criteria for continuing programs in close-out missions. It was noted that regional programs should focus on regional objectives. It was agreed that, over the next year, a sector-by-sector review of the regional program would be conducted to determine how to respond to the changes in mission structure pursuant to RIGO II. The locus of management would be assessed with the objective of keeping project managers as close to projects as possible. G, M and PPC will be involved in this review.

2. **LAC or Global Bureau Implementation?** - G, M and others continue to question the "uniquely regional" justification that warrants a LAC-specific program and staff to manage and implement that program. AA/LAC emphasized that the issue is whether the LAC Regional program is in line with the decision of the Administrator on what is appropriate for LAC, as opposed to Global Bureau, implementation. The LAC/RSD Director stated that the program was reviewed in light of, and is in compliance with, the Administrator's decisions. Many RSD activities use G implementing agencies for field support in concert with regional

institution implementation where such organizations have a unique capacity.

M was concerned about the size of the LAC Regional program and the proposed start of two new democracy activities (Legislative Linkages and Expanding Pluralism). G opposed the start of new activities on the grounds that it would duplicate an Agency capacity that exists in G. LAC/RSD-DHR will provide AA/LAC and G/DG more information on proposed activities and a determination can then be made to proceed to a development stage. (Information to be provided by August 1.)

3. **Scope of Free Trade and Democracy SOs** - The issue was whether the LAC Regional Free Trade and Democracy SOs are too broad, especially in light of declining OE and financial resources. Both programs are complex and involve management of many individual activities, several of which respond to specific AA/LAC directives. LAC/RSD responded that it was too soon to tell and, particularly with respect to free trade, activities are in early stages of development. Technical teams must manage and determine what is too much or too little. DAA Zallman asked for a clarification of the results framework and indicators, and the decision making process in choosing what activities are planned under the Free Trade SO and stated that priorities must be set. AA/LAC requested that LAC/RSD respond to priorities in relation to financial and OE resources in the two areas. (To be provided by July 31.)

4. **LAC Regional Priorities** - To accommodate lower than planned resource levels, the approach taken in the R4 was to reduce each SO by 10%, with performance targets to be adjusted accordingly. An alternative approach, which would better reveal the priorities within the LAC Regional program, would have been to eliminate lower priority SOs, IRs or activities. Several factors were discussed for consideration in making decisions about what to reduce or eliminate, including: (1) the need for flexibility in terms of achieving the priority results, (2) where we get the most impact and (3) political considerations, including earmarks. AA/LAC advised that it may be necessary to drop activities or intermediate results and thus requested that LAC/RSD identify its program priorities in relation to the anticipated budgets for FY96-98. (To be done in conjunction with the BBS.)

5. **Balance in Activities to be Supported under the Delivery of Health Services SO** - The SO is meant to support three components: vaccinations, sick child (diarrhea and acute respiratory infections) and maternal mortality. Funding for the vaccination component (\$8 million) will require approximately 40% more than anticipated at the time the NAD was approved. The total resources for the Health Priorities Project (now the Health Services SO), at the time of the NAD, was \$20 million. The

question is whether this leaves adequate resources for the other two components. At the DAEC the AA/LAC noted that other donors are going into diarrheal disease and acute respiratory areas, but that USAID should not back away from its commitment to provide \$8 million support for eradication of measles. This issue was discussed further in a separate meeting between LAC/RSD and AA/LAC. A decision was reached that the PHN team will estimate the "critical mass" of resources needed for impact of the sick child and the maternal mortality components, taking into account programs of the other donors in the region. Based on such estimates, additional resources will be sought, if needed. (Estimate of resources to be completed by July 31.)

6. **Delegation of Authority** - In March 1996, AA/LAC directed that memoranda requesting approval of new LAC Regional activities not specifically set forth in the R4, or significant changes to existing activities, must have AA/LAC written approval. To be consistent with delegations of authority, and in an effort to treat the LAC/RSD Director as equal to a Mission Director, LAC/RSD would be allowed to exercise its authority to approve new activities or amend current activities, under approved SOs. AA/LAC agreed that the LAC/RSD Director may exercise his authority with respect to the SO dealing with protection of parks and reserves, and the SpO dealing with training, as the RFs for these two objectives were well developed and complete. As the RFs for other SOs are completed, they will be reviewed with AA/LAC, and decisions with respect to exercising the delegation of authority will be made. (Meeting re Human Resource Policies and Free Trade SOs will be scheduled by the end of July.)

7. **OE Resources** - The availability of OE resources to properly manage the LAC Regional portfolio was discussed. M Bureau advised that it was their view that the planned FTE resources were not realistic in light of the sharply declining trends for the Agency in the out-years. With respect to travel funds, the timing of the decision-making process on the use of funds is as much a problem as the amount of funds available to LAC/RSD. The AA's Office was sympathetic to RSD's needs. While, given the severe constraints on the Agency's OE resources, additional funds could not be promised, every attempt would be made to provide sufficient OE for RSD to manage the approved regional program. DAA Zallman acknowledged that RSD will most likely need to increase use of program funds for monitoring as OE for travel remains tight. If resources continue to be inadequate to manage the portfolio, the results frameworks for the regional program will have to be reviewed again by the Bureau.

