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FINAL DRAFT REPORT

**MONITORING PROGRAM
PERFORMANCE: USAID/UGANDA**

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ACRONYMS

ABS	-	Annual Budget Submission
AFR/W	-	Africa Bureau/Washington
API	-	Assessment of Program Impact
CN	-	Congressional Notification
CP	-	Congressional Presentation
DHS	-	Demographic and Health Survey
MERS	-	Monitoring, Evaluation & Reporting System
MOE	-	Ministry of Education
NGO	-	Non-Governmental Organization
NPA	-	Non-Project Assistance
OTM	-	Objective Tree Methodology
OYB	-	Overall Yearly Budget
PLE	-	Primary Leaving Examination
PRISM	-	Program Performance Information for Strategic Management
PPAS	-	Program Performance Assessment System
TDY	-	Temporary Duty
TPM	-	Team Planning Meeting
USAID	-	United States Agency for International Development
WID	-	Women in Development

I. INTRODUCTION

A. Purpose and Scope of Work

The primary purpose of this report is to provide a record of the conclusions of the Team's work with USAID/Uganda, which focused on establishment of a Program Impact Monitoring, Evaluation and Reporting System for the key programmatic areas of its portfolio. The report also includes feedback to the Mission on substantive issues that emerged during the process and suggests the next steps in establishing the system.

When the Monitoring, Evaluation and Reporting System (MERS) is installed, USAID will be able to identify the key areas which need greater management attention and those areas of its portfolio where progress is being made toward achievement of the intended impacts. The information will be used by the Mission for internal management purposes and for reporting to AID/Washington. The latter will use the information to report to the AID Administrator, Congress, and other interested groups on AID's program results and impact.

B. Methodology and Process

The MERS Team visited USAID/Uganda from June 14 through June 25, 1992. The composition of the Team was: Andrew Sisson, AFR/DP, senior economic adviser, Team leader with shared team responsibility for the agricultural export program and the program goal and sub-goal; Carolyn Barnes, a senior social scientist on the PRISM contract with CDIE/E, with shared team responsibility for the bio-diversity and the health and family planning programs; and Samuel Tadesse, MSI, senior economist and evaluation specialist with shared team responsibility for the agricultural export and the primary education programs. Throughout the entire process the Team worked with Ms. Shirley Erves of the Program Office and with strategic objectives working group leaders who were generous with their time and of great assistance throughout the assignment on technical and administrative matters, and who participated fully in developing this program impact monitoring, evaluation and reporting system.

The MERS Team took as points of departure the Mission goals and strategic objectives articulated in the Mission's Country Program Strategic Plan (CPSP), the Mission's current pattern of funding allocations, and basic program documents. The strategic objectives as approved by AFR/W and the stated targets (program outcomes) and their indicators were reviewed by each strategic objective team from the perspective of their consistency with an analysis of the country situation and key Mission priorities, their feasibility given projected resource levels, and their fit with AID guidance on statement of targets and indicators. Moreover, specific attention was given to the intended distribution of the program impacts upon the Ugandan people, males and females, in keeping with the Development Fund for Africa.

Prior to their departure from the U.S., the Team held an extensive team planning meeting (TPM), which extended over several days. The first part of the TPM centered on team building

and clarification of the scope of work and specific tasks. Thereafter meetings were held with staff of AFR/DP, ARTS and ONI as well as the desk officer and the Mission deputy director who was in AID/W. Many people generously gave their time to brief the Team on aspects of the Uganda program.

Once in Uganda the Team basically followed the objectives and the schedule established at the May 29, 1992 Team Planning Meeting. On Monday June 15, the Team met with the Mission Director Keith Sherper, and Norman Olsen and Shirley Erves of the Program Office to discuss the Team's scope of work and the Mission's expectations and concerns. Following this meeting the Team was introduced to Mission staff at the regular Mission staff meeting. Throughout the day the Team met with the various technical office directors and was briefed on specific program activities. (See Annex 1 for the Team's work schedule). On Tuesday June 16, the Team conducted a two-hour Mission-wide seminar in which about 25 direct hires, contractors and FSNs participated. The seminar covered (a) the objectives and uses of the program MERS, (b) objective tree methodology and definitions, (c) an overview of a program monitoring, evaluation and reporting system, (d) the linkage between the Mission's MERS and the Agency's PRISM process, and (e) the Team's strategy for working with the Mission staff. The seminar ensured a common vocabulary and provided a clearer understanding of how a Mission's program strategy is laid out and of the linkages between strategic objectives and program targets. (See Annex 3 for a brief discussion of the Objective Tree Terminology). The seminar also reinforced what questions need to be asked in order to establish a functioning Monitoring, Evaluation and Reporting System (see Annex 4 for a brief overview of MERS system).

Five working groups were formed to focus on refinement of the Mission's program targets (outcomes) and performance indicators and to reconfirm the strategic objectives, program sub-goal and program goal. The Goal and Sub-Goal Working Group was facilitated by Andrew Sisson; Strategic Objectives No. 1 and 3 working groups were facilitated by Samuel Tadesse; and Strategic Objectives No. 2 and 4 working groups were facilitated by Carolyn Barnes. For a listing of working group members see Annex 4. Over the course of the Team's visit each group met two to three times. In addition, individual members of the Team worked with individuals and small groups on specific tasks. Mission staff and officers devoted many hours to focusing on the program logframe and discussing the implications and linkages at every step.

The results were summarized in a mid-term briefing of Mission management. The mid-term review produced a couple of issues, most importantly the phrasing of Strategic Objective No. 1 which was changed during the CPSP review in AID/W. The Mission Director agreed to meet with the Strategic Objective No. 1 Working Group to explain the circumstances that led to the change and the direction articulated in light of the need to focus and concentrate Mission activities.

On the last day, Friday June 25, the working group leaders presented the results of their group's work to the full staff and Mission Director. This enabled each participant to have a better understanding of each component of the Mission program. In addition, the Team members presented summary comments and highlighted some critical aspects of the next stages.

Substantial progress was made, although the stage reached varied across the four strategic objective working groups due to various programmatic factors. As the following sections indicate, work associated with Strategic Objectives 2 and 4 is much further along than on the other strategic objectives. There seemed to be general agreement about the objectives, targets and indicators for Strategic Objectives 2 and 4. Strategic Objective 3 needs to be revisited and finalized when the education officer arrives at post and the head of the division returns from leave. Strategic Objective 1 still needs more focus although strides were made in this direction during the Team's visit.

The present report should be considered an iteration in the Mission's process of establishing its MERS. It should assist the responsible technical and program officers to prepare for the Mission's next Assessment of Program Impact report.

C. Organization of the Report

Chapter I introduces the methodology and process used by the Team. The first part of Chapter II presents and explains the Mission's program goal and sub-goal. Part two discusses each of the Mission's strategic objectives, how they relate to the program goal and sub-goal, and their indicators and data sources. It also highlights special considerations and suggests import next steps related to each strategic objective. The last part of this chapter discusses cross-cutting issues.

Chapter III outlines the next steps for further development and implementation of a monitoring, evaluation and reporting system within the Mission. It sets forth recommendations which have Mission-wide application. The report also includes the following annexes.

ANNEX 1. MERS Team Work Schedule

ANNEX 2. Objective Tree Methodology Overview

ANNEX 3. Monitoring, Evaluation and Reporting System Overview

ANNEX 4. List of Working Group Members

II. GOALS, STRATEGIC OBJECTIVES, PROGRAM TARGETS AND PERFORMANCE INDICATORS

A. PROGRAM GOAL AND SUB-GOAL

Program Goal: Establish the basis for sustained improvements in the Standard of Living.

1. Rationale

This goal emphasizes the fact that the Government of Uganda (GOU) has chosen the raising of the standard of living of Ugandans as a priority. War and government mismanagement over the last two decades have left the economy and the socio-economic infrastructure in ruins. By United Nations standards Uganda is among the poorest countries in the world. Unemployment and inflation have had an adverse impact on the lives of the Ugandan people. Infant and child mortality rates and adult illiteracy rates are among the highest in the world. Overall, the standard of living of all Ugandans is significantly below what it was in the 1960s.

Achievement of the goal can be measured in terms of:

- Decrease in food budget as a % of household expenditure for the bottom 25% of the households;
- Increase in infant and child survival rates; and
- Increase in adult literacy rates

Program Sub-Goal: Sustainable equitable economic growth promoted on a competitive, diversified basis.

The sub-goal addresses the fundamental issue of expanding the economy on a sustained and equitable basis. While the goal and sub-goals are beyond the manageable interest of the Mission, USAID/Uganda has various program-level interventions that contribute to the achievement of the goal and the sub-goal. Private sector-led economic expansion is key to raising the standard of living of Ugandans. Targeting rural communities will ensure that the bottom half of the population will benefit from the fruits of Uganda's economic expansion. Achievements at the sub-goal level can be measured by the following indicators.

- Decrease in % population with per capita expenditure below \$50 per year;
- Increase in real per capita GDP; and
- Increase in private sector GDP as a % of total GDP.

2. Program Strategy

The Mission's overall program strategy is geared to reversing the decline in Ugandans' standard of living by assisting the government to address:

- policies and regulatory issues related to the opening up of the economy for accelerated private investment and the expansion of agricultural exports;
- stabilization of bio-diversity in target areas;
- upgrading the quality of primary education by providing relevant educational materials and retraining of teachers; and
- health and family planning issues that have placed an increasing demand on the economy for social services.

The objective tree summarizing the Mission's program strategy is shown as Figure 1. The Mission's program goal, sub-goal with their associated performance indicators and data sources are presented in Table 1.

3. The Working Group's Discussions

The working group discussed the meaning of each word in the goal and sub-goal statements, considering in some detail, for example, equity issues. The participants then proceeded to brainstorm about possible indicators of each statement. In doing the latter they sought to identify indicators for which data bases exist.

4. Special Considerations and Next Steps

Data for the first goal-level indicator are available from the Household Budget Survey, although the Mission will need to ensure that the GOU intends to periodically repeat the survey. Information for the second is available from the Demographic and Health Survey and plans exist for updating the current data base. Further attention needs to be given to data on literacy rates and to identify any intention of the GOU or other donors to update current information. In addition, the working group expressed a desire to include a goal level indicator which would capture progress on gender issues but needs to identify an existing data base which could be used.

The Mission should make a special effort to identify meaningful national-level data in light of the fact that good data are scarce in Uganda. If the Mission determines that it is necessary to engage in original data collection efforts, collaboration with other donors and the GOU may be advantageous.

