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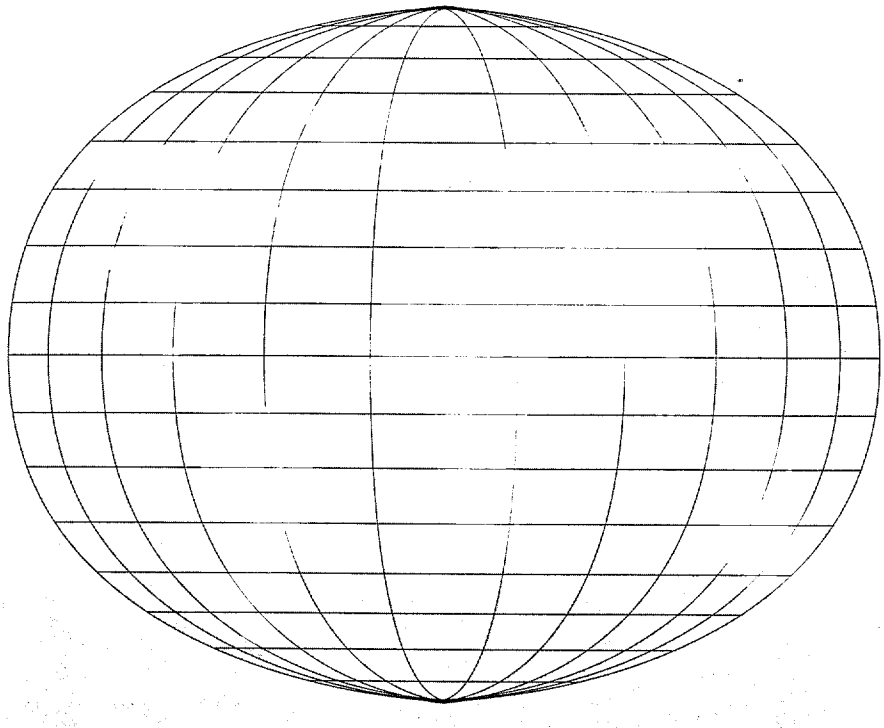
Report of Audit

Audit of USAID/Kiev's Implementation of the Government Performance and Results Act for Democracy–Civil Society–Activities in Ukraine

Audit Report No. 8-121-97-007-P
March 7, 1997



Regional Inspector General for Audit Frankfurt

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U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT

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March 7, 1997

MEMORANDUM

TO: USAID/Kiev-Mission Director, Gregory F. Huger

FROM: RIG/A/F, Andrew J. Olsen, Acting

SUBJECT: Audit of USAID/Kiev's Implementation of the Government Performance and Results Act for Democracy–Civil Society–Activities in Ukraine (Audit Report No. 8-121-97-007-P)

This is our report on the subject audit. In preparing this report, we considered your comments to our February 5, 1997 draft report and have included these comments as Appendix II. The Mission sought guidance from the Bureau as stated in the audit recommendation. We consider that this action constitutes a final management action on this recommendation; therefore, no further action is required by the Mission.

I appreciate the courtesies and cooperation extended to my staff during this audit.

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EXECUTIVE SUMMARY

As part of the Office of the Inspector General's worldwide effort to assess USAID's adherence to the Government Performance and Results Act (GPRA), we audited USAID/Kiev's implementation of Agency reengineering and GPRA requirements as they related to the Mission's Civil Society activities in Ukraine. For its Ukraine Civil Society Activities, USAID/Kiev had generally implemented the Agency reengineering and GPRA requirements in accordance with Agency directives and the Bureau for Europe and New Independent States guidance. For its Civil Society activities, USAID/Kiev–

- developed a Strategic and an Annual Plan which was consistent with the ENI Bureau's Strategic Framework,
- developed performance indicators which were consistent with ENI Bureau Objectives,
- developed portions of a system for collecting and reporting accurate performance data, and
- planned to use performance information to enhance program effectiveness. (See page 6.)

The audit noted, however, that one USAID-funded Civil Society activity was not included in the Mission's Results Framework. This situation was the same as found at other USAID's in the region. However, the Mission pointed out that it had received guidance from the Bureau not to include activities such as this one, when there were cross cutting issues. During the audit, the Bureau provided guidance which concurred with the Mission's practice. (See page 7.)

In addition, the audit identified the following–

- While the Mission was reporting results and requesting resources by Strategic Objective as required, they were receiving funding levels, which are approved by the ENI Bureau and the Department of State Coordinator for the New Independent States, by project. Some Mission officials said it was frustrating to maintain two sets of program presentations–one by project and another by strategic objective. Because of this situation, the Mission does duplicative reporting and spends many staff-hours assuring the allocation of funds are attributed to the correct project or strategic objective. (See page 7.)

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- At the time of audit, USAID/Kiev needed to complete the performance monitoring plan and obtain a clarification in guidance to ensure that reported results are within the specified time period and are accurate. These refinements were completed before the report was issued. (See page 12.)

- Although USAID/Kiev is utilizing its Results Framework and Strategic Framework–Flow Chart–in managing its activities, Mission personnel said it is too early in the reengineering process to determine if program effectiveness has been enhanced due to this process. (See page 13.)

USAID/Kiev accepted the audit recommendation but noted some concern that the reported findings contain opinions expressed by the audit team which are at variance with Bureau guidance or in other cases reflect a differing interpretation of some aspects of strategic planning and performance monitoring than that used by the Agency and the Mission in the preparation of the 1996 R-4. The audit did not intend to express variance with guidance, but did raise the questions as to if performance was to be measured at the macro level for all development partners or at the USAID activity level and who is to be included and what period was to be covered. In light of the Agency issuing new guidance, no recommendations were made. (See page 13.)

For selected USAID/Kiev's civil society activities, namely Internews activities, the audit found that they were making satisfactory progress toward achieving their intended results in Ukraine. Internews reported, and we confirmed, that its International Media Center had–

- produced and distributed daily and weekly television news and information programs;

- organized and conducted training sessions and seminars covering print, television, radio and computer topics; that is, over 40 training courses attended by nearly 800 participants;

- registered over 1,000 independent journalists who use the resource materials made available; and

- helped to establish UNIKA, one of Ukraine's two non-governmental TV networks. (See page 15.)

Office of the Inspector General
March 7, 1997

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Glossary of Terms Used in Report

The following definitions of terms used in the report are to be found in USAID's Automated Directives System Number 203. These terms are listed in alphabetical order and not in the order as they appear in the report.

Intermediate Result (IR): A key result which must occur in order to achieve a strategic objective.

Management Contract: The management contract consists of the strategic plan (including a strategic objectives and supporting Results Frameworks) together with official record of the guidance emerging from the review of the plan. The management contract provides: a summary of agreements on a set of strategic and other objectives; confirmation of estimated resources over the strategy period; delegations of authority; and an overview of any special management concerns.

Operating Unit: USAID field mission or USAID/W office or higher level organizational unit which expends program funds to achieve a strategic objective, strategic support objective, or special objective, and which has a clearly defined set of responsibilities focussed on the development and execution of a strategic plan.

Output: The product of a specific action, e.g., number of people trained, number of vaccinations administered.

Partner (Development Partner): An organization or customer representative with which/whom USAID works cooperatively to achieve mutually agreed upon objectives and intermediate results, and to secure customer participation. Partners include: private voluntary organizations, indigenous and other international non-government organizations, universities, other USG agencies, U.N. and other multilateral organizations, professional and business associations, private businesses (as for example under the U.S.-Asia Environmental Partnership), and host country governments at all levels.

Performance Baseline: The value of a performance indicator at the beginning of a planning and/or performance period. A performance baseline is the point used for comparison when measuring progress toward a specific result or objective. Ideally, a performance baseline will be the value of a performance indicator just prior to the implementation of the activity or activities identified as supporting the objective which the indicator is meant to measure.

Performance Indicator: A particular characteristic or dimension used to measure intended changes defined by an organizational unit's Results Framework. Performance indicators are used to observe progress and to measure actual results compared to expected results. Performance indicators serve to answer "whether" a unit is progressing towards its objective, rather than why/why not such progress is being made. Performance indicators are usually expressed in quantifiable terms, and should be objective and measurable (numeric values, percentages, scores and indices). Quantitative indicators are preferred in most cases, although in certain circumstances qualitative indicators are appropriate.