Concern:

1. **Environmental Initiative of the Americas (EIA) Activities** - Successful EIA activities were to be picked up by missions in an effort to move LAC mission environment programs

into different directions. However, because of budget cuts (and biodiversity earmarks) and efforts to streamline the number of environmental SOs and special objectives, this has not been happening. With limited resources, if USAID has determined that we cannot afford to fund both mission environmental SOs and continue EIA activities, then the leveraging of other donors' resources must be pursued vigorously to carry out these important activities. Opportunities to integrate EIA activities into other sectors within bilateral programs (democracy, health, etc.) must also be pursued. The G and LAC Bureau will collaborate in a review of the Initiative, status, accomplishments and impact on mission programming as well as opportunities to achieve greater involvement of our development partners. (Review to be initiated by end of the calendar year.)

Clarifications:

1. Police Training - The democracy results framework will be modified to show the linkage to police training. (Will be done on conjunction with finalizing RF, per para 6 above.)

2. Local Governance and Municipal Development - AA/LAC requested that an evaluation of the activity be undertaken as soon as possible. The evaluation will be useful in deciding what, if anything related to this area, should be pursued under the LAC Regional program once the current activity ends in September 1996. (Evaluation to be initiated prior to the end of the fiscal year.)

3. As the examples of performance cited in the Issues Paper for the DAEC were illustrative of accomplishments over the past year, AA/LAC requested that LAC/RSD develop a more comprehensive list of accomplishments under each SO. (This will be provided to AA/LAC by August 15.)

4. AA/LAC asked about the participation of LAC/RSD's development partners in the preparation of the R4 and as members of SO teams. It was explained that many of the regional partners in RSD's program were involved in the development of results frameworks (RFs) and establishment of indicators and targets. Development partners also serve as important members of SO and results package teams. For example, The Nature Conservancy is a critical member of the SO team dealing with the protection of parks and reserves, and worked extensively with the LAC/RSD-E team in developing the RF. AA/LAC requested a list of the development partners and SO team members for each SO. (To be submitted by August 1.)

Issues and Concerns Resolved Prior to the DAEC:

1. Development Hypothesis of the Democracy Objective: The hypothesis was stated differently in two places within the R4. It was clarified that DHR's niche is to look for ways to enhance democracy and influence trends within the region through regional mechanisms (regional institutions, regional projects, a regional staff, etc.).

2. Performance Monitoring Systems: Several SOs are lacking performance monitoring systems and work is still needed to refine indicators of others. LAC/RSD is working to establish adequate performance monitoring systems for all new objectives and has requested assistance from SPM in reviewing/refining indicators under the free trade and democracy objectives. Timing of such assistance is under discussion.

3. Assistance to IIDH/CAPEL: There were questions of why LAC plans continued funding for IIDH/CAPEL now that it is able to attract non-USAID funding, and for how long assistance is expected to continue. Funding for the current IIDH/CAPEL grant continues until June 1997. This fall, LAC/RSD is planning an assessment of future support to IIDH/CAPEL to determine what assistance is needed and how it is best provided. G/DG will be involved in decisions regarding further support to that institution.

4. People-level Impact: Some sections of the R4 note that attention will be given to gender issues and participation by women and indigenous people, but others for which these issues are equally relevant do not. Reporting of progress would be enhanced by including ethnicity and sex-disaggregated data, where appropriate and possible. The LAC Bureau's gender advisor offered to work with LAC/RSD in addressing issues relating to gender and ethnicity and how to best report performance. (To be completed by next R4.)

5. ACCION: There was concern because the R4 did not discuss the ACCION microenterprise grant which is an important activity under the free trade objective. The purpose of the grant to ACCION is to examine opportunities for ACCION affiliates throughout the hemisphere to utilize commercial financial instruments as a means of capitalizing microenterprise institutions. The grant supports technical assistance and the capitalization of a highly leveraged guarantee fund. While the grant has been operational for only one year, the grantee's reports indicate that some progress has been achieved. LAC/RSD and G/EG staff have completed a site visit to ACCION headquarters to review this progress and discuss their second year work plan. Discussions are being initiated with G/EG to clarify how the LAC Regional grant fits with the Agency global objectives to advance

microenterprise institutions and validate continuation of the LAC Regional funding and management of the grant. (Discussion with G to be completed prior to finalizing the BBS.)

Clearances:

LAC/RSD:SEpstein (Draft) Date 07/10/96
LAC/RSD-BBEG:JBecker (Draft) Date 06/28/96
LAC/RSD-DHR:Tamani (Draft) Date 07/05/96
LAC/RSD-PHN:CDabbs (Draft) Date 07/01/96
LAC/DPB:DChiriboga (Draft) Date 07/10/96
G/PDSP:GStandrod (Draft) Date 07/03/96
M/B/PA:BGreene (Draft) Date 06/28/96
PPC/PC:VCusumano (Draft) Date 07/02/96

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