Figure 1.

USAID/Uganda
Program Objective Tree

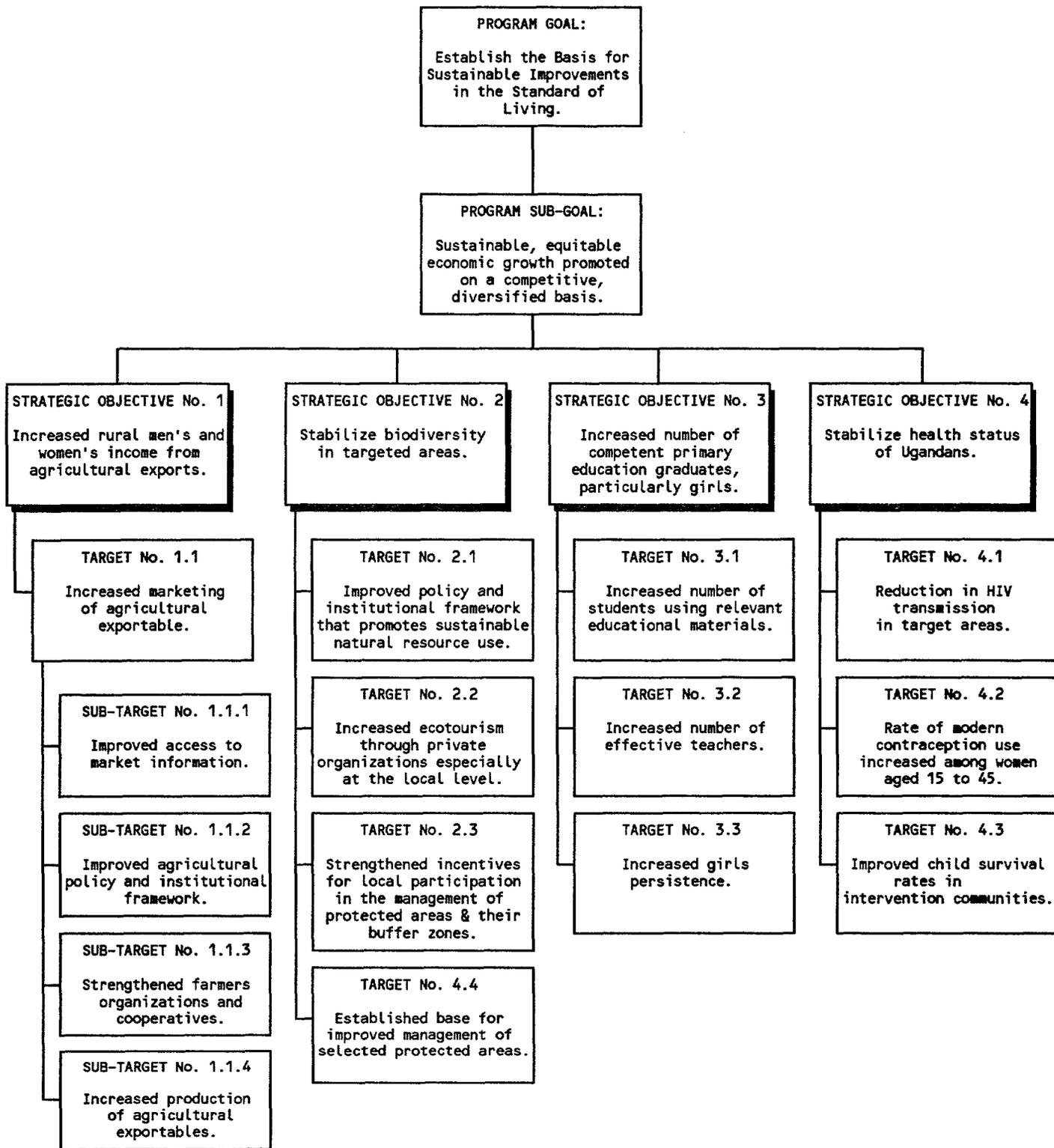


Table 1. Assessment of Program Impact - Program Goal and Sub-Goal

GOALS/OBJECTIVES/OUTCOMES	PERFORMANCE INDICATORS & DATA SOURCES	BASELINE	ACTUAL 1991	EXPECTED PERFORMANCE LEVELS					CRITICAL ASSUMPTIONS
				1992	1993	1994	1995	1996	
<p>PROGRAM GOAL:</p> <p>Establish the basis for sustained improvements in the Standard of Living.</p> <p>RESPONSIBILITY:</p> <p>ECONOMICS OFFICE</p>	<p>1. Decrease in food budget as a % of household expenditure for the bottom 25 % of households</p> <p>2. Increase in infant and child survival rates</p> <p>3. Increase in adult literacy rate</p> <p>DATA SOURCES:</p> <p>¹ Household Budget Survey</p> <p>² Ministry of Health</p> <p>³ Ministry of Education & Sports</p>								
<p>PROGRAM SUB-GOAL:</p> <p>Sustainable equitable economic growth promoted on a competitive, diversified basis.</p> <p>RESPONSIBILITY:</p> <p>ECONOMICS OFFICE</p>	<p>1. Decrease in % of population with per capita expenditures below \$50 per year</p> <p>2. Increase in real per capita GDP</p> <p>3. Increase in private sector GDP as a % of total GDP</p> <p>DATA SOURCES</p> <p>¹ Household Budget Survey</p> <p>^{2,3} Department of Statistics, Ministry of Finance & Economic Planning</p>								

B. STRATEGIC OBJECTIVE No. 1: Increased rural men's and women's income from agricultural exports.

1. Rationale

Agriculture contributes over 66 percent of GDP, 99 percent of export earnings, close to 80 percent of employment and 40 percent of government revenues. Therefore, in the short run, the key to Uganda's economic growth lies in the expansion of agricultural exports. Uganda is overly dependent upon donors for its foreign exchange requirements. Three-fourths of its foreign exchange requirement and about 60 percent of its operating budget are derived from multilateral and bilateral donors. Uganda cannot hope to sustain its economic growth and thereby uplift the standard of living of Ugandans without breaking the substantial dependence on donor financing. It must diversify and increase the level of its agricultural exports. Furthermore, expansion of export-related activities, besides generating badly needed foreign exchange to pay off external debt, is perhaps the only avenue available to the country for generating jobs for its rapidly expanding rural population. The Mission's strategy behind Strategic Objective No. 1 is focussed on expanding the value and variety of Ugandan agricultural exports, and making the economy of Uganda less dependent on coffee and cotton exports.

2. Strategy

Strategic Objective No. 1 directly supports the Mission's higher level Program Sub-Goal: Sustainable, equitable, economic growth promoted on a competitive, diversified basis. Increased foreign exchange earnings from agricultural exports will enable Uganda to reduce its balance of trade deficit while providing the capital to purchase raw material and industrial equipment to sustain the expansion and diversification of the economy. The openness and market orientation of the economy will provide increased employment and income opportunities by attracting private sector investment.

USAID/Uganda has suggested various means to achieve this strategic objective. The following discussion of program targets reflects Mission discussions during the TDY, but further attention needs to be given to analytical gaps and reaching agreement on the targets. Improvements in marketing capabilities and international competitiveness of private firms in an open market economy will enhance Uganda's ability to penetrate new markets and to increase market share in existing markets (TARGET No. 1.1). The Mission has various activities underway, including policy dialogue, that will lead to the enactment of outward-looking and market-oriented policies and regulations. These policy reforms will effectively remove market barriers and regulatory costs and make Ugandan goods and services internationally competitive. Technical assistance will be provided on a cost-share basis to improve and enhance the production, processing, marketing and trade financing capabilities of private firms and organizations in order to further enhance the international competitiveness of Ugandan agricultural exports. USAID/Uganda will work with private business associations and marketing organizations to develop an enhanced market information system in order to enable private firms/organizations to identify and develop

new markets and new export crops. Producer-market linkages will be strengthened to assist small-holder farmers export their agricultural produce.

Expansion of private agribusiness investment in the export sector will allow expansion of export-oriented businesses and enhance the international competitiveness of Ugandan export crops, which is critical to the sustained generation of export-lead foreign exchange earnings and income. Furthermore, expansion of the investment base will generate additional employment opportunities and will increase the incomes of producers, processors and marketers. USAID/Uganda, in collaboration with multilateral donors, will assist the Government of Uganda develop and implement favorable investment policies that will encourage expanded private sector investment in the export sector.

The pertinent objective tree showing the program target linkages to Strategic Objective No. 1 is presented in Figure 2. Performance indicators associated with the strategic objective and program targets are presented in Table 2.

3. The Working Group's Discussions

There was a great deal of discussion about the meaning and appropriateness of the strategic objective. The strategic objective had been reconceptualized during the CPSP review week in AID/W and the working group members had not had time previously to reflect on its implications. The Mission Director briefed the working group on the discussions during the CPSP review in AID/W and talked about ways in which USAID's agricultural program could contribute to achieving this objective. Time was spent trying to operationalize each word in the strategic objective statement. In addition the participants brainstormed and discussed the necessary and sufficient conditions for reaching the objective. The group covered a variety of target and subtarget-level results which would help Uganda to increase its agricultural exports. Participants did not feel comfortable narrowing the program to specific agricultural commodities since no commodities have been identified in which Uganda has a good comparative export advantage. The aim is to broaden the agricultural export base, which currently consists mainly of cotton and coffee.

4. Special Considerations and Next Steps

Substantive work still needs to be done on this strategic objective. There is no consensus on operational definitions of the strategic objective and how it would be measured. It is important to reach agreement on this since the Mission intends to proceed as soon as possible to launch a study to document the impact of its current non-traditional export program.

Also, further work needs to be done to identify critical, priority policy, institutional and other factors which currently constrain advancement toward achievement of the strategic objective. The Mission's policy reform agenda on trade and investment issues has not yet been formally vetted with the Government of Uganda and final priorities have not yet been established. More attention needs to be given to focus the program targets on critical constraints which the Mission

should address. A review of existing data on factors affecting the promotion of agricultural exports should be a priority.

4. USAID/Uganda Inputs

USAID/Uganda has several projects underway and new programs to support the achievement of Strategic Objective No. 1. Some of these projects are listed below.

1. Non-Traditional Export Program - \$ 100.0 million: '88 - '98
2. Agricultural Marketing & Institutional Strengthening Program - \$ 25.0 million: '93 - '98
3. Policy Analysis and Capacity Building Project - \$7.0 million; '91 - '95

Figure 2.