Performance Monitoring Plan: A detailed plan for managing the collection of data in order to monitor performance. It identifies the indicators to be tracked; specifies the source, method of collection, and schedule of collection for each piece of datum required; and assigns responsibility for collection to a specific office, team, or individual. At the Agency level, it is the plan for gathering data on Agency goals and objectives. At the Operating Unit level, the performance monitoring plan contains information for gathering data on the strategic objectives, intermediate results and critical assumptions included in an operating unit's Results Frameworks.

Performance Target: The specific and intended result to be achieved within an explicit timeframe and against which actual results are compared and assessed. A performance target is to be defined for each performance indicator. In addition to final targets, interim targets also may be defined.

Result: A change in the condition of a customer or a change in the host country condition which has a relationship to the customer. A result is brought about by the intervention of USAID in concert with its development partners. Results are linked by causal relationships; i.e., a result is achieved because related, interdependent result(s) were achieved. Strategic objectives are the highest level result for which an operating unit is held accountable; intermediate results are those results which contribute to the achievement of a strategic objective.

Results Framework: The Results Framework represents the development hypothesis including those results necessary to achieve a strategic objective and their causal relationships and underlying assumptions. The framework also establishes an organizing basis for measuring, analyzing, and reporting results of the operating unit. It typically is presented both in narrative form and as a graphical representation.

Results Review and Resource Request (R4): The document which is reviewed internally and submitted to USAID/W by the operating unit on an annual basis. The R4 contains two components: the results review and the resource request. Judgement of progress will be based on a combination of data and analysis and will be used to inform budget decision making.

Stakeholders: Individuals and/or groups who have an interest in and influence USAID activities, programs and objectives.

Strategic Framework: A graphical or narrative representation of the strategic plan; the framework is a tool for communicating the development strategy. The framework also establishes an organizing basis for measuring, analyzing, and reporting results of programs.

Strategic Objective (SO): The most ambitious result (intended measurable change) that a USAID operational unit, along with its partners, can materially affect and for which it is willing to be held responsible. The strategic objective forms the standard by which the operational unit is willing to be judged in terms of its performance. The time-frame of a strategic objective is typically 5-8 years for sustainable development programs, but may be shorter for programs operating under short term transitional circumstances or under conditions of uncertainty.

Strategic Objective (SO) Team: In general, a team is a group of people committed to a common performance goal for which they hold themselves individually and collectively accountable. Teams can include USAID employees exclusively or USAID, partner, stakeholder and customer representatives. An SO team is a group of people who are committed to achieving a specific strategic objective and are willing to be held accountable for the results necessary to achieve that objective. The SO team can establish subsidiary teams for a subset of results or to manage a results package.

Strategic Plan: A plan for providing development assistance; the strategic plan articulates the mission, goals, objectives, and program approaches.

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INTRODUCTION

Background

In August 1993, Congress enacted Public Law 103-62 called the "Government Performance and Results Act of 1993" (GPRA). Among the purposes of this Act are to:

- initiate program performance reform with a series of pilot projects in setting program goals, measuring program performance against those goals, and reporting publicly on their progress;
- improve Federal program effectiveness and public accountability by promoting a new focus on results, service quality, and customer satisfaction; and
- help Federal managers improve service delivery by requiring that they plan for meeting program objectives and by providing them with information about program results and service quality.

The Act requires Federal Agencies to develop at least a five-year strategic plan and annual performance plans beginning in September 1997, and beginning in 2000, report annually on actual performance compared to goals. However, in 1994 the USAID volunteered, and the Office of Management and Budget accepted, itself as a pilot agency for conforming to the Act by the end of fiscal year 1996.

This audit is part of the Office of Inspector General's worldwide assessment of this process. The audit reviews USAID/Kiev's implementation of ENI Bureau guidance on Agency reengineering and how the Mission's actions address specific requirements of GPRA and the Agency. This audit is limited to reviewing just one area being reengineered, that is, Civil Society. USAID/Kiev, like other operating units in the Agency, had to mold ongoing activities into the new process.

The Reengineering Process

In USAID's efforts to conform to GPRA and "reengineer" itself, it developed an Agency Strategic Framework, approved September 18, 1995, which represents a graphic presentation of USAID's development strategies. The transmittal

memorandum for this document stated that the Agency would use this Framework in reviews of operating unit strategic plans, and to report on results and examine Agency performance; and that all operating units should describe how their Strategic Objectives contribute to Agency Objectives. This was to allow the Agency to aggregate its results by Objective.

Following suit, the ENI Bureau developed reengineering guidance which: 1) adopted those Agency reengineering principles that would make them more efficient or effective, 2) adapted other principles to ENI needs, and 3) exempted themselves from those reengineering elements which did not contribute to ENI's planning logic.

On February 15, 1996, the ENI Bureau published the ENI Strategic Framework to provide a common point of reference for the Missions in developing their Results Frameworks and to conform with USAID policy and GPRA requirements. This ENI Strategic Framework was considered central to all of the reengineering innovations being made, that is to plan and manage for results. The ENI Strategic Framework outlined three Strategic Assistance Areas (SAA) where ENI development efforts would be concentrated:

1. **Economic Restructuring:** Foster the emergence of a competitive, market-oriented economy in which the majority of economic resources is privately owned and managed.

2. **Democratic Transition:** Support the transition to transparent and accountable governance and the empowerment of citizens through democratic political processes.

3. **Social Stabilization:** Respond to humanitarian crises and strengthen the capacity to manage the human dimension of the transition to democracy.

Under SAA 2–**Democratic Transition**–ENI established three objectives:

2.1 Increased, better-informed citizens' participation in political and economic decision-making;

2.2 Legal systems that better support democratic processes and market reforms; and

2.3 More effective, responsible, and accountable local government.

According to ENI Bureau officials, the first objective (ENI 2.1) is consistent with the Agency's Objective-Civil Society. For reporting purposes, we refer to ENI

Objective 2.1: "Increased, better-informed citizens' participation in political and economic decision-making" as "Civil Society" rather than by its full title.

One of the components of the USAID's reengineering initiatives, which the ENI Bureau adopted, was the creation of a new reporting and resource request process, called the Results Review and Resource Request or R4. The R4 process pertains to all of ENI's operating units that manage program funds. In using this process, operating units created Strategic Objective teams and assigned members. These teams developed a Strategic Framework or "flow chart" for the assigned Strategic Objective and a Results Framework with sub-objectives, intermediate results, performance indicators, baselines and annual targets (spanning up to 5 years). The R4 report was to segregate program funds and resource requests by Strategic Objective (SO) and is to be submitted on an annual basis by each operating unit. The Results Framework represents the development hypothesis and results necessary to achieve a Strategic Objective. It is this Framework which provides an organized basis for measuring, analyzing, and reporting results of an operating unit, such as a Mission, on an annual basis. Finally, the R4 is the basis for a management contract between the Mission Director and the Bureau for the results envisioned.

USAID/Kiev used the ENI Strategic Framework as a menu for developing its Mission Strategy and Results Framework for Civil Society activities in Ukraine and created a SO 2.1 team. According to the Mission officials, there were 11 USAID-funded organizations involved in implementing USAID activities related to SO 2.1–Civil Society. As of September 30, 1996, ENI had reported cumulative obligations and expenditures for these activities as $29 million and $20 million, respectively. These activities can be segregated two ways: 1) activities which support SO 2.1 and are managed by the SO 2.1 team, and 2) activities which support SO 2.1, but are not managed by the Mission's So 2.1 team. The following table, which was not audited, illustrates these activities and their obligations and expenditures as of September 30, 1996:

USAID/KIEV FUNDING FOR STRATEGIC OBJECTIVE 2.1 BY ORGANIZATION

Organization		As of September 30, 1996 Cumulative Obligations[1]	Cumulative Expenditures[1]
SUPPORTS SO, AND MANAGED BY SO 2.1 TEAM			
Internews Network		$ 9,875,345	$ 6,912,835
National Democratic Institute for Int'l Affairs		3,441,429	2,315,291
Int'l Foundation for Electoral Systems (IFES)		2,933,099	1,983,880
Int'l Republican Institute		1,788,560	1,325,670
Free Trade Union Institute (FTUI)		1,654,915	673,221
Freedom House		1,225,000	974,991
Eurasia Foundation		500,000	-0-
Int'l Research & Exchange Board		400,000	-0-
Children's Chernobyl Fund		350,000	350,000
Counterpart Foundation, Inc.		275,000	131,544
Winrock International		100,000	100,000
	SubTotal	$22,543,348	$14,767,432
SUPPORTS SO, BUT NOT MANAGED BY SO 2.1 TEAM			
Eurasia Foundation	SubTotal	$ 6,482,400	$ 5,257,400
TOTAL		$29,025,748	$20,024,832

[1] These unaudited amounts were obtained from ENI/PD's Detailed Pipeline Report for Ukraine as of 09/30/96.