USAID/Uganda
Strategic Objective No. 1

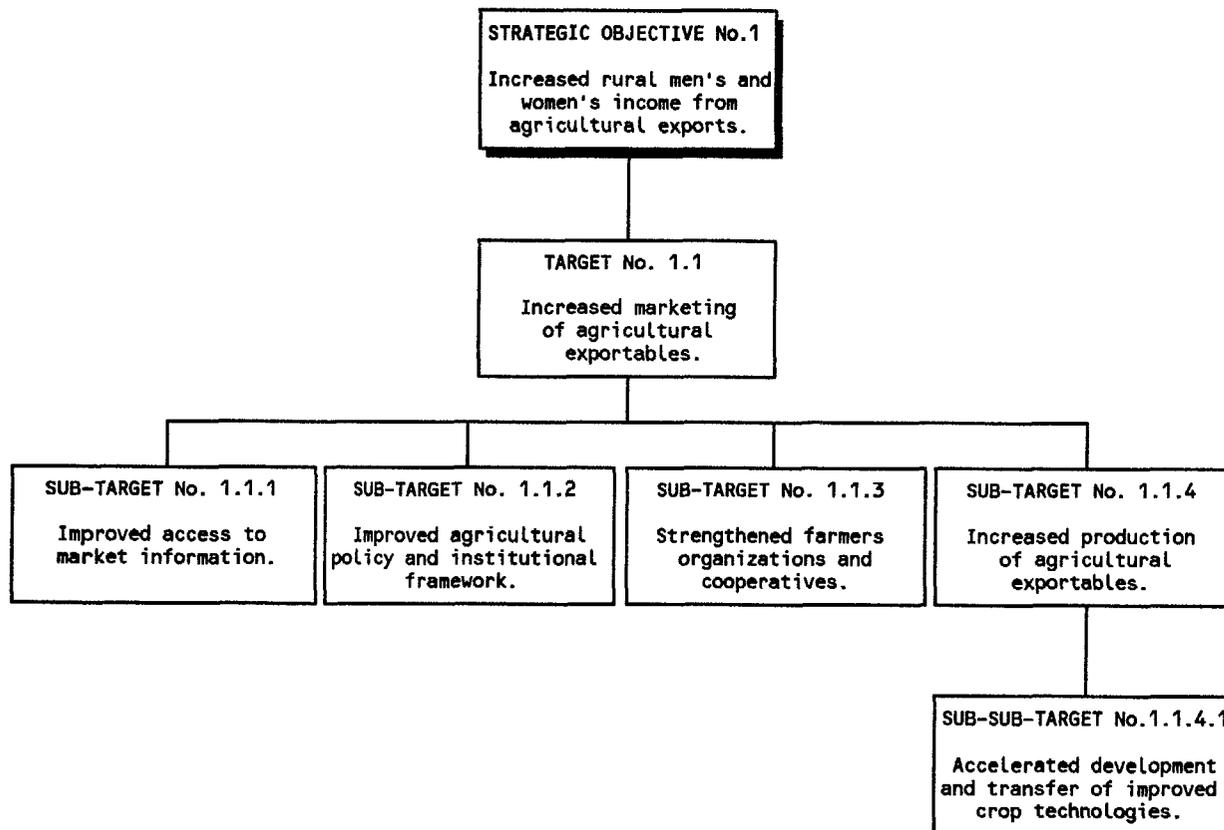


Table 2. Assessment of Program Impact - Strategic Objective No. 1

GOALS/OBJECTIVES/OUTCOMES	PERFORMANCE INDICATORS & DATA SOURCES	BASELINE	ACTUAL 1991	EXPECTED PERFORMANCE LEVELS					CRITICAL ASSUMPTIONS
				1992	1993	1994	1995	1996	
<p>STRATEGIC OBJECTIVE No. 1</p> <p>Increased rural men's and women's income from agricultural exports.</p> <p>RESPONSIBILITY: Agriculture & Natural Resources Office</p>	<p>1. % increase in net real income 2. Increase in dollar value of exports</p> <p>DATA SOURCES: 1</p>								
<p>TARGET No. 1.1</p> <p>Increased marketing of agricultural exportables.</p> <p>RESPONSIBILITY:</p>	<p>1. Increase in marketed production 2. Increase in # of new markets developed</p> <p>DATA SOURCES: 1</p>								
<p>SUB-TARGET No. 1.1.1</p> <p>Improved access to market information.</p> <p>RESPONSIBILITY:</p>	<p>1. Increase in # of farms organization accessing information</p> <p>DATA SOURCES: 1</p>								

Table 2. Assessment of Program Impact - Strategic Objective No. 1

GOALS/OBJECTIVES/OUTCOMES	PERFORMANCE INDICATORS & DATA SOURCES	BASELINE	ACTUAL 1991	EXPECTED PERFORMANCE LEVELS					CRITICAL ASSUMPTIONS
				1992	1993	1994	1995	1996	
<p>SUB-TARGET No. 1.1.2</p> <p>Improved agricultural policy and institutional framework.</p> <p><u>RESPONSIBILITY:</u></p>	<p>1. Increase in private agricultural investment as a % of GDP</p> <p>2. Increase in private agribusiness investment as a % of GDP</p> <p><u>DATA SOURCES:</u></p> <p>1</p>								
<p>SUB-TARGET No. 1.1.3</p> <p>Strengthened farmers organizations and cooperatives.</p> <p><u>RESPONSIBILITY:</u></p>	<p>1. Increase in dollar value of farmers organizations exports as a % of total agricultural exports</p> <p><u>DATA SOURCES:</u></p> <p>1</p>								
<p>SUB- TARGET No. 1.1.4</p> <p>Increased production of agricultural exportables.</p> <p><u>RESPONSIBILITY:</u></p>	<p>1. Increase in dollar value of production of selected exportable crops</p> <p><u>DATA SOURCE:</u></p> <p>1</p>								

Table 2. Assessment of Program Impact - Strategic Objective No. 1

GOALS/OBJECTIVES/OUTCOMES	PERFORMANCE INDICATORS & DATA SOURCES	BASELINE	ACTUAL 1991	EXPECTED PERFORMANCE LEVELS					CRITICAL ASSUMPTIONS
				1992	1993	1994	1995	1996	
<p>SUB-SUB-TARGET No. 1.1.4.1</p> <p>Accelerated development and transfer of improved crop technologies.</p> <p><u>RESPONSIBILITY:</u></p>	<p>1. Increase in the number of technologies developed and transferred upon demand by agricultural exporters</p> <p><u>DATA SOURCES:</u></p> <p>1</p>								

C. STRATEGIC OBJECTIVE No. 2: Stabilized biodiversity in targeted areas.

1. Rationale

Stabilizing Uganda's biodiversity and natural resources is critical for sustained economic growth. Sustainable use of natural resources will provide economic benefits to the local population from these resources and enable the generation of much needed foreign exchange. The foreign exchange generated related to the targeted protected areas and the increased income derived by buffer zone residents will encourage further private sector investment thus helping to expand the economy.

2. Strategy

Strategic Objective No. 2 directly supports the Mission's higher level Program Sub-Goal: Sustainable equitable economic growth promoted on a competitive, diversified basis. The program strategy will result in an improved policy and institutional framework that promotes sustainable natural resource use (TARGET No. 2.1). This framework will facilitate expansion of the economy over the long run without depleting vital economic resources, and establish the base for private-sector driven eco-tourism (Target No. 2.2) which will generate foreign exchange. The strategic objective also supports the higher level sub-goal of promoting equity and sustainability by providing local communities with incentives for active participation in the management of protected areas and their buffer zones (TARGET 2.3) and by establishing the base for continued, improved management of selected protected areas (Target 2.4).

The pertinent objective tree showing the program target linkages to Strategic Objective No. 2 is presented in Figure 3. Performance indicators associated with the strategic objective and program targets are presented in Table 3. The table also identifies sources of data.

3. The Working Group's Discussions

The working group discussed the strategic objective statement, targets and indicators which had been formulated during the CPSP review in AID/W. There was the feeling that the objective statement did not capture the people-level focus of the Mission's biodiversity activities, although the group agreed in the end to accept the statement as given. The people-level impact indicator at the objective level was modified from an income focus to a broader benefits statement to capture the multiple benefits which are expected to be derived from their participation in managing the selected protected areas. There were discussions about the role of tourism in the process and what the Mission felt was in its manageable interest given the limited resources available for this strategic objective. The relative emphasis to place on participation and the results which can be expected from the inputs related to improved management were also carefully considered. Several other dimensions were discussed during the working group sessions. There was general agreement about the objective tree and matrix developed through

the discussions.

4. Special Considerations and Next Steps

Substantial progress has been made in identifying strategic objective and target indicators. These need to be discussed with appropriate counterparts and contractors with a view to assessing their feasibility, selecting appropriate methods of data collection, monitoring and recording, and assigning responsibilities. These people might also be usefully engaged in setting expected performance levels. Critical assumptions need to be identified, plans made to monitor these and responsibilities assigned for monitoring each.

When the technical assistance staff for the Action Plan for the Environment non-governmental organization (NGO) component are in place, time should be devoted to specifying the core data required from each NGO activity. The NGO grantees should agree to use the same operational definitions and the same or similar sampling techniques to obtain the core information. Responsibility will need to be assigned to centralize the collection of the monitoring data from the various NGO grantees.

Short term consultancy services will probably be required to assist in gathering and compiling existing data. For example, existing data should be gathered, compiled, and recorded on the indicators at the strategic objective level which focus on maintenance of species and surface areas in selected protected areas. The services of a research specialist may also be required to assist the NGO contractor to establish a focused monitoring system. Care should be given to collection of only key data that will be used for monitoring and evaluation and, if required, planning interventions. Where appropriate the data should be disaggregated by sex. Special computer assistance may be advantageous.

5. USAID/Uganda Inputs

USAID/Uganda has a bio-diversity program underway to support the achievement of Strategic Objective No. 2.

1. Action Program for The Environment - \$30.0 Million, '91 - '95

Figure 3.

USAID/Uganda
Strategic Objective No. 2
Program Objective Tree

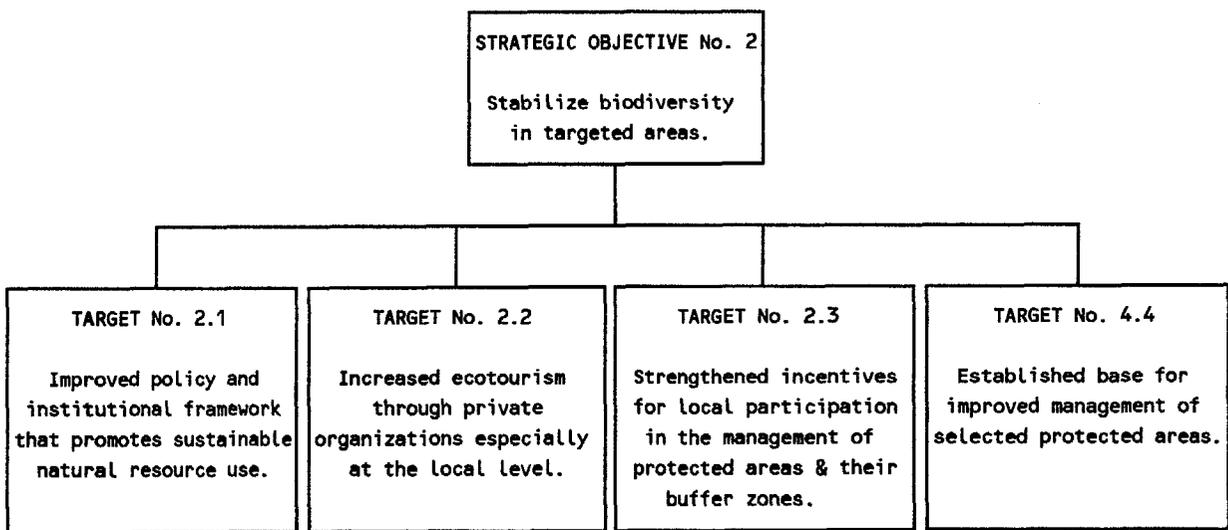


Table 3. Assessment of Program Impact - Strategic Objective No. 2

GOALS/OBJECTIVES/OUTCOMES	PERFORMANCE INDICATORS & DATA SOURCES	BASELINE	ACTUAL 1991	EXPECTED PERFORMANCE LEVELS					CRITICAL ASSUMPTIONS
				1992	1993	1994	1995	1996	
STRATEGIC OBJECTIVE No. 2 Stabilize biodiversity in target areas RESPONSIBILITY:	1. Current levels of tree, mammal and bird species maintained 2. % of target areas where current surface areas maintained. 3. Increase in % of local men and women deriving benefits from activities related to protected area management DATA SOURCES: 1. Field stations, periodic inventories, other records 2. Protected area records 3. Project surveys								

Table 3. Assessment of Program Impact - Strategic Objective No. 2

GOALS/OBJECTIVES/OUTCOMES	PERFORMANCE INDICATORS & DATA SOURCES	BASELINE	ACTUAL 1991	EXPECTED PERFORMANCE LEVELS					CRITICAL ASSUMPTIONS
				1992	1993	1994	1995	1996	
<p>PROGRAM TARGET No.1</p> <p>Improved policy and institutional framework that promotes sustainable natural resource use.</p> <p><u>RESPONSIBILITY:</u></p>	<p>1. NEAP: (1) completed & endorsed by GOU (2) implementation plan approved</p> <p>2. Upgraded legal status of targeted parks & reserves (1) Bwindi, Rwenzori & Mgahina forests made national parks (2) Kibale, Semiliki & Mt. Elgon raised to forest park status (3) Mgahina, Bwindi & Rwenzori made world heritage sites</p> <p>3. Policies for local retention of park/reserve user fees for recurrent costs & local people (1) policy developed (2) policy enacted (3) policy institutionalized in 10 target areas</p> <p><u>DATA SOURCES:</u></p> <p>1. Project records, GOU gazette</p> <p>2. GOU gazette, GOU gazette, UNESCO</p> <p>3. GOU gazette, project records</p>			1		2			
				1	2			3	
						1	2	3	

Table 3. Assessment of Program Impact - Strategic Objective No. 2

GOALS/OBJECTIVES/OUTCOMES	PERFORMANCE INDICATORS & DATA SOURCES	BASELINE	ACTUAL 1991	EXPECTED PERFORMNACE LEVELS					CRITICAL ASSUMPTIONS
				1992	1993	1994	1995	1996	
<p>TARGET No. 2</p> <p>Increased ecotourism through private organizations especially at the local level</p> <p><u>RESPONSIBILITY:</u></p>	<p>1. Number of tourist visits increased in target sites</p> <p>2. Increase in annual revenue from park/reserve user fees</p> <p>3. Increase in number of local area men and women providing tourist services</p> <p>DATE SOURCES:</p> <p>1. records for 10 target parks/reserves</p> <p>2. records from 10 target parks/reserves</p> <p>3. project surveys</p>								

Table 3. Assessment of Program Impact - Strategic Objective No. 2

GOALS/OBJECTIVES/OUTCOMES	PERFORMANCE INDICATORS & DATA SOURCES	BASELINE	ACTUAL 1991	EXPECTED PERFORMANCE LEVELS					CRITICAL ASSUMPTIONS
				1992	1993	1994	1995	1996	
<p>TARGET 3</p> <p>Strengthened incentives for local participation in management of protected areas & their buffer zones</p> <p>RESPONSIBILITY:</p>	<p>1. Increase in number of male & female farmers adopting agricultural/natural resource practices extended/promoted by project activities,</p> <p>2. Increase in number of men and women from buffer zones employed by parks & reserves,</p> <p>3. Increase in number of parks/reserves where local men and women participate in development of management plans.</p> <p>SOURCES:</p> <p>1. Project NGO records</p> <p>2. Project NGO records</p> <p>3. Project records</p>								

Table 3. Assessment of Program Impact - Strategic Objective No. 2

GOALS/OBJECTIVES/OUTCOMES	PERFORMANCE INDICATORS & DATA SOURCES	BASELINE	ACTUAL 1991	EXPECTED PERFORMANCE LEVELS					CRITICAL ASSUMPTIONS
				1992	1993	1994	1995	1996	
<p>TARGET 4</p> <p>Established base for improved management of protected areas.</p> <p>RESPONSIBILITY:</p>	<ol style="list-style-type: none"> 1. Management plans for 10 target parks/reserves developed & approved 2. Increase in number of park/reserve staff & managers participating in project related training and workshops 3. Increase number kms of improved road infrastructure 4. Number of target parks/reserves offering community conservation education programs 5. Increase in headquarters, lodging & other support infrastructure in target parks/reserves <p>SOURCES:</p> <ol style="list-style-type: none"> 1. Project records 2. Project records 3. Park/reserve records 4. Project records 5. Project records 								

D. STRATEGIC OBJECTIVE No. 3: Increased number of competent primary education graduates, particularly girls.

1. Rationale

Primary education in Uganda needs to be strengthened and revitalized. Over the past two decades the quality of education has deteriorated. The present primary school curriculum is driven by the Primary Leaving Examination (PLE), through which students are selected to continue their formal schooling in secondary schools. At present, the PLE does not test critical thinking and problem-solving skills. Efforts to add such skills to the primary curriculum have foundered on their lack of relevance to student progress reports. Furthermore, boys outscore girls and urban students outperform rural students. USAID/Uganda's strategy calls for a systematic approach to promoting quality learning in primary schools with particular emphasis on girls and rural students.

2. Strategy

Strategic Objective No. 3 directly supports the Mission's higher level program sub-goal: Sustained equitable economic growth promoted on a competitive, diversified basis. Education is the path for males and females to escape poverty and to compete for economic opportunities. It is the vehicle for participating in the benefits of a liberalized market economy and a democratic society. It is the basic ingredient for industrial and economic development. An educated cadre of human resources is required to sustain economic growth.

In order to achieve Strategic Objective No. 3, USAID's strategy will focus on providing educational material, teacher training and promoting girls' persistence in school. Primary school students need textbooks and other educational materials in order to learn effectively. USAID will supply adequate numbers of relevant educational materials for Primary 1 through Primary 7 students (TARGET No. 3.1). In order for students to learn and to develop specific critical thinking and problem-solving skills they have to be taught using appropriate techniques and methods. At present, most primary schools teachers are not qualified to teach such skills. USAID will assist in the training of teachers, adjustment of teachers' compensations, the supply of relevant teaching materials and the improvement of school management so that teachers are better equipped and motivated to be effective teachers (Target 3.2). Good teachers make good students.

As the quality of education improves students will be induced to stay and complete primary school instead of dropping out of school while at the same time the number of in-school years will be reduced by lowering repetition rates. USAID through policy dialogue and working with educators and the GOU will emphasize the need to motivate and ensure that girls stay and complete primary education successfully (TARGET No. 3.3).

The objective tree showing the program target linkages to Strategic Objective No. 3 is presented

in Figure 4. Performance indicators associated with the strategic objective and program targets are presented in Table 4. The table also identifies some data sources.

3. The Working Group's Discussions

The working group discussed what it wants to accomplish under its new project and NPA activities. Some critical aspects of this are still under discussion with the Uganda government. In order to reflect the Mission's commitment to incorporating a gender dimension into its entire program, "particularly girls" was added to the strategic objective statement. Time was devoted to discussing various ways of measuring the objective statement. In addition, the intent of the Mission to redressing urban and rural imbalances was also discussed. The working group voiced concern about the amount of time it will take for its inputs to actually result in measurable results. The other necessary and sufficient conditions were also covered. The group considered improvements in management of schools as contributing to achievement of targets. Many other aspects were discussed as the group advanced in articulating the expected performance results.

4. Special Considerations and Next Steps

This strategic objective has been modified from that approved by AFR/W during the CPSP review. "Particularly girls" has been added to enhance the statement on people-level impact. The Mission is required to submit a request for changing the wording together with a justification statement to AFR/W.

While substantial progress has been made in identifying strategic objective and program target indicators, the issue of clearly specifying appropriate data collection and monitoring mechanisms requires further attention. Also, greater attention needs to be given to ways to increase the persistence rate of girls.

One important issue regarding impact is how to measure increased competence in students. Can increased competence (at the strategic objective level) be measured by improved Primary Leavers Examination (PLE) results? If, through USAID's program, Uganda's primary education program is revised to include development of critical thinking and problem-solving skills but revision of the PLE is not part of USAID's program, is the PLE a good measure of the intended impact? Would another type of test (for example, a fundamental skills test) be more appropriate and more within the control of the Mission? And, if the PLE as currently constructed is not a good test of the intended improved competence, should USAID promote gradual revision of the PLE at the same time that it is promoting revision of teaching methods? A related topic is clarifying to what extent, if any, USAID will commit resources to curriculum revision in relationship to inputs focused on improved teaching methods and provision of educational materials.