Audit Objectives

As part of the Office of the Inspector General's planned worldwide effort to assess USAID's adherence to the Government Performance and Results Act of 1993 and measure results in Civil Society, we designed this audit to answer the following questions:

1. **Did USAID/Kiev, for its Ukraine Civil Society Activities, in Accordance with Agency Directives and ENI Bureau Guidance:**

    a) **Develop a Strategic Plan and an Annual Plan Which Were Consistent with the ENI Bureau's Strategic Framework?**

    b) **Develop Performance Indicators Which Were Consistent with ENI Bureau Objectives?**

    c) **Develop a System for Collecting and Reporting Accurate Performance Data?**

    d) **Use Performance Information to Enhance Program Effectiveness?**

2. **Were USAID/Kiev's Activities Implemented by Internews Making Satisfactory Progress Toward Achieving the Intended Results in Ukraine?**

See Appendix I for a complete discussion of the scope and methodology used to conduct this audit.

REPORT OF AUDIT FINDINGS

Did USAID/Kiev, for its Ukraine Civil Society Activities, in Accordance with Agency Directives and ENI Bureau Guidance:

a) Develop a Strategic Plan and an Annual Plan Which Were Consistent with the ENI Bureau's Strategic Framework?

b) Develop Performance Indicators Which were Consistent with ENI Bureau Objectives?

c) Develop a System for Collecting and Reporting Accurate Performance Data?

d) Use Performance Information to Enhance Program Effectiveness?

For its Ukraine civil society activities, USAID/Kiev, in accordance with Agency directives and ENI Bureau guidance–a) developed a strategic plan and an annual plan which were consistent with the ENI Bureau's strategic framework; b) developed performance indicators which generally were consistent with ENI Bureau Objectives; c) developed portions of a system for collecting and reporting accurate performance data; and d) planned to use performance information to enhance program effectiveness. While the audit found that the ENI Bureau had modified some Agency reengineering directives to meet its specific needs, ENI Bureau guidance was generally consistent with Agency directives. In addition, the audit identified several issues concerning the Mission's monitoring, reporting and evaluating of its Civil Society activities in Ukraine.

Conforming to ENI Bureau Guidance-Issues and/or Problems

ENI Bureau guidance on strategic plans, dated February 21, 1996, stated "Through a phased submission schedule, ENI intends to have approved strategic plans in place for all operating units within three years..." Until that

time, approved Results Frameworks would serve as strategic plans. Since USAID/Kiev was not tasked with preparing a strategic plan, it began preparing an R4 submission for its programs in February 1996. As part of preparing individual R4's for Ukraine and the other two countries in its region, the Results Framework for Ukraine, Belarus and Moldova was developed individually.

The Results Framework for Ukraine linked targets to strategic objectives and served as a strategic plan for the Mission's activities in the area of Civil Society. Targets were generally developed on an annual basis, which therefore served as the Mission's annual plan. The Results Framework for this SO, along with the frameworks for other SOs, was submitted to the ENI Bureau in June 1996 and was accepted and approved in September 1996. In addition, the Mission was required to complete a Customer Service Plan, after submitting the Results Framework, but had not done so. The Mission recognized this and was waiting for software in the New Management System to be available to complete this action. While the Mission had intended to complete this Plan by the end of December 1996, the delays in installing the New Management System has thwarted their efforts. Because the Mission recognized that it must complete this Plan, we are not making a recommendation.

Upon discussing this process with Mission officials and reviewing the Ukraine R4 and Results Framework for SO 2.1, we identified the following two concerns:

Resource Request Was Linked to SO, While
Budget Allocations Were Based on Projects

USAID/Kiev's operating year budget for its fiscal year 1997 activities, including those for Civil Society, was allocated by project and not by Strategic Objective (SO). The Mission had to develop an allocation table distributing these funds within its strategic plan, that is by SO. The preliminary funding levels had been approved by the Department of State Coordinator for NIS (S/NIS/C-ENI) and the ENI Bureau. One USAID/Kiev official pointed out that the Congress still requires USAID to present its program by project, and furthermore, the S/NIS/C, which has an unique role in these programs, likewise prefers viewing the programs by project. Thus, this issue will remain until the process is changed at the Washington level. Some Mission officials said it was frustrating to maintain two sets of program presentations, one by project and the other by strategic objective. They also said because of this situation they are forced to duplicate reporting and spend many hours assuring the allocation of funds were attributed to the correct project or objective.

Mission officials stated the S/NIS/C plays a direct role in setting the policy and funding levels for the region, as well as individual countries. Mission officials stated that S/NIS/C may alter either the direction of an activity or the level of funding for specific activities. The Mission also involves the respective U.S. Embassies in the region in all policy and funding decisions. This issue was also identified during a recent audit of USAID/Moscow's R4 process[2]. In response to both audit findings, we discussed S/NIS/C's role in setting funding levels and its effect on reengineering during a future audit at the ENI Bureau level in our audit of the Bureau's implementation of GPRA for Civil Society.[3] In that report, we concluded, in part, that while there are undoubtedly varying opinions on the part of USAID Bureau and field office officials on the role and impact of the Department of State Coordinator for Assistance to the NIS, it is clear that the Coordinator has the legislative mandate to influence the programs in the foreign policy interest of the United States. In our opinion, the evolution of the Agency's reengineering guidance will need to recognize the type of assistance programs being carried out by the ENI Bureau in these "transitional countries".

Results of Eurasia Foundation Activities Should Be Included in the Mission's Results Framework

While funding for all activities in its region is covered by their management contract, USAID/Kiev is not collecting and reporting results for all such activities in its Results Framework. For example, the Eurasia Foundation has received $6.5 million in funding for its Ukraine activities through fiscal year 1996–under a separate regional project bearing its name. Its activities in Ukraine, for the most part, relate directly to USAID/Kiev's SO 2.1. The Mission was doing minimal reporting on Eurasia Foundation activities in the R4 report and had not incorporated the Foundation in its Results Framework. This occurred because the Foundation was considered an "independent" entity. We believe that since funding for the Eurasia Foundation is covered in USAID/Kiev's operating year budget, it should incorporate Eurasia Foundation into its Results Framework, as appropriate under the Civil Society.

In our aforementioned audit on USAID/Moscow's R4 process, we found a similar situation. In that report, we recommended that USAID/Moscow provide the ENI Bureau recommendations of actions necessary for full integration of Eurasia Foundation activities in USAID/Moscow's Results Framework. USAID/Moscow agreed with our recommendation and has

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[2] Audit Report No. 8-118-97-004-P, dated November 22, 1996.

[3] Audit Report No. 8-000-97-008-P, dated March 18, 1997.

submitted its recommendations for integrating Eurasia Foundation activities in its R4 and Results Framework. We also noted a similar situation in our audit of Civil Society Activities in Kazakstan and recommended that it obtain Bureau guidance on this based on instructions given to USAID/Moscow. Because USAID/Moscow has already made recommendations for including Eurasia Foundation activities into the R4–in essence taking the lead on this issue–we are not making a recommendation to USAID/Kiev. During our field work at USAID/Kiev, we discussed this issue with Bureau officials. We were told that not only have missions chosen a different combination of SOs that Eurasia Foundation support, but that Foundation activities contribute to several ENI Objectives. Thus, these officials proposed that Eurasia Foundation would be best represented in SO 4.2, Cross-Cutting Programs. As for substantive reporting on its activities, the Bureau suggested that the Foundation report by each SO to each mission for which its activities have a major impact. The Bureau is in the development stage of the revised reporting procedures, but expects to have it in place by the time the new grant agreement is signed. We believe that the Bureau's plan to integrate Eurasia Foundation is reasonable but will require additional effort and support of the Foundation to ensure meaningful reporting.