Currently many of the data sources for the indicators chosen are unknown (target 3.1 indicators 1 and 2, target 3.2 - indicators 4 and 5, and target 3.3 - indicators 1 and 2). It appears that

much of the measurement process will have to be incorporated into the USAID sub-program in education. This will need to be addressed in the early stages of the new project and NPA activities so that responsibilities are assigned to the appropriate contractors and host country officers for gathering, processing and analyzing the necessary data so that the necessary baseline data are developed as soon as possible.

When the direct hire education officer arrives in post and the head of his office, the Office of General Development, returns from leave, the indicators and the program targets should be reviewed and finalized. In the process attention should be given to feasible options for obtaining the necessary data and to identifying critical assumptions and ways to monitor these.

5. USAID/Uganda Inputs

USAID/Uganda will soon start a primary education program to support the achievement of Strategic Objective No. 3.

1. Support to Uganda Primary Education Reform - \$108.0 million '92 - '99

Figure 4.

USAID/Uganda
Strategic Objective No. 3
Objective Tree

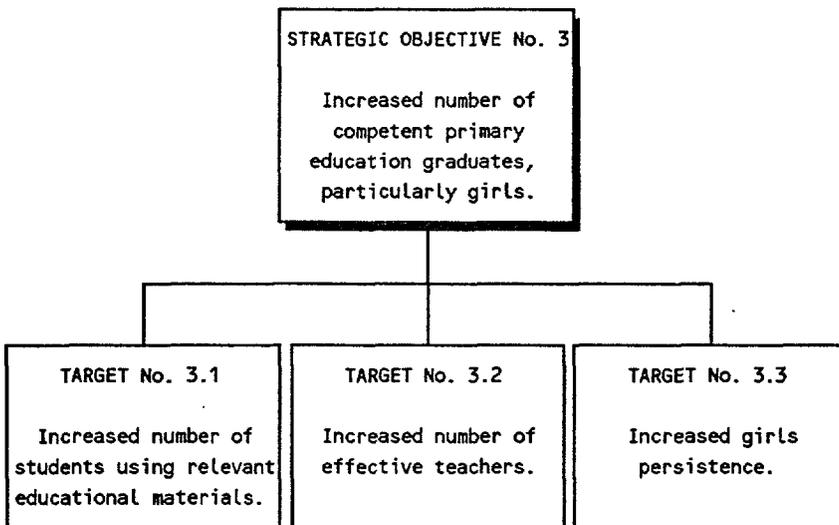


Table 4. Assessment of Program Impact - Strategic Objective No. 3

GOALS/OBJECTIVES/OUTCOMES	PERFORMANCE INDICATORS & DATA SOURCES	BASELINE	ACTUAL 1991	EXPECTED PERFORMANCE LEVELS					CRITICAL ASSUMPTIONS
				1992	1993	1994	1995	1996	
<p>STRATEGIC OBJECTIVE No. 3</p> <p>Increased number of competent primary education graduates, particularly girls</p> <p>RESPONSIBILITY:</p> <p>General Development Office</p>	<ol style="list-style-type: none"> 1. Increase in the number of students passing the PLE as a % of the total number of students sitting for the PLE 2. Increase in the number of girls passing the PLE as % of the total of students sitting for the PLE 3. Increase in the number of rural school students passing the PLE as a % of the total number of students sitting for the PLE 4. Decrease in the average in-school years to complete primary education <p>DATA SOURCES:</p> <p>^{1,2,3} Uganda National Examinations Board (UNEB)</p> <p>⁴ Ministry of Education & Sports (MOES)</p>								

Table 4. Assessment of Program Impact - Strategic Objective No. 3

GOALS/OBJECTIVES/OUTCOMES	PERFORMANCE INDICATORS & DATA SOURCES	BASELINE	ACTUAL 1991	EXPECTED PERFORMANCE LEVELS					CRITICAL ASSUMPTIONS
				1992	1993	1994	1995	1996	
<p>TARGET No. 3.1</p> <p>Increased number of students using relevant educational materials.</p> <p><u>RESPONSIBILITY:</u></p>	<p>1. Increase in the number of educational materials per primary school students in each county expressed as a ratio of educational materials to students.</p> <p>2. Increase in the number of students scoring high on Fundamental Skills Test (FST)</p> <p><u>DATA SOURCES:</u></p> <p>1</p>								
<p>TARGET No. 3.2</p> <p>Increased number of effective teachers.</p> <p><u>RESPONSIBILITY:</u></p>	<p>1. Increase in the number of teachers receiving improved in-service training</p> <p>2. Increase in the number of primary education teachers passing certification exams as a % of the total number of primary school teachers sitting for certification exams</p> <p>3. Increase in the average teachers remuneration rate</p> <p>4. Increase in the average number of teaching hours spent in classrooms</p> <p>5. Increase in the number of teachers adopting improved teaching methods</p> <p><u>DATA SOURCES:</u></p> <p>^{1,2,3} Ministry of Education & Sports</p> <p>^{4,5} Spot Survey</p>								

Table 4. Assessment of Program Impact - Strategic Objective No. 3

GOALS/OBJECTIVES/OUTCOMES	PERFORMANCE INDICATORS & DATA SOURCES	BASELINE	ACTUAL 1991	EXPECTED PERFORMANCE LEVELS					CRITICAL ASSUMPTIONS
				1992	1993	1994	1995	1996	
<p>PROGRAM TARGET No. 3.3</p> <p>Increased girls persistence.</p> <p><u>RESPONSIBILITY:</u></p>	<p>1. Increase in Girls Persistence Rate (GPR) at the P2, P4 and P7 level (number of girls who stay through P2, P4 and P7 as a percentage of girls who start school)</p> <p>2. Decrease in the average in-school years of girls to complete primary education</p> <p><u>DATA SOURCES:</u></p> <p>1</p>								

E. STRATEGIC OBJECTIVE No. 4: Stabilize health status of Ugandans.

1. Rationale

Containing the spread of AIDS and improving the health of children and adults is a critical concern of the people of Uganda. The spread of AIDS, and mother and child poor health have overwhelmed the GOU's resources. AIDS has also severely affected the earning power of many Ugandans and created a class of orphans. USAID has made the containment of AIDS and the maintenance of Ugandan's health one of its key programmatic strategies.

2. Strategy

Strategic Objective No. 4 directly supports the Mission's higher level Program Sub-Goal: Sustainable, equitable economic growth promoted on a competitive, diversified basis. AIDS has seriously undermined the productivity of Ugandans. It has left behind many orphans and has taxed the GOU's resources to the limit. The reduction of HIV transmission (TARGET No. 4.1) contributes to the good health of Ugandans which is critical for improving labor productivity and for sustaining the expansion of the economy. Reducing family size through effective family planning methods (TARGET No. 4.2) will enable families to afford more nutritious foods and to provide better education for their children, which is key to sustaining Uganda's long term economic growth. Childhood diseases, AIDS, malaria, and diarrheal diseases claim the lives of many children daily. Improvement of child survival rates in intervention communities (TARGET No. 4.3) will help to stabilize Uganda's productive population and contribute to the sustainable growth of Uganda's economy.

The pertinent objective tree showing the program target linkages to Strategic Objective No. 4 is presented in Figure 5. Performance indicators associated with the strategic objective and program targets are presented in Table 5. Table 5 also identifies sources of data, but does not yet indicate baseline data and projected performance levels with critical assumptions.

3. The Working Group's Discussions

Initially the working group had serious reservations about the statement of the strategic objective as it had been reformulated during the CPSP review in AID/W. Their concern centered on the use of the word "stabilize" instead of "maintain" or "improve." The first session focused mainly on these concerns and discussion of the target on AIDS. Two specialists from the Center for Disease Control, who were in country working on AIDS activities joined the group for these discussions. They later submitted written suggestions on indicators which were discussed at the next session and most of them were incorporated into the indicator matrix. Issues such as specifying "correct" treatment and statement of baseline data when intervention sites are added over the years were covered during the first session. Numerous other aspects were discussed as the group proceeded with its work. In the end the group concluded that since most of the USAID activities do not cover all of the country, an overall improvement of the health status

of Ugandans is not in the manageable interest of the Mission.

4. Special Considerations and Next Steps

Substantial progress has been made in identifying indicators and baseline data, and this task together with establishment of performance standards, statement of assumptions and plans for monitoring these need to be completed. In the process, attention should be given to the statement of indicators and their baseline data for those activities which will expand to different sites over the program period. In addition, USAID/Uganda needs to consider more carefully the extent to which its inputs should be coordinated in specific geographic areas in order to attain the desired program targets. Further, more attention should be given to focusing the child survival interventions, as discussed during the CPSP review in AID/W.

5. USAID/Uganda Inputs

USAID/Uganda has several projects under an umbrella program which is in the process of being designed to support the achievement of Strategic Objective No. 4. In addition it has several centrally-funded activities and special AIDS earmarked funds.

1. Delivery of Integrated Service for Health - \$25 million '93 - '97
2. Expanded Family Health Services/Child Spacing, \$7.4m, 89-93
3. Physical Rehabilitation for the Disabled, \$2.9m, 89-92
4. AIDS Control and Prevention, \$15m, 91-93
5. Policy Analysis and Capacity Building, \$1m, 91-95
6. Control of Diarrheal diseases/Nutrition, \$2m, 91-
7. Central Contraceptive Procurement, \$4m (.4), Continuing

Figure 5.

USAID/Uganda
Strategic Objective No. 4
Program Objective Tree

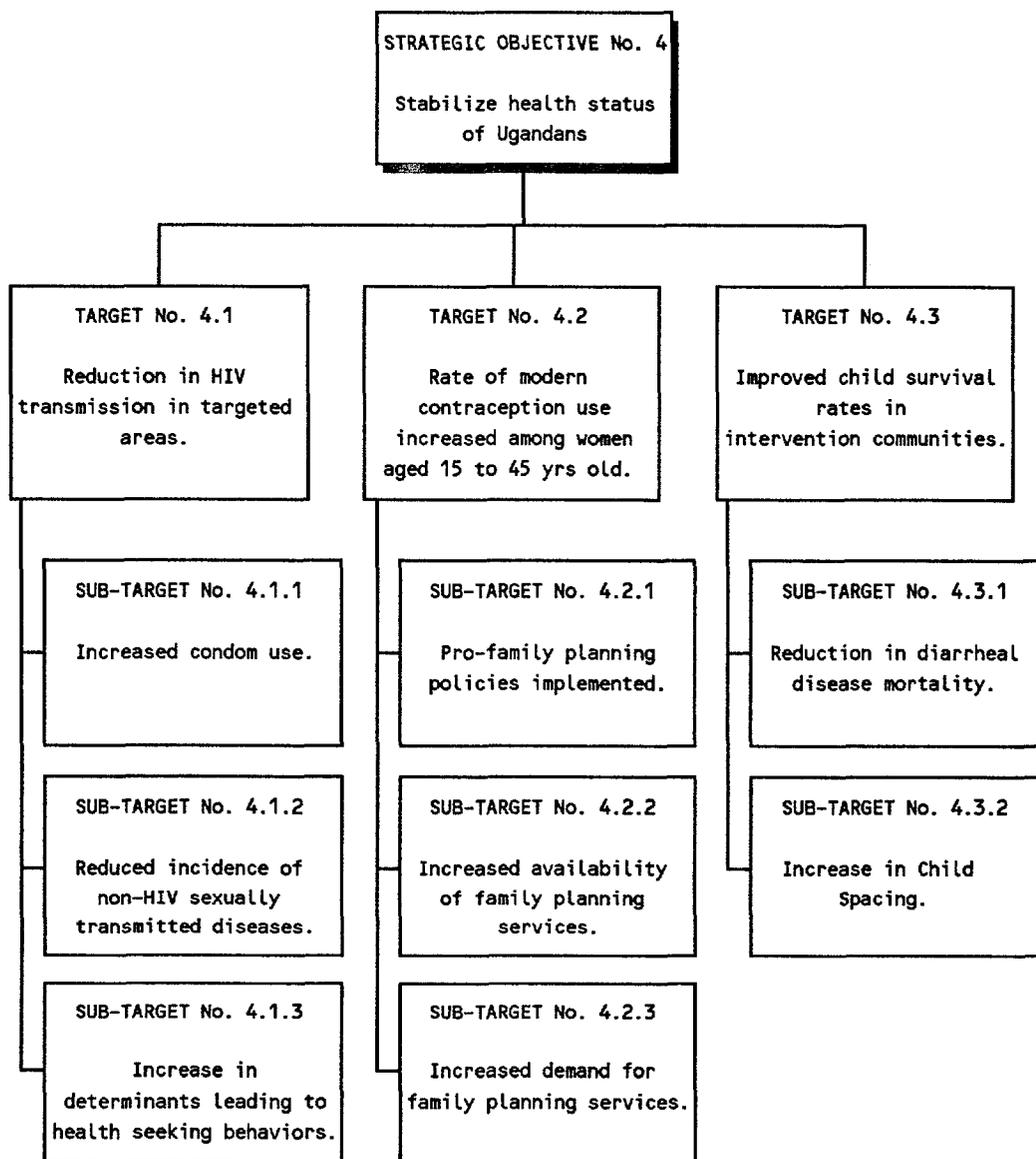


Table 5. Assessment of Program Impact - Strategic Objective No. 4

GOALS/OBJECTIVES/OUTCOMES	PERFORMANCE INDICATORS & DATA SOURCES	BASELINE	ACTUAL 1991	EXPECTED PERFORMNACE LEVELS					CRITICAL ASSUMPTIONS
				1992	1993	1994	1995	1996	
STRATEGIC OBJECTIVE No. 4 Stabilize health status of Ugandans RESPONSIBILITY:	1. Decline in child mortality rates 2. Decline in pop growth rate 3. Decline in HIV prevalence in 15 to 19 yr cohort males and females DATA SOURCES: 1. DHS II, CS project surveys 2. GOU statistics, DHS 3. AIC, ACP								
PROGRAM TARGET No.1 Reduction in HIV transmission in targeted areas <u>RESPONSIBILITY:</u>	1. Reduction in HIV prevalence among women aged 15-19 yrs attending antenatal clinics in selected areas <u>DATA SOURCES:</u> 1.ACP								

Table 5. Assessment of Program Impact - Strategic Objective No. 4

GOALS/OBJECTIVES/OUTCOMES	PERFORMANCE INDICATORS & DATA SOURCES	BASELINE	ACTUAL 1991	EXPECTED PERFORMNACE LEVELS					CRITICAL ASSUMPTIONS
				1992	1993	1994	1995	1996	
<p>Subtarget No.1.1</p> <p>Increased condom use</p> <p><u>RESPONSIBILITY:</u></p>	<p>1. Number condoms sold thru social mkteting & CBDs increased</p> <p>2. Number condoms distributed free increased</p> <p>3. Reported consistent use with nonsteady partner increased</p> <p>DATE SOURCES:</p> <p>1. SOMARC, NGOs (FPAU, EIL, AMREF)</p> <p>2. MOH repts, donor records (WHO, UNFPA)</p> <p>3. AIC, FUE, EIL evals, surveys</p>								
<p>Subtarget 1.2</p> <p>Reduced incidence of non-HIV sexually transmitted diseases in intervention communities.</p> <p><u>RESPONSIBILITY:</u></p>	<p>1. Increased proportion & number of women who received antenatal screening & treatment for syphilis in hospitals & antenatal clinics</p> <p>2. Increased number of people receiving treatment for STDs in intervention clinics</p> <p>3. Quality control indicators for STD treatment developed and adopted by GOU</p> <p>SOURCES:</p> <p>1. MOH records, CHIPS data, other studies</p> <p>2. MOH, CHIPS data</p>								

Table 5. Assessment of Program Impact - Strategic Objective No. 4

GOALS/OBJECTIVES/OUTCOMES	PERFORMANCE INDICATORS & DATA SOURCES	BASELINE	ACTUAL 1991	EXPECTED PERFORMNACE LEVELS					CRITICAL ASSUMPTIONS
				1992	1993	1994	1995	1996	
<p>Subtarget No. 1.3</p> <p>Increase in determinants leading to health seeking behaviors in intervention communities.</p> <p>RESPONSIBILITY:</p>	<p>1. Increase in number of persons seeking HIV testing & counseling</p> <p>2. Increase in use of HIV testing prior to marriage</p> <p>3. Increase in number people who know transmission can occur during HIV latency period</p> <p>4. Increase in number people who believe their friends/peers use condoms</p> <p>SOURCES:</p> <p>1. AIC data, CHIPs data</p> <p>2. Survey data</p> <p>3. AIC, NGO data</p>								
<p>PROGRAM TARGET No. 2</p> <p>Rate of modern contraception use increased among women aged 15-45 yrs</p> <p>RESPONSIBILITY:</p>	<p>1. Increase in number women using modern method of contraception</p> <p>2. Increase in Couple Years of Protection</p> <p>DATA SOURCE:</p> <p>1. DHS</p> <p>2. MOH, NGO records</p>								

Table 5. Assessment of Program Impact - Strategic Objective No. 4

GOALS/OBJECTIVES/OUTCOMES	PERFORMANCE INDICATORS & DATA SOURCES	BASELINE	ACTUAL 1991	EXPECTED PERFORMANCE LEVELS					CRITICAL ASSUMPTIONS
				1992	1993	1994	1995	1996	
<p>Subtarget 2.1</p> <p>National Population Policy Adopted</p>	<p>1. Minimum age of marriage changed to 18</p> <p>2. NPC established as a multisectoral, interdisciplinary body</p>								
<p>Subtarget 2.2</p> <p>Increased availability of FP services</p>	<p>1. Increase in number facilities providing surgical FP methods</p> <p>2. Increase in number NGO FP non-hospital service delivery sites</p> <p>3. Increase in number MOH facilities providing at least 3 modern FP methods</p> <p>4. Increase in number social marketing & CBD points of sale</p> <p>DATA SOURCES:</p> <p>1. MOH/ AVSC records</p> <p>2. NGO records (FPAU, UPMB, IMA, UPMA, YWCA, Pathfinder)</p> <p>3. MOH records, surveys</p> <p>4. Social Mketing reports, surveys, NGO reports (FPAU, AMREF, Pathfinder, CARE, SEATS, YWCA)</p>								

Table 5. Assessment of Program Impact - Strategic Objective No. 4

GOALS/OBJECTIVES/OUTCOMES	PERFORMANCE INDICATORS & DATA SOURCES	BASELINE	ACTUAL 1991	EXPECTED PERFORMANCE LEVELS					CRITICAL ASSUMPTIONS
				1992	1993	1994	1995	1996	
<p>Subtarget 2.3</p> <p>Increased demand for family planning services</p>	<p>1. Increase in % of women aged 15-45 who do not desire more children</p> <p>2. Decrease in reported desired family size</p> <p>DATA SOURCES:</p> <p>1. DHS II</p> <p>2. DHS II</p>								
<p>PROGRAM TARGET No. 3</p> <p>Improved child survival rates in intervention communities</p>	<p>1. Reduced IMR rates in target areas</p> <p>2. Reduced CMR in target areas</p> <p>DATA SOURCES:</p> <p>1. Project surveys (AMREF, ADRA)</p> <p>2. Project surveys (AMREF, ADRA)</p>								

Table 5. Assessment of Program Impact - Strategic Objective No. 4

GOALS/OBJECTIVES/OUTCOMES	PERFORMANCE INDICATORS & DATA SOURCES	BASELINE	ACTUAL 1991	EXPECTED PERFORMANCE LEVELS					CRITICAL ASSUMPTIONS
				1992	1993	1994	1995	1996	
<p>Subtarget 3.1</p> <p>Reduction in diarrheal disease mortality</p>	<p>1. Increase in ORS sales</p> <p>2. Increase in repeated ORS use</p> <p>3. Increased repeated use of ORT</p> <p>DATA SOURCES:</p> <p>1. MOH records, marketing records</p> <p>2. surveys</p> <p>3. surveys</p>								
<p>Subtarget 3.2</p> <p>Increase in child spacing</p>	<p>1. Number & % women aged 15-45 who space children at least 2 yrs</p> <p>2. Increased length and quality of breast feeding</p> <p>3. Increased number health professionals trained in good breast feeding practices</p> <p>DATA SOURCES:</p> <p>1. DHS</p> <p>2. surveys</p> <p>3. MOH records</p>								

F. CROSS-CUTTING ISSUES

1. Introduction

Cross-cutting issues are defined as those programmatic, management, or policy issues that concern a Mission's overall portfolio. They warrant unified planning and monitoring but do not constitute a separate strategic objective. USAID/Uganda has integrated both gender and policy considerations into its strategic framework.