Performance Indicators Need Further Refinement

While the Mission did not use the performance indicators described in "The Agency's Strategic Framework and Indicators 1995-1996," their indicators are generally consistent with the Agency's guidance. According to USAID/Kiev officials, they frequently review the "Strategic Framework"–flow chart–and Results Framework for this SO (see Appendices III and IV, respectively). That is, USAID/Kiev was in the process of refining and revising some of the performance indicators and targets at certain levels of the Results Framework.

The performance indicators and targets developed by USAID/Kiev measure, for the most part, the results or changes related to SO for Civil Society throughout the country, but do not specifically measure the results of USAID-funded activities. While the overall change in Ukraine is important, it seemed to us that the Mission needs to link its performance indicators and targets to USAID-funded activities. This would ensure that USAID-funded activities are being measured for the desired outcomes and these outcomes can be aggregated to show the impact of USAID activities. Mission officials commented that the Results Framework and underlying performance indicators were developed from the top down versus the activity up. For example, the Mission started with the strategic objective and then determined what was needed to achieve this objective and report measurable results,

rather than determining what activities existed and what were their intended outputs, and then linking those up to the strategic objective. Mission officials believe their approach shows what is needed in Ukraine to achieve the objective and what results will be measured. Because the Mission's Results Framework had been approved by the ENI Bureau, we are not making a recommendation. Further, we are currently reviewing the Bureau's process for reviewing Results Frameworks and reporting.

Mission officials stated that performance indicators for the SO, intermediate results and all the lower level intermediate results, were to be impacts of USAID activities and other development partners. For measuring the results of its Civil Society activities, USAID/Kiev established 19 intended results statements and 21 performance indicators as shown on the table on the following page. Appendix III contains USAID/Kiev's flow chart for SO 2.1 for Ukraine Civil Society activities.

Number of Results Statements and Number of Performance Indicators by Level for Civil Society Activities

Level	No. of Results Statements	No. of Performance Indicators
SO 2.1	1	2
Intermediate Result	2	3
First Lower Level-Intermediate Results	6	6
Second Lower Level-Intermediate Results	7	7
Third Lower Level-Intermediate Results	3	3
Total	19	21

As required by the process for each level, USAID/Kiev had defined the performance indicator, defined the unit of measurement and the source for the measurement information, and usually determined the baseline for each performance indicator. Also, USAID/Kiev had established annual targets for most performance indicators. Most of the indicators were quantitative. The SO team informed us that they found establishing meaningful indicators to be quite difficult and chose quantitative indicators which they believe addresses the SO. The team also said they frequently review the indicators to determine

if they are appropriate and if the measurement information is attainable at a reasonable cost.

In setting the performance indicators and baseline, USAID/Kiev did not involve its development partners in the process as a group. The development partners whom we interviewed told us that they were aware that the Mission was working on a new process, but they were not invited to comment specifically on the performance indicators and measures until a meeting in September 1996. These partners said that they generally believed that the performance indicators and measurement units were necessary and seemed realistic. However, these partners believed that they should have been more involved in the process. Mission officials pointed out that each SO team involved individual development partners as needed, but given the short timeframe (February to June 1996) to create and report under the new R4 process, the degree of involvement by the development partners was less than desired. The Mission is now involving the development partners as it reviews the results and begins to prepare for the first R4 report since developing the Results Framework and the indicators in June 1996. According to the development partners we spoke with, the Mission is involving them in discussion of the performance indicators. Because the Mission has recognized this weakness and is now involving the development partners in the process, we are not making any recommendation.

During the audit we noted additional issues with the performance indicators and targets. For example, the two performance indicators at the SO level center around "citizens who understand the political process" and the "Number of citizens who participate in NGO activities." While these indicators can be quantified, that is measured through public opinion polls, these indicators do not seem to measure the stated Strategic Objective–"Increased, better informed citizens' participation in political and economic decision making." That is, measuring understanding of the political process does not mean that there is an increase in citizen participation in political decision making. Also, the selected indicators do not address an increase in citizen participation in economic decision making. Mission officials commented that lower level performance indicators do begin to measure citizen participation in the political process, yet they could see our point.

Further, the current performance indicators cover only number of citizens who participate in NGO activities and who understand the political process, but do not measure the results of media programs, that is, an increase in better informed citizens. Media results and activities are a major facet in the effort to achieve this SO; thus, it seems to us necessary for the SO team to refine the performance indicator at the SO level to capture the outcome of the media programs in Ukraine. However, Mission officials pointed out that the

outcomes of support to Media activities are measured at the lower level performance indicators, but they understand the issued raised in the audit.

Also, it seems to us that the SO team should create a performance indicator which addresses citizen participation in political and economic decision making. Because the Mission is in the process of reviewing the results achieved and revising portions of the Results Framework, along with applicable performance indicators, we are not making a formal recommendation. Mission officials advised us that this is a dynamic process and subject to change as needed.

Performance Reporting and Monitoring Refined

USAID/Kiev, for its Ukraine civil society activities, in accordance with Agency directives and ENI Bureau guidance, developed portions of a system for collecting and reporting accurate performance data. However, at the time of audit, USAID/Kiev needed to complete its performance monitoring plan, obtain a clarification from the Bureau to ensure that reported results are within the specified time period and report results accurately.

USAID/Kiev was utilizing the SO team to collect and report performance data and this team was using ENI's Monitoring and Reporting System (MRS) as the collection point for this information. The MRS, in the form of Activity Monitoring Reports (AMRs), allows for reporting performance against targets and intermediate results, as well as the Strategic Objective level.

USAID/Kiev had not fully developed the reporting system as described in Agency and ENI Bureau guidance. For example, according to Mission officials, the Mission was in the process of finalizing its "performance monitoring plan." ENI Bureau guidance[4] states that a table defining the performance monitoring plan is one of four parts to a Results Framework and it is to specify for each performance indicator, the data source, method and timing of data collection, and action offices. At the beginning of the audit, USAID/Kiev developed a table defining the performance monitoring plan (See Appendix V). By the end of the audit, USAID/Kiev had completed it's plan.

The AMRs prepared thus far did not link performance against targets and intermediate results set in the Results Framework. Also, the AMRs submitted to the Bureau reported more outputs by activities at the intermediate results level rather that outcomes or results of outputs. Mission officials stated that

[4] Guidance on Strategic Plans, dated February 21, 1996

initially the Bureau wanted results reported at the target level by activity, however the Mission suggested to the Bureau that they should report at the intermediate results level. The Mission officials were fully aware that the reporting was output oriented, however, the Bureau had sanctioned this type of reporting in the fall of 1996. The Mission is in the process of preparing for the next R4 report and intends to report results of its activities in that report.

We tested the reported results in the R4 as of June 1996 and found that the information was generally accurate. However, according to the Agency guidance[5], the results information should be for the immediate past fiscal year or for the period which performance information is available, in this instance fiscal year 1995 or as of September 30, 1995. We noted, and confirmed with Mission staff, that the Mission was not aware that the results information was to be as of the end of the prior fiscal year and therefore, reported results collected up to the date of their submission in March 1996. Thus, some reported results occurred in fiscal years 1994 and 1996 rather than fiscal year 1995. For example, the Mission reported:

1) A network of 26 press clubs has been developed throughout Ukraine where journalists can meet on a weekly or bi-weekly basis with government officials. However, the audit found that there were only 25 press clubs and only 14 of these 25 press clubs were established in fiscal year 1995 and the other 11 were established previously; and

2) Town hall meetings had been organized in support of the drafting of (a) the new Constitution, (b) a civil code and (c) a wide variety of legislation. However, the audit found that these meeting were organized in fiscal year 1996.

In addition, the audit observed that reported "Results to date" in the R4 were more a description of activities rather than the results of those activities. For example, USAID/Kiev reported–

- More effective public action NGOs: Pubic policy and human rights NGOs are being strengthen through training and small grants. Their activities included (a) investigating human rights violations, (b) conducting regular and well-publicized opinion polls, (c) publishing a public policy journal and (d) producing a popular political TV program. While reporting what NGOs are going to do,

[5] ADS Section 203.5.9a

this excerpt does not show how the NGOs were made more effective and how they impacted public action.

- More effective public action NGOs: Women's NGOs are being fostered to address key issues such as (a) domestic violence, (b) legal inequality, and (c) women's entrepreneurship. While this excerpt states what women NGOs are going to do, again it does not show how these NGOs were more effective or what they accomplished.

According to Mission officials, the Mission intends to complete the required performance measurement plan before it submits its next R4 report. Also according to these officials, the Mission was not made aware of the reporting cut-off date being the past fiscal year and generally, Mission officials believed that the information should be as current as the report itself.

Recommendation No. 1: We recommend that USAID/Kiev obtain guidance from the ENI Bureau as to the reporting cut-off date.

Results Framework And "Flow Chart" Are Being Used But It Is Too Early to Tell If the Process Enhances Performance

USAID/Kiev was planning to use performance information to enhance program effectiveness. However, according to Mission officials, it is too early in the implementation of the R4 process to state that the new system has improved program effectiveness. Nonetheless, the SO team members told us that the discipline resulting from developing the "Strategic Framework"–flow chart–for the SO has greatly focused the team and development partners in trying to ensure that activities are directed towards achieving intermediate results and SO outcomes. The team also said that this process has led to considerable discussions and reviews of performance information to ensure that this information shows that they are making progress and/or conducting the proper activities.

MANAGEMENT COMMENTS AND OUR EVALUATION

In general, USAID/Kiev accepted the audit recommendation but noted that the reported findings contain some opinions expressed by the audit team which are at variance with Bureau guidance or in other cases reflect a differing interpretation of some aspects of strategic planning and performance monitoring than that used by the Agency and the Mission in the preparation of the 1996 R-4. Examples cited by the Mission included the discussion of the

development of the Framework by starting with the strategic objective and working down through the intermediate results which are necessary and sufficient to achieve the SO, or further down the scale which are necessary and sufficient to achieve the next higher intermediate result. According to the Mission, the audit team referred to this approach as deriving from the Mission's belief that this is the correct approach. in its opinion, this approach was mandated, and correctly so, and was not the product of the debate. The Mission noted also the discussion of activities versus results and stated that the Mission's R-4 recognizes that results often are staged, and that one level of activity or output is in fact an order of result. The Mission foresaw no difficulty in closing the recommendation. (See Appendix II.)

The audit team was not questioning the Mission's approach. However, the audit raised the question as to whether the performance indicators, established by the Mission, should measure USAID assistance results or the macro results of all development partners. The audit recognizes the need for macro measures, but asked if micro measures on USAID assistance are not required too. In light of the Agency beginning to develop "common" indicators and revising its guidance, we did not make any recommendation and believe that new Agency guidance may resolve this question.

Subsequent to providing its formal comments, the Mission sought guidance from the Bureau concerning the reporting cut-of date for the R4, in accordance with Audit Recommendation No. 1. On February 26, 1997, the Bureau advised that it interprets Agency guidance to mean that annual R4s should at least cover results through the end of the fiscal year preceding R4 submission. Given the R4's key functions of informing the USAID/W program review, linking resources allocation decisions to performance, and validating or justifying adjustment to the management contract, ENI would like posts to report the most recent performance data available at the time of R4 submission. Depending on the indicator and data source, data for some indicators may be regularly available in December, March, etc. In such cases, we would clearly want the most recent data, not data obtained early in the preceding fiscal year. We consider that this action constitutes a final management action on this recommendation; therefore, no further action is required by the Mission.

Were USAID/Kiev's Activities Implemented by Internews Making Satisfactory Progress Toward Achieving the Intended Results in Ukraine?

USAID/Kiev's Internews activities were making satisfactory progress toward achieving the intended results in Ukraine.

In May 1993, the USAID approved a three year grant of $7,735,000 to Internews to create an International Media Center (IMC) in Kiev, Ukraine. The grant was modified in June 1996 to add an additional $1,700,000 and extend the grant period to September 30, 1997. According to USAID records, as of September 30, 1996, $9.9 million had been obligated and $6.9 million spent on Internews activities in Ukraine. The overall purpose of the IMC was to help develop a pluralistic mass media in Ukraine, to encourage journalistic reform and raise professional standards, and to increase the flow of information into and out of Ukraine. Specifically, the IMC was primarily to include; 1) an independent television and radio production and training facility, and 2) a national press and information center.

The audit determined that Internews appeared to be on its way to achieving their intended results in Ukraine. For example, the IMC established an independent television and radio production and training facility, as well as an Information Press Center (IPC). Internews reported, and we confirmed, that the IMC conducted a number of activities including:

- producing and distributing daily and weekly television news and information programs;
- producing and distributing documentary films;
- organizing and conducting training sessions and seminars covering print, television, radio and computer topics. In total, the IMC training department has organized over 40 training courses attended by nearly 800 participants; and
- registering over 1,000 independent journalists who use the resource materials available at the IPC.

Further, the audit noted that IMC helped to establish UNIKA, one of Ukraine's two non-governmental TV networks. IMC provided office space in the IMC facility, as well as with other assistance needed to develop its daily, prime-time programming block. According to UNIKA, they currently have agreements with

35 independent television stations across Ukraine. These TV stations receive prime-time UNIKA programming, without charges.

We interviewed personnel from the network and seven of the 35 UNIKA member TV stations. They told us UNIKA established a national program schedule and that they provided high-quality, licensed programming and paid for the delivery of five hours of programming to the members stations. In addition, the personnel interviewed told us that the training received from Internews had been beneficial and contributed to the improvement of their news programs.

In addition to the successes of Internews' activities in Ukraine, the audit also noted that in attempting to achieve self-sustainability, the IMC began to produce a daily news program which was recognized as a very popular broadcast. Because of its popularity, IMC was able to enter into a contract with one of the State-owned TV stations which provided them with national exposure and a source of revenues. However, the broadcast of a daily news program may have been counter-productive to the grant's primary goal of supporting independent media in Ukraine. Whereas we are not making a recommendation in this regard, the following information is provided as an audit observation.

Broadcast of Daily News Program on State-owned TV Station

The original grant program description stated that the IMC itself would not produce any programming, but would provide resources to the many independent producers currently unable to afford them. The IMC would thus serve as a laboratory for the support of indigenous media organizations and free-lance journalist in the region. However, the grant also stated that IMC was expected to generate income from its activities with an aim to becoming fully self-sufficient after three years of outside funding.

Because of IMC's desire to become self-sustaining after three years, the IMC focused more of its efforts on producing a quality news program than on providing training and resources for all journalist in Ukraine. According to USAID/Kiev, the change in the grant's focus was primarily due to the lack of strong expatriate leadership, combined with the IMC's desire to gain national exposure and become commercially viable.

According to the President of IMC, in order to become self-sufficient, the IMC focus quickly became one of producing their own daily news program, "VIKNA" (Windows). Originally VIKNA was distributed only to independent stations through the UNIKA network. However, because of the high-quality and popularity of the news program, IMC was able to enter into a contract with one

of Ukraine's State-owned TV stations which provided them with national news exposure and revenues to help them become a commercially-viable organization. However, in December 31, 1996, IMC's contract with the State-owned TV station was not renewed and IMC Corporation was forced to suspend the production of the daily news program until an investor can be found.

Recognizing the change in program focus, Internews developed a revised workplan and budget, approved by USAID in principle, which set forth plans for restructuring Internews activities in Ukraine. The IMC was thus separated into two entities; 1) the IMC Corporation and 2) Internews-Ukraine. Internews-Ukraine would continue all "non-commercial" activities, e.g., training in support of independent television and radio stations. Whereas, the IMC Corporation, working under subcontract with Internews-Ukraine, would continue to produce television news and information programs, including the daily "VIKNA" news program and other weekly economic and political programs.

The grant was scheduled to expire by September 30, 1997, however, Internews had projected that all funds would be expended by February 28, 1997. Therefore, in November 1996, Internews submitted a proposal, which USAID/Kiev has approved in principle, requesting an additional $3.2 million more from USAID and to continue the support of Ukrainian independent media through 1999.

As a result of IMC choosing to attempt to become a commercially-viable news organization, the IMC President stated that less time and resources were devoted to providing training and resources to other independent media organizations. This was confirmed by our interviews with seven independent TV stations who stated that their stations would have benefited from more training. These personnel also stated that their stations would have benefited if they received the daily news program rather than IMC broadcasting on State-owned TV. This concern was noted in a April 1995 evaluation of Internews activities which concluded that station managers felt that airing VIKNA on the State-owned station hurt the independents.

Notwithstanding these concerns, it appears that USAID/Kiev took the appropriate action to separate the Internews activities between commercial and non-commercial activities. Therefore, we are not making a recommendation in this regard. However, USAID/Kiev should continue to closely monitor activities of the IMC Corporation to ensure that the positive aspects of this activity are not lost.