2. Gender Considerations

From a program performance monitoring perspective, the Mission needs to be continuously mindful about how development strategies affect males and females differently, and those areas which should be avoided because they have negative impacts on either gender. Progress towards achievement of objectives may be constrained if such impacts are not taken into account and mitigated from the outset. The Mission has explicitly included a gender dimension in its strategic objectives, often through its indicator statements. Attention should be given in the relevant program activities to help ensure achievement of the intended positive impacts on both males and females.

3. Managing and Monitoring Policy Reform

Policy reform has been woven into each of USAID/Uganda's strategic objectives. Increasing incomes from agricultural exports will require both agricultural trade and investment policy reforms. Currently the managing and monitoring of these is under each strategic objective. However, attention should be given to assessing any crosscutting linkages and identifying any other reforms the Mission is addressing or intends to address.

CHAPTER III. NEXT STEPS IN DEVELOPING AND IMPLEMENTING A PERFORMANCE MONITORING SYSTEM

A. Further Development of the Mission's Performance Monitoring Information System

First, USAID/Uganda should review the present report with the intent of determining its accuracy in reflecting work on the logframes done during the Team's visit and to address the recommended next steps for each strategic objective. The purpose is to establish a functioning and useful tool for Mission management as well as to meet reporting requirements of AID/W. We suggest that the Mission maintain the strategic objective working groups to continue work on establishing its monitoring and evaluation system. For guidance the Mission can refer to the Africa Bureau guidelines for preparing the Assessment of Program Impact reports, AID/W guidance (cable State 122181), and the comments from the Africa Bureau on USAID/Uganda's CPSP.

Second, the Mission should consider ways in which the MERS can be institutionalized as part of Mission management. For example, attention could be given to revising the PIR format so that critical data from projects and NPAs which form part of the strategic objective logframe are reported. It may want to review job descriptions for critical positions with a view to ensuring that they adequately reflect the various responsibilities inherent in implementing and maintaining a MERS.

Third, the Mission should review current and proposed contracts and other legal documents for projects and NPAs with a view to ensuring that they reflect the need for contractors and host country officials to work collaboratively to provide in a timely manner the information AID requires for its MERS.

The following steps are suggested to guide the implementation strategy:

- Review and discuss each strategic objective and its associated targets and indicators with appropriate government agencies, NGOs, cooperating agencies and contractors to ensure acceptability of program targets and indicators. In addition, some of these key people ought to be involved in setting expected performance levels and specifying critical assumptions.
- State each indicator clearly and precisely. These should not be edited when reported to AID/W since it is essential to know exactly what is being measured.
- Identify data sources. In some cases, individual USAID projects will generate the necessary data; in other cases, national data or other secondary sources may suffice. But for some indicators, obtaining data will require additional work. If the proposed data collection promises to be expensive and very time consuming, consideration should be given to alternative indicators. If it is determined that baseline surveys are

necessary and cost-effective, begin planning to implement the survey as soon as possible.

- Decide on baseline information for each indicator. If baseline data do not exist, plans should be developed for obtaining them. The Mission should be able to report upon each target indicator at prescribed intervals, if not annually.
- Project expected results. Determine what change is expected for each indicator. For strategic objectives, it is necessary to at least identify what change is expected in the next five to seven years; however, it is in the Mission's interest to monitor progress toward achieving expected results in the interim. For program targets the Mission should achieve their expected results in three to five years; annual reporting on progress toward achieving each target is suggested, but may not always be appropriate.
- Identify and state critical assumptions. These assumptions often concern actions expected from the host country government and other development agencies that relate to the necessary and sufficient conditions for the AID results to have a higher level impact. Plans need to be devised and implemented for monitoring these assumptions.
- Each technical office ensure the development and maintenance of data sets in order to report on the selected performance indicators.
- Identify the collection procedures, and analysis and organization of the data needed for internal management and external reporting. Responsibilities should be assigned for the various tasks. Reporting formats, including sample tables, should be designed in advance to facilitate data presentation for ongoing management review and preparation of reports for AID/W. The Africa Bureau guidance on APIs should be consulted.
- Disaggregate people level indicators by gender where appropriate.
- Include in new project and non-project assistance design efforts the collection of performance and other impact data. This will minimize the management burden on the Mission as well as ensure that needed data are being collected. In addition, baseline studies may be conducted as part of the project and NPA identification process or during the first stages of the implementation.
- Encourage project and NPA design teams to be conversant with the program level monitoring and evaluation information system.

Having a well-defined strategic plan is an important first step, but the real benefit accrues from the Mission USING its strategic plan for performance assessment and decision-making. The MERS overview included in the Annex should assist the Mission to set up a workable Monitoring, Evaluation and Reporting System.

USAID/Uganda has various options available for carrying out the above tasks. CDIE/E and AFR/DP provided assistance for the current assignment, and may be able to provide further help. Or the Mission could employ a contractor to carry out the activities with, of course, the continued active participation of the Mission itself. Alternatively, USAID/Uganda could use its own already experienced and technically qualified staff to manage or complete the necessary activities.

B. Assignment of Responsibilities

At present, specific individuals have monitoring and reporting responsibilities for individual projects and NPA activities. At the program target level, monitoring tasks may be delegated to contractors and cooperating agencies but project managers should be responsible for ensuring that it is done.

We recommend that the USAID's present monitoring assignments be reviewed and revised as necessary so that the strategic objectives and targets are covered. It is important that the individuals involved understand their responsibilities, believe in the objective and targets they are asked to pursue, and agree that the proposed performance indicators represent fair criteria for judging program effectiveness.

The development of a data monitoring plan tied to reporting and decision making needs would appear to be an early priority. The Mission should decide whether additional human resources are needed to operate the system or that sufficient resources already exist.

C. Modifying Monitoring and Evaluation Plans of Ongoing Projects

Once program targets, sub-targets and indicators are agreed upon, a review of the monitoring and evaluation plans of individual projects should be undertaken to ensure that such plans are as useful as possible in collecting, analyzing and presenting information on program-level indicators. In a similar vein, future evaluations should, as appropriate, include in their scopes of work the development of program level information and /or the review of existing program monitoring procedures. Cross-office monitoring and evaluation arrangements may be needed in some cases.

D. Conclusion

The Mission should be congratulated for its impressive effort in developing a Monitoring Evaluation and Reporting System for its program. When the MERS is completed and operational, it will provide valuable information on the impact of one of A.I.D.'s most important and ambitious programs Africa.

ANNEXES

ANNEX 1

USAID/Uganda

MERS Team Work Schedule

June 15,	09:00 - 10:00 AM	Meeting with Mission Director
	11:00 - 12:00 PM	Meeting with Mission Staff
	02:30 - 04:00 PM	Meeting Agriculture & Natural Resources Technical Office
	04:00 - 05:30 PM	Meeting with Population/Family Planning Office
June 16,	09:00 - 11:00 AM	Mission Wide MERS Seminar
	01:30 - 03:00 PM	Meeting with SO1 Working Group
June 17,	08:30 - 11:00 AM	Meeting with SO1 Working Group
June 18,	08:30 - 11:00 AM	Meeting with SO2 Working Group
	01:30 - 03:00 PM	Meeting with SO1 Working Group
	03:30 - 06:00 PM	Meeting with SO4 Working Group
June 19,	08:30 - 11:00 AM	Meeting with Goal and Sub-Goal Working Group
	01:30 - 03:30 PM	Meeting with SO3 Working Group
	04:00 - 05:00 PM	Mid-term review with Mission Senior Management
June 22,	09:00 - 11:00 AM	Meeting with Goal & Sub-Goal Working Group
	01:30 - 04:00 PM	Meeting with SO4 Working Group
June 23,	08:30 - 11:00 AM	Meeting with SO2 Working Group
	02:30 - 04:30 PM	Meeting with SO1 Working Group
June 24,	12:00 - 03:00 PM	Meeting with SO1 Working Group
	02:00 - 03:30 PM	Meeting with Goal & Sub-Gaol Working Group
	03:30 - 05:00 PM	Meeting with SO3 Working Group
June 25,	09:00 - 10:30 AM	Meeting with SO4 Working Group

	04:00 - 05:00 PM	Meeting with SO3 Working Group
June 26,	08:30 - 10:30 AM	Final Working Groups Report-Out
	10:30 - 11:00 AM	MERS Team Debriefing with Senior Management

45

ANNEX 2

**THE OBJECTIVE TREE METHODOLOGY
AND
PERFORMANCE MONITORING AND
EVALUATION SYSTEM**

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The Objective Tree Methodology

Program Strategy Development

The Objective Tree Methodology (OTM) is a methodology used for displaying a Mission's program strategy graphically. A program strategy is defined as a Mission's country development assistance program targeted at resolving a significant development problem of the host government. The country program encompasses all of the Mission's project and non-project activities; food aid; policy dialogue; donor coordination; and balance of payment assistance.

OTM lays out pictorially the development results the Mission has planned to achieve over the 5 to 7 year program planning cycle with the long term results at the top of the tree and the short term results at the bottom of the tree. In this sense the hierarchy displayed on the objective tree reflect the time horizon within which results are to be achieved. As shown in Exhibit 1, the top most box of the tree is the **Program Goal** which represents and ties to the host government's long term (10 to 20 years) development objective; the *Program Sub-Goals* represent the intermediate term (7 to 15 Years) development objectives. The USAID activities in many cases are not sufficient by themselves to produce results at these levels. USAID, along with other donors, will contribute to the achievement of these objectives.

Strategic Objectives represent results that are within the manageable interest of the Mission and represent results that have to be achieved within a 5 to 7 years time frame. Strategic objectives represent the highest level achievement of the USAID Mission. Results at this level should be produced using Mission resources. There should be a plausible association between USAID interventions and results at this level.

Program Outcomes (Targets) represent results that have to be achieved within a time frame of 2 to 5 years; and *Program Sub-Outcomes (Sub-Targets)* represent results that have to be achieved within a 1 to 2 years time frame. Results at the Program Outcome and Sub-Outcome level are directly attributable to USAID activities. They represent concrete near-term results of USAID interventions that are most likely to contribute to the achievement of Strategic Objectives. Different Mission activities combine to generate these results. Results at these levels directly correlate with project activities.

Upward and Downward Linkages

The Objective Tree Methodology provides a useful tool for establishing linkages among results at the different level. These linkages are established by asking a series of questions as depicted in Figure 1.

Starting at any point on the objective tree, linkage can be established upward by asking:

Why? To achieve what result? and by when?

Downward linkages are established by asking:

How is this result to be achieved?

What has to be achieved first for this higher level result to materialize?