SCOPE AND METHODOLOGY

Scope

The Office of the Regional Inspector General for Audit/Frankfurt, audited USAID/Kiev's implementation of the Government Performance and Results Act for Democracy-Civil Society activities in Ukraine, in accordance with generally accepted government auditing standards. Audit field work was performed during the period January 14, 1997 through January 31, 1997. At the time of audit, the Mission stated that there were eleven USAID-funded organizations involved in implementing USAID activities related to the Civil Society Strategic Objective (SO 2.1). As of September 30, 1996, the USAID reported that about $29 million had been obligated about and about $20 million spent in support of this SO. However, none of these amounts were audited during this exercise.

To answer Audit Objective two, we audited the Ukraine activities of the Internews organization under SO 2.1, because it had received the largest amount of funding for any activity under this SO.

Methodology

To answer audit objective one, we assessed the Mission's management of controls for monitoring, reporting and evaluating its Civil Society activities. For audit objectives two, we assessed Internew's reporting on implementing their USAID-funded activities.

More specifically, we met with USAID/Kiev officials in Kiev, Ukraine, and four of the organizations funded under SO 2.1 in Ukraine. To answer the second objective, we visited with representatives of the International Media Center, Internews-Ukraine, and the Information Press Center. We also met with station managers from seven independent television stations receiving Internews assistance. In addition, we reviewed Agency, ENI Bureau, and Mission guidance, as well as ENI Bureau and Mission Strategic Frameworks, progress reports, and reviews thereof. In planning for the audit, we assessed the Mission's risk exposure to be medium.

MANAGEMENT COMMENTS

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ACTION: AID

DISSEMINATION: AID
CHARGE: AID

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FRANKFURT FOR RIG/A/F

E.O. 12958: N/A
SUBJECT: DRAFT AUDIT REPORT OF USAID/KIEV'S IMPLEMENTATION OF THE GOVERNMENT PERFORMANCE AND RESULTS ACT FOR DEMOCRACY-CIVIL SOCIETY-ACTIVITIES IN UKRAINE.

PASSING INSTRUCTION FOR J. COMPETELLO

1. USAID KIEV HAS REVIEWED THE DRAFT AUDIT REPORT AND HAS THE FOLLOWING COMMENTS.

2. ON PAGE ELEVEN OF THE DRAFT AUDIT REPORT, THE LAST SENTENCE IN THE FIRST PARAGRAPH OF THE SECTION ENTITLED "PERFORMANCE REPORTING AND MONITORING CAN BE IMPROVED" SHOULD BE DELETED. MISSION'S UNDERSTANDING IS THAT REPORTED RESULTS ARE IN ACCORDANCE WITH AGENCY DIRECTIVES AND ARE NOT MISLEADING.

3. ON PAGE ELEVEN OF THE DRAFT AUDIT REPORT, THE LAST PARAGRAPH, THE SECOND TO THE LAST SENTENCE BEGINNING "THE MISSION OFFICIALS WERE FULLY AWARE THAT" SHOULD BE AMENDED TO READ, "THE MISSION OFFICIALS WERE FULLY AWARE THAT THE AMR SYSTEM WAS INTENDED TO REPORT AT THE OUTPUT LEVEL, HOWEVER, THE BUREAU HAD GIVEN THE MISSION GUIDANCE TO REPORT AT THE INTERMEDIATE RESULT LEVEL, IN THE FALL OF 1996.

4. IN GENERAL THE MISSION ACCEPTS THE AUDIT RECOMMENDATIONS BUT WOULD LIKE TO NOTE THAT THE

UNCLAS AIDAC KIEV 01442

REPORTED FINDINGS CONTAIN SOME OPINIONS EXPRESSED BY THE AUDIT TEAM WHICH ARE AT VARIANCE WITH BUREAU GUIDANCE OR IN OTHER CASES REFLECT A DIFFERING INTERPRETATION OF SOME ASPECTS OF STRATEGIC PLANNING AND PERFORMANCE MONITORING THAN THAT USED BY THE AGENCY AND THE MISSION IN THE PREPARATION OF THE 1996 R-4.

5. EXAMPLES INCLUDE THE DISCUSSION OF THE DEVELOPMENT OF THE FRAMEWORK BY STARTING WITH THE STRATEGIC OBJECTIVE AND WORKING DOWN THROUGH THE INTERMEDIATE RESULTS WHICH ARE NECESSARY AND SUFFICIENT TO ACHIEVE THE SO, OR FURTHER DOWN THE SCALE WHICH ARE NECESSARY AND SUFFICIENT TO ACHIEVE THE NEXT HIGHER INTERMEDIATE RESULT. THE TEAM REFERS TO THIS APPROACH AS DERIVING FROM THE MISSION'S BELIEF THAT THIS IS THE CORRECT APPROACH. THIS APPROACH IS MANDATED, AND CORRECTLY SO, AND WAS NOT THE PRODUCT OF THE DEBATE. THE MISSION NOTES ALSO THE DISCUSSION OF ACTIVITIES VERSUS RESULTS; THE MISSION'S R-4 RECOGNIZES THAT RESULTS OFTEN ARE STAGED, AND THAT ONE LEVEL OF ACTIVITY OR OUTPUT IS IN FACT AN ORDER OF RESULT.

6. THE MISSION FORESEES NO DIFFICULTY IN CLOSING THE RECOMMENDATIONS.
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USAID/Kiev's Strategic Framework for SO 2.1 [Civil Society]-Ukraine

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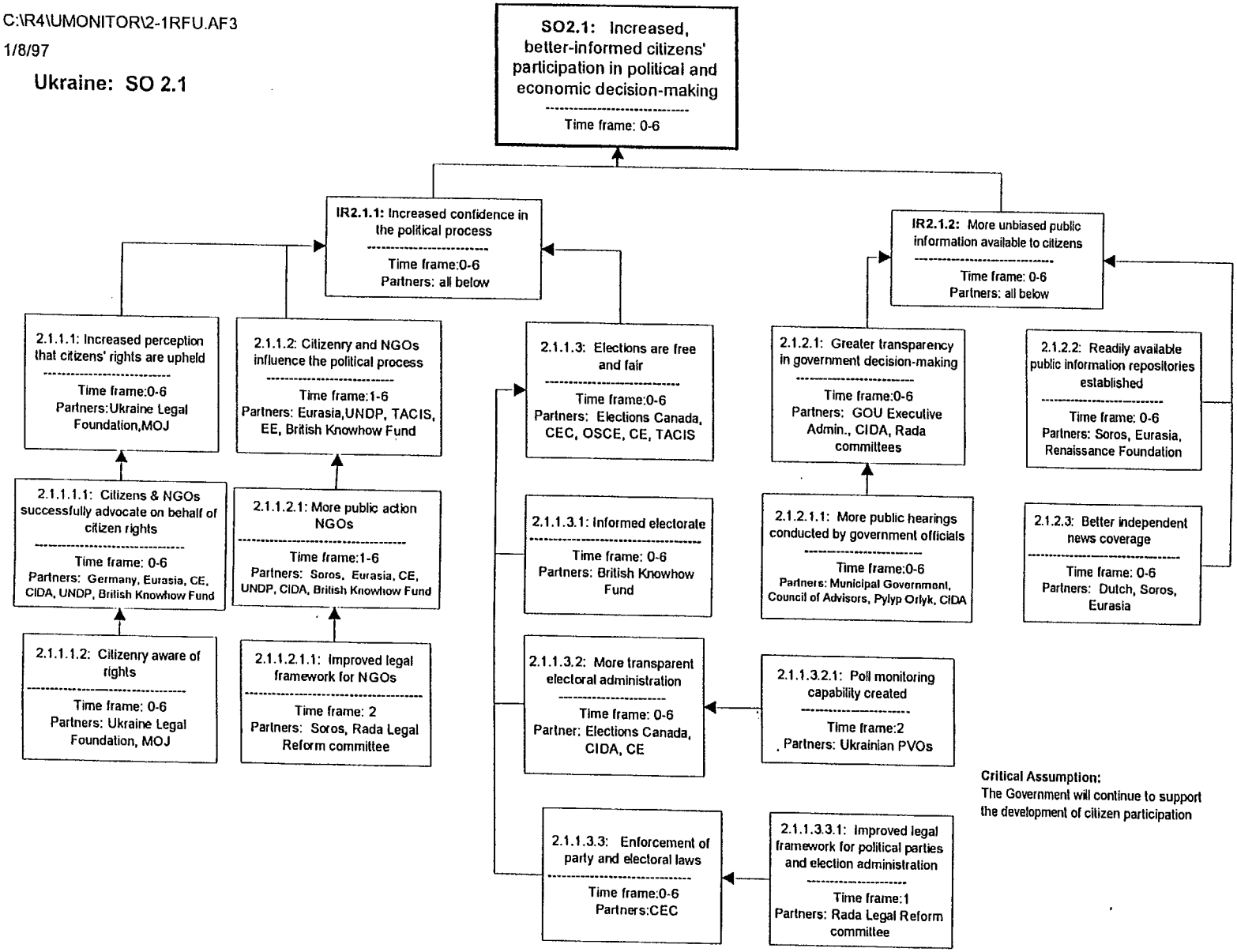
Ukraine: SO 2.1



USAID/Kiev's Results Framework for SO 2.1 [Civil Society]-Ukraine

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Ukraine: SO 2.1
PERFORMANCE DATA: BASELINE, TARGETS, AND ACTUAL RESULTS

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	BASELINE DATA		1996		1997	1998	1999
		YEAR	VALUE	Target	Actual	Target	Target	Target
Strategic Objective 2.1: Increased, better-informed citizens' participation in political and economic decision-making.								
1. Percentage of citizens who understand the political process. Source: USAID polling	Definition: random sample, forced choice question about information respondent has about the democratic process between "great deal/fair amount" and "not very much /nothing at all" Unit: percentage of "great deal/fair amount"	1994	28	30		32	34	36
2. Number of citizens who participate in NGO activities. Source: USAID poliing	Definition: increase in number of people participating in NGOs Unit: percentage	1995	TBD	2		2	2	2
I.R.2.1.1: Increased confidence in the political process.								
1. Percentage of people who believe they are being represented by their elected officials. Source: Democratic Initiatives polling	Definition: random sample, forced choice question about information respondent has about the democratic process Unit: percentage	1995	12	14		16	20	35

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	BASELINE DATA		1996		1997	1998	1999
		YEAR	VALUE	Target	Actual	Target	Target	Target
2. Public believes that elections are free, fair and transparent Source: USAID polling	Definition: random sample, forced choice question on whether some fraud occurred during Presidential elections: "fraud occurred" vs "free and fair" Unit: percentage of "free and fair"	1994	40	42		44	46	49
I.R.2.1.1.1: People believe that laws are consistently enforced regardless of political influence.								
1. Citizens who believe that laws are consistently enforced. Source: USAID polling	Definition: Yes/No question Unit:percentage increase of Yes	1996	N/A	5		5	5	5
I.R.2.1.1.1.1: Citizens and NGOs successfully advocate on behalf of citizen interests.								
1. Number of NGOs representing women's issues. Source: Ministry of Justice database	Definition: number of NGOs representing women's issues Unit: number	1996	50 (Counter part database)	60		70	75	80

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	BASELINE DATA		1996		1997	1998	1999
		YEAR	VALUE	Target	Actual	Target	Target	Target
I.R.2.1.1.1.2: Citizenry aware of rights.								
1. Citizens aware of basic human and civil rights. Source:USAID polling	Definition: random sample, agree/disagree choice for "I don't have enough information about my rights with regard to authorities" Unit: percentage of "disagrees"	1994	14	15		16	17	18
I.R. 2.1.1.2: Citizenry and NGOs influence the political process.								
1. Draft national legislative initiatives introduced by legislative branch in which there was citizen participation in the deliberative process. Source: USAID	Definition: drafts presented to Supreme Rada Unit: number of drafts	1995	0	1		3	10	20
I.R. 2.1.1.2.1: More public action NGOs.								
1. New federations, organizations, coalitions, etc. formed to promote/oppose specific policies/ legislation. Source: Ministry of Justice	Definition: number of NGOs registered with Ministry of Justice. Unit: number of NGOs	1995	5000	5250		5500	5700	5900

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	BASELINE DATA						
				1996		1997	1998	1999
		YEAR	VALUE	Target	Actual	Target	Target	Target
I.R. 2.1.1.2.1.1: Improved legal framework for NGOs.								
1. Improved registration process. Source: USAID	Definition: legal status and registration process clarified in new law Unit: Yes/No	1995	No	proposal		Yes	N/A	N/A
I.R. 2.1.1.3: Elections are free and fair.								
1. Rating of elections/referenda as free and fair by local and international monitors. Source: International monitors and poll watchers	Definition: international monitor criteria & congruency check of poll count vs official results Unit: Yes/No	1994	Yes	Yes (referendum)		N/A	Yes	Yes
I.R. 2.1.1.3.1: Informed electorate.								
1. More informed electorate. Source: Survey	Definition: # of people who (1) feel there was enough info available to make an informed electoral choice, and (2) who know they have the right to file a claim against their local electoral committee. Unit: percentage increase	1995 1997	44 TBD	N/A TBD		50 TBD	65 TBD	70 TBD

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	BASELINE DATA		1996		1997	1998	1999
		YEAR	VALUE	Target	Actual	Target	Target	Target
I.R. 2.1.1.3.2: More transparent electoral administration.								
1. 1.Polling stations monitored by independent domestic monitors. Source: Central Election Commission	Definition:# of polling stations monitored by independent domestic observers Unit: percentage increase	1994	TBD	N/A		N/A	TBD	TBD
I.R. 2.1.1.3.2.1: Poll monitoring capability created.								
1. Domestic poll monitoring legally recognized. Source: Election law	Definition:provision on domestic poll monotoring included in new election law Unit: Yes/No	1995	No	No		Yes	N/A	N/A
I.R. 2.1.1.3.3: Enforcement of party and electoral laws.								
1. Electoral and party legal violations complaints adjudicated. Source: Central Election Commission	Definition: percentage increase of complaints adjudicated Unit: percentage increase	1997	N/A	N/A		50	N/A	70

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	BASELINE DATA		1996		1997	1998	1999
		YEAR	VALUE	Target	Actual	Target	Target	Target
I.R. 2.1.1.3.3.1: Improved legal framework for political parties and election administration.								
1.New election law results in greater representation. Source: IFES	Definition:decrease in percentage of Rada seats left vacant due to turnout requirements Unit: % of Rada seats vacant	1995	10	N/A		N/A	1	N/A
I.R. 2.1.2: More unbiased public information available to citizens.								
1. Exposure to non-government and politically unaffiliated news sources Source: independent media records	Definition: increase in hours of independent TV programming Unit: hours per week	1996	TBD	10		15	20	25
I.R. 2.1.2.1: Greater transparency in government decision-making.								
1. Draft legislation publicly available. Source: USAID (contractors)	Definition: for 50% of laws a copy is accessible in a public office in each (total=27) oblast at least 2hrs/wk Unit: number of oblasts	1995	0	10		27	27	27

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	BASELINE DATA		1996		1997	1998	1999
		YEAR	VALUE	Target	Actual	Target	Target	Target
I.R. 2.1.2.1.1: More public hearings conducted by government officials.								
1. Municipal public hearings held. Source: municipal records	Definition: medium-sized municipalities (300-500,000 pop.) that have public hearings, seminars, round tables (total=16) Unit: number of holding hearings	1995	2	4		10	15	16
I.R. 2.1.2.2: Readily available public information repositories established.								
1. Regions with access to non-government media repositories. Source: USAID (contractors)	Definition: regions with access to non-governmental archives, libraries, data bases (total=5 regions) Unit: number	1995	1	2		3	4	5
I.R. 2.1.2.3: Better independent news coverage.								
1. Increased independent TV news access. Source: USAID (contractors)	Definition: medium and large cities (over 300,000 pop.) with coverage of daily national news by non-government stations Unit: number of cities	1996	3	3		5	8	10