By when should this result happen?

Necessary and sufficient conditions at this level are established by asking:

**What else has to happen? by when? and by whom (including other donors)
does it have to be achieved?**

By repeating these questions at every level a reasonable cause and effect relationship can be established.

Next, the OTM identifies which program interventions, on-going projects, planned projects and non-project activities generate the intended results. The program goal, program sub-goal, strategic objectives, program outcomes and program sub-outcomes are all expressed in terms of *results sought* and not in terms of actions. They have to be stated in a such a manner that they are clearly understood and can be measured quantitatively or qualitatively. For example, a "good" strategic objective statement has to satisfy the criteria stated in the box below.

Program Outcomes and Sub-Outcomes have to satisfy similar types of criteria before their statements are finalized. How results are stated critically affects how they are measured.

STRATEGIC OBJECTIVE

(statement)

- ☛ Is a Concise Statement of RESULT Sought
- ☛ Is MEASURABLE
- ☛ Has SINGLE Purpose and Direction
- ☛ Is the MOST SIGNIFICANT Achievement of USAID
- ☛ Represents SIGNIFICANT CONTRIBUTION to Host Country Development Objectives
- ☛ Is PURSUED THROUGH CLEAR PROGRAM STRATEGIES
- ☛ Is ACHIEVABLE WITHIN 5-7 Years
- ☛ Is MANAGEABLE with USAID Resources
- ☛ Is CONSISTENT with AGENCY, BUREAU Priorities

Performance Indicators

Given the results sought, the time frame by when results have to happen, the resources required and the interventions that produce the results, the next task is to monitor and evaluate:

1. are the results sought happening;
2. are the interventions successful in producing these results;
3. which interventions are working better in producing these results; and
4. are the results significant?

To assess whether or not the intended results are happening one needs to identify quantitatively and qualitatively measurable **performance indicators**. There are three types of performance indicators -- process (output) indicators, intermediate impact indicators, and impact indicators.

Process indicators measure the outputs generated by the Mission's interventions (e.g., number of teachers trained, number of entrepreneurial training courses conducted, etc.).

Intermediate impact indicators measure the action taken by recipients of USAID's interventions. For example, if USAID's interventions cause the host government to issue revised investment code, the direct beneficiaries of the intervention are private investors. Then the intermediate impact indicators measure the amount of investment generated as a result of the new investment code.

Impact indicators measure the effect on people's lives. Often they measure impact in terms of improving peoples standard of living, income, health and education. They measure impact of the interventions to the ultimate beneficiaries. In the example of the investment code, the impacts measured are increases in jobs and increases in workers incomes as a result of increased investment. The issuance of the investment code is measured by process indicators.

There is a direct correlation between process indicators and impact indicators. For example, if there are more trained teachers in more schools then more students should exhibit improved academic performance. Establishing the correlation among impact indicators and process indicators is, therefore, critical to measuring and understanding the direction of the performance indicators.

Measuring Progress

Progress towards achievement of results sought is a relative measure. Once consensus has been reached on the results sought at all level of the objective tree, and agreements have been obtained on a set of measurable performance indicators, data is collected to establish *baseline performance data* for each indicator.

Based on the baseline performance data, USAID should establish *expected performance levels* over the life cycle of the strategic objectives. These projections represent the Mission's best estimate of what it hopes to achieve given resources available to it and assumption about the influence of external factors beyond its controls. The fewer the *assumption about critical external factors* the more the strategic objectives are within the manageable interest of the Mission.

Progress towards achieving results sought is evaluated in terms of:

1. Progress relative to the baseline performance data; and
2. Deviations from projected performance levels.

The evaluation should be performed in a formal and regular basis. The evaluation should provide sufficient information to enable the Mission focus its program strategies and concentrate its resources in order to achieve better performance levels. Focussing program strategy means adjusting interventions including implementation of new projects in order to achieve higher levels of performance. Concentration of resources means termination of projects and interventions that are not contributing to the program performance or are negating achievement of better performance levels; and applying the resources to those projects and interventions that have the highest potential to improve program performance. The next section discusses the monitoring and evaluation (M&E) system.

Other Terms Used by OTM

Program Activities: The inputs (projects, non-project activities, etc.) provided to achieve program outcomes and sub-program outcomes that in turn contribute to achieving the Strategic Objective.

Target of Opportunity: An objective or activity incidental to the A.I.D. field mission's basic program strategy but nevertheless included in its portfolio for

historical, political, humanitarian, or public relations reasons.

Cross-Cutting Issue: An issue of programmatic or policy concern that permeates an A.I.D. field mission's portfolio and warrants unified planning and monitoring but which does not constitute a separate Strategic Objective.

ANNEX 3

A FRAMEWORK FOR
PRISM
MONITORING AND EVALUATION SYSTEM

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A FRAMEWORK FOR PRISM MONITORING AND EVALUATION SYSTEM

The rationale for the PRISM Monitoring and Evaluation (M&E) System is to provide USAID Missions and program managers adequate information about program performance starting earlier in the implementation process. The information should enable USAID Missions to make informed decisions about improving the effectiveness of their development interventions. The M&E system should be directly tied to the USAID Country Program Strategy. It should generate information that is relevant to improving program strategies and project designs in order to achieve desired results expressed in the Mission's Program Strategy Statement. The M&E system presented below asks several questions. These questions are grouped into three categories -- monitoring and data collection; data analysis, evaluation and reporting; and information use.

Monitoring and Data Collection

The monitoring and data collection process asks three sets of questions. Given the statements of the program goal, strategic objective and program outcomes as articulated in the Missions Program Strategy Statement, the first set of questions establishes the type of data to be collected, the data sources and the frequency of data collection. The specific questions asked are:

1. What are the specific results sought?
2. What program activities and projects produce these results?
3. What specific performance indicators are used to measure progress towards achieving results sought?
4. What data collection instruments (i.e., data sources) are used to gather data on each performance indicator?
5. How frequently are data collected on each indicator?

A systematic approach is required to determine the best sources of data for each performance indicator. Wherever possible only easily accessible sources should be used. Multiple sources of data should be used if they can be accessed with little additional cost and effort. Given the country setting, there are several data sources USAID can use including document review of various types; group discussions; sample surveys; focus groups; case studies; remote sensing; rapid rural appraisal techniques; tests/demonstrations; client level record reviews; project administrative reports; etc. Ultimately the choice of data sources rests upon appropriateness; ease of access and use; and cost.

In some cases it may be appropriate to strengthen the capacity of public, private and non-

governmental entities to collect the required data on a regular basis. All data collection procedures should be tested prior to embarking on a big effort to ensure that the needed data can be collected and that what results is a usable data.

Given that different projects managed and implemented by different technical offices collectively contribute to the achievement of a given program result, the second set of questions establishes management responsibilities for managing results and for data collection. The specific questions asked are:

6. Which offices within the **USAID management** have **responsibility** for managing each result?
7. Which offices or organizations have the **program implementation and data collection responsibilities**?

The third set of questions establishes the significance of USAID's investment associated with each result relative to: (1) the total investment associated with that result; and (2) relative to the total USAID program budget. Total investment is composed of host government investment, USAID investment plus other donors investment. The specific questions asked are:

8. Which **donors and host government (HG) entities** collaborate with A.I.D. to produce each result?
9. How much **funding** is each donor, HG entities and USAID providing for achieving each result?
10. What **% is A.I.D. funding** relative to the total funding? What **% of its total portfolio funding** is allocated to achieving each result?

The budget analysis will determine whether or not strategic objectives and program outcomes remain within the Mission's manageable interest given USAID's comparative advantage and know how. For this purpose, data on host government and other donors investments and interventions need to be monitored and collected.

Data Analysis and Evaluation

The data analysis and evaluation process asks four sets of questions. The first set of questions establishes the methodology used for evaluating the data gathered for each performance indicator. It also establishes the baseline and projected performance levels of achievement.

1. How is each performance indicator **evaluated** to assess progress towards achieving results?

2. What are the **baseline data** for each indicator? What time period /year does the baseline data reflect?
3. What are the **projected performance levels of achievement** for each performance indicator by year?

The second set of questions evaluates the data to establish the **linkages** among USAID interventions and the desired results. Relationships between program performance indicators and project output should be established to discover which project outputs might be "causing" overall program-level improvements.

4. What specific **project outputs** (i.e, number trained, etc.) generated the results sought? What is the correlation between these project outputs and program results?

The third set of questions evaluates the data and identifies the specific technical and management issues that need adjusting. The influence of external factors on the performance of the Mission's program is also evaluated. In addition, the evaluation makes recommendations as to how the adjustments should be made. Here, the overall cost-effectiveness of the program may be analyzed by relating overall incremental program improvements with the total cost of the program activities.

5. What specific **management and technical issues** does the evaluation uncover? Are there internal inconsistencies? Overall, is data accurate, timely and relevant?
6. What **external factors** significantly influenced the results? How and to what extent were the results helped by external factors? How and to what extent were the results negatively impacted by external factors?

The final set of questions determines the frequency of data analysis and reporting; and who does the evaluations and reporting.

7. How frequently are data sets analyzed, evaluated and reported? What management reports are produced and how frequently?
8. Who is responsible for the analysis and reporting of performance indicators and results?

The evaluation results should enable program managers and USAID to determine, on a timely manner, which of the program interventions worked very well in producing the desired program results and which interventions did not work. The evaluation should also identify what external factors had a significant influence on the results.

Reports should be designed carefully to allow all audiences to easily understand the findings and

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recommendations. Graphs, tables and other visuals should be used as appropriate to enhance the readability of the reports. The information dissemination process should be augmented by Mission-wide formal presentations to discuss and interpret the findings and crystalize the recommendations.

Information Use

The final set of questions relate to the **use of the information** generated by the monitoring and evaluation system. These questions seek to determine who uses the evaluation results; and what management decisions have resulted from the evaluation. These questions document the actions taken by the various level of USAID management in response to the issues raised and the recommendations made by the evaluation. Actions taken by management are documented as an integral part of the monitoring and evaluation system. Management actions taken may initiate new data collection efforts and new program evaluation methodology which have to be incorporated in the program monitoring and evaluation system. The effectiveness of these actions are then demonstrated in subsequent evaluations.

1. Who will use the evaluation information? Who are the audiences for the various M&E reports?
2. What specific management decisions are made using this information? and by whom?
3. What specific program (project) strategy (design) changes were made as a result of this evaluation information? What corresponding data collection and analysis changes were made?
4. How did prior management decisions affect results?

Annex 4

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