USAID/Kiev's Performance Measurement Plan for SO 2.1 [Civil Society]-Ukraine

Ukraine: SO 2.1
PERFORMANCE MEASUREMENT PLAN

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	METHOD/ APPROACH OF DATA COLLECTION	DATA ACQUISITION BY MISSION		ANALYSIS & REPORTING	
			SCHEDULE/ FREQUENCY	RESPONSIBLE OFFICE	SCHEDULE BY REPORT	RESPONSIBLE OFFICE
Strategic Objective 2.1: Increased, better-informed citizens' participation in political and economic decision-making.						
1. Percentage of citizens who understand the political process. Source: USAID polling	Definition: random sample, forced choice question about information respondent has about the democratic process between "great deal/fair amount" and "not very much /nothing at all" Unit: percentage of "great deal/fair amount"	IFES polling	annually	ODST	March 15 R4	ODST
2. Number of citizens who participate in NGO activities. Source: USAID poling	Definition: increase in number of people participating in NGOs Unit: percentage	IFES polling	annually	ODST	March 15 R4	ODST
I.R.2.1.1: Increased confidence in the political process.						
1. Percentage of people who believe they are being represented by their elected officials. Source: Democratic Initiatives polling	Definition: random sample, forced choice question about information respondent has about the democratic process Unit: percentage	IFES polling	annually	ODST	March 15 R4	ODST

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	METHOD/ APPROACH OF DATA COLLECTION	DATA ACQUISITION BY MISSION		ANALYSIS & REPORTING	
			SCHEDULE/ FREQUENCY	RESPONSIBLE OFFICE	SCHEDULE BY REPORT	RESPONSIBLE OFFICE
2. Public believes that elections are free, fair and transparent Source: USAID polling	Definition: random sample, forced choice question on whether some fraud occurred during Presidential elections: "fraud occurred" vs "free and fair" Unit: percentage of "free and fair"	IFES polling	annually	ODST	March 15 R4	ODST
I.R.2.1.1.1: People believe that laws are consistently enforced regardless of political influence.						
1. Citizens who believe that laws are consistently enforced. Source: USAID polling	Definition: Yes/No question Unit:percentage increase of Yes	IFES polling or press monitoring	annually	ODST	March 15 R4	ODST
I.R.2.1.1.1.1: Citizens and NGOs successfully advocate on behalf of citizen interests.						
1. Number of NGOs representing women's issues. Source: Ministry of Justice database	Definition: number of NGOs representing women's issues Unit: number	USAID	annually	PCS	March 15 R4	PCS

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	METHOD/ APPROACH OF DATA COLLECTION	DATA ACQUISITION BY MISSION		ANALYSIS & REPORTING	
			SCHEDULE/ FREQUENCY	RESPONSIBLE OFFICE	SCHEDULE BY REPORT	RESPONSIBLE OFFICE
I.R.2.1.1.1.2: Citizenry aware of rights.						
1. Citizens aware of basic human and civil rights. Source:USAID polling	Definition: random sample, agree/disagree choice for "I don't have enough information about my rights with regard to authorities" Unit: percentage of "disagrees"	IFES polling	annually	ODST	March 15 R4	ODST
I.R. 2.1.1.2: Citizenry and NGOs influence the political process.						
1. Draft national legislative initiatives introduced by legislative branch in which there was citizen participation in the deliberative process. Source: USAID	Definition: drafts presented to Supreme Rada Unit: number of drafts	USAID Rule of Law contractor	annually	ODST	March 15 R4	ODST
I.R. 2.1.1.2.1: More public action NGOs.						
1. New federations, organizations, coalitions, etc. formed to promote/oppose specific policies/ legislation. Source: Ministry of Justice	Definition: number of NGOs registered with Ministry of Justice Unit: number of NGOs	USAID	annually	PCS	March 15 R4	PCS

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	METHOD/ APPROACH OF DATA COLLECTION	DATA ACQUISITION BY MISSION		ANALYSIS & REPORTING	
			SCHEDULE/ FREQUENCY	RESPONSIBLE OFFICE	SCHEDULE BY REPORT	RESPONSIBLE OFFICE
I.R. 2.1.1.2.1.1: Improved legal framework for NGOs.						
1. Improved registration process. Source: USAID	Definition: legal status and registration process clarified in new law Unit: Yes/No	USAID	annually	ODST	March 15 R4	ODST
I.R. 2.1.1.3: Elections are free and fair.						
1. Rating of elections/referenda as free and fair by local and international monitors. Source: International monitors and poll watchers	Definition: international monitor criteria & congruency check of poll count vs official results Unit: Yes/No	IFES reporting	annually	ODST	March 15 R4	ODST

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	METHOD/ APPROACH OF DATA COLLECTION	DATA ACQUISITION BY MISSION		ANALYSIS & REPORTING	
			SCHEDULE/ FREQUENCY	RESPONSIBLE OFFICE	SCHEDULE BY REPORT	RESPONSIBLE OFFICE
I.R. 2.1.1.3.1: Informed electorate.						
1. More informed electorate. Source: USAID polling	Definition: # of people who (1) feel there was enough info available to make an informed electoral choice, and (2) who know they have the right to file a claim against their local electoral committee. Unit: percentage increase	IFES polling	annually	ODST	March 15 R4	ODST
I.R. 2.1.1.3.2: More transparent electoral administration.						
1.Polling stations monitored by independent domestic monitors. Source: Central Election Commission	Definition: # of polling stations monitored by independent domestic observers Unit: percentage increase	IFES, NDI reports	annually	ODST	March 15 R4	ODST
I.R. 2.1.1.3.2.1: Poll monitoring capability created.						
1. Domestic poll monitoring legally recognized. Source: Election law	Definition: provision on domestic poll monotoring included in new election law Unit: Yes/No	IFES, NDI	annually	ODST	March 15 R4	ODST

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	METHOD/ APPROACH OF DATA COLLECTION	DATA ACQUISITION BY MISSION		ANALYSIS & REPORTING	
			SCHEDULE/ FREQUENCY	RESPONSIBLE OFFICE	SCHEDULE BY REPORT	RESPONSIBLE OFFICE
I.R. 2.1.1.3.3: Enforcement of party and electoral laws.						
1. Electoral and party legal violations complaints adjudicated. Source: Central Election Commission	Definition: percentage increase of complaints adjudicated Unit: percentage increase	IFES, NDI	annually	ODST	March 15 R4	ODST
I.R. 2.1.1.3.3.1: Improved legal framework for plitical parties and election administration.						
1. New election law results in greater representation. Source: IFES	Definition: decrease in percentage of Rada seats left vacant due to turnout requirements Unit: % of Rada seats vacant	IFES data	annually	ODST	March 15 R4	ODST
I.R. 2.1.2: More unbiased public information available to citizens.						
1. Exposure to non-government and politically unaffiliated news sources Source: independent media records	Definition: increase in hours of independent TV programming Unit: hours per week	USAID grantee	annually	ODST	March 15 R4	ODST

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	METHOD/ APPROACH OF DATA COLLECTION	DATA ACQUISITION BY MISSION		ANALYSIS & REPORTING	
			SCHEDULE/ FREQUENCY	RESPONSIBLE OFFICE	SCHEDULE BY REPORT	RESPONSIBLE OFFICE
I.R. 2.1.2.1: Greater transparency in government decision-making.						
1. Draft legislation publicly available. Source: USAID (contractors)	Definition: for 50% of laws a copy is accessible in a public office in each (total=27) oblast at least 2hrs/wk Unit: number of oblasts	USAID contractor	annually	ODST	March 15 R4	ODST
I.R. 2.1.2.1.1: More public hearings conducted by government officials.						
1. Municipal public hearings held. Source: municipal records	Definition: medium-sized municipalities (300-500,000 pop.) that have public hearings, seminars, round tables (total=16) Unit: number of holding hearings	RTI	annually	ODST	March 15 R4	ODST
I.R. 2.1.2.2: Readily available public information repositories established.						
1. Regions with access to non-government media repositories. Source: USAID (contractors)	Definition: regions with access to non-governmental archives, libraries, data bases (total=5 regions) Unit: number	USAID contractor	annually	ODST	March 15 R4	ODST

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	METHOD/ APPROACH OF DATA COLLECTION	DATA ACQUISITION BY MISSION		ANALYSIS & REPORTING	
			SCHEDULE/ FREQUENCY	RESPONSIBLE OFFICE	SCHEDULE BY REPORT	RESPONSIBLE OFFICE
I.R. 2.1.2.3: Better independent news coverage.						
1. Increased independent TV news access. Source: USAID (contractors)	Definition: medium and large cities (over 300,000 pop.) with coverage of daily national news by non-government stations Unit: number of cities	USAID contractor	annually	ODST	March 15 R4	ODST