

**TRIP REPORT
CDIE PERFORMANCE MONITORING AND
EVALUATION TECHNICAL ASSISTANCE VISIT
USAID/SOUTH AFRICA
9 JANUARY - 2 FEBRUARY 1998**

Prepared for

United States Agency for International Development (USAID)
Bureau for Policy and Program Coordination (PPC)
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TRIP REPORT
CDIE PERFORMANCE MONITORING AND EVALUATION
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USAID/SOUTH AFRICA
9 January - 2 February 1998

1. Introduction

At the request of Karen Freeman, Program Officer, Program Division, Office of Program and Project development (PPDO), USAID/South Africa, PPC/CDIE/PME conducted a two week technical assistance visit to (a) present the state of the art information about performance monitoring and evaluation in the USAID context, (b) review the mission's current performance monitoring systems including MERIT and to recommend enhancements, (c) respond to specific performance monitoring questions/problems from SO Teams, (d) present PERMIT, a web-page based results package, (e) present the stand-alone OPS Module of the NMS, and (f) participate in REDSO/ESA's workshop on 1998 R4 guidance. The TDY Team was led by Steve Gale, PPC/CDIE/PME. Barry Silverman, Performance Monitoring and Analysis Task Order PMA/ISTI, and Chris Wolter, PMA/ISTI also participated. The TDY took place from 19 January - 2 February 1998.

2. Original Scope of Work

The Mission has established a Results Center to assist in its ongoing performance monitoring and evaluation efforts. The goal of the required technical assistance is to enhance the Results Center's and Mission's monitoring system for greater efficiency and to help expand the system for "real time" monitoring and evaluation. Specifically, the technical assistance team will:

(1) Meet with REDSO/ESA and AFR/DP staff to plan participation in REDSO's training workshop. Participate and support workshop, as required.

1. Deliverable: Plan for participation in workshop, slides and handouts for workshop, and participation in workshop.

(2) Conduct a Team Planning Meeting with Mission counterparts to conduct a rapid appraisal needs and system assessment to further define the scope of the technical assistance and to finalize the training schedule.

2. Deliverable: Revised workplan for the technical assistance.

(3) If possible, train 2-3 staff to collaborate in presenting workshops in Performance Measurement and Evaluation (PME). The Training of Trainers approach will be used to transfer PME training skills to Mission personnel in order to ensure sustainability of PME skills.

3. Deliverable. TOT training and TOT training materials

(4) Based on the findings of the rapid needs and system assessment, conduct workshops/training sessions. Topics for the workshops could range from the basics such as a review of the general principles of performance monitoring and evaluation including ADS requirements to the more specific topics such as the “nuts and bolts” of performance monitoring and evaluation in the USAID/South Africa context. The training will be for Mission and Result Center staff (MACRO) Team building exercises will be incorporated into the workshops

4 Deliverables: Workshop materials and implementation

(5) Detailed review of current Mission Performance Monitoring systems including staffing, data collection (including Attachment 8) and analysis methodology, and MERIT and other performance software applications.

5 Deliverable: A draft Performance Monitoring Plan

(6) Using selective SOs, demonstrate, further develop and customize PERMIT, a performance monitoring and evaluation webpage add-on

6 Deliverable: A prototype PERMIT application with links to USAID/South Africa’s home page.

(7) Demonstrate the OPS stand-alone module for applicability as a future link between MERIT and MNS

7 Deliverable: A demonstration of the OPS stand- alone module

3. Revisions, Changes and Additions to the Scope of Work

Following meetings with Karen Freeman and PPDO staff the original Scope of Work was amended to add (a) CDIE On-line demonstration and description of CDIE services, (b) Question and Answer sessions with SO Teams, (c) Brown Bag Presentations, and (d) a review of the Amy Biehl Foundation Trust’s Performance Plan.

4. Status of Deliverables

4.1 REDSO/ESA R4 Guidance Workshop Steve Gale attended the REDSO/ESA workshop in Johannesburg at the request of USAID/SA as observer and in a participatory role Side meetings were held with REDSO staff and AID/W staff to review and help interpret the draft R4 guidance--as well as to compare operational experience Steve was asked to address the meeting on a number of

key issues including the status of common indicators, the NMS, etc. All materials prepared for SA PM&E training were shared with REDSO staff. The CDIE TA Team drafted a "checklist" to assist preparation of the SA R4 based in part on the REDSO meeting and subsequent discussions.

4.2 Meetings with USAID/SA staff and revision to scope of work and schedule: Following meetings with Karen Freeman and PPDO staff, the original scope of work and schedule was modified as reflected in 3 above and in Attachment 1.

4.3 Workshops, Brown Bag, and Q&A sessions

4.3.1 Principles of Performance Monitoring and Evaluation: Barry Silverman conducted a workshop on the general principles of performance monitoring. This module reviewed the general principles and definitions that underpin performance monitoring and evaluation implementation. The module also reviewed the steps required to establish a performance monitoring system from strategic plan to monitoring and evaluation implementation and highlighted the performance monitoring and evaluation requirements of the new Automated Directive System. (See Attachment 2)

4.3.2 Performance Monitoring Plan: Barry Silverman conducted a workshop on developing and implementing a performance monitoring plan. This module reviewed the ADS requirements for Performance Monitoring Plans (PMP). Recommended components of the PMP were also presented. This module was based on CDIE's TIPS on Performance Monitoring Plans. Barry Silverman also facilitated a discussion of developing a Scope of Work for a PMP using the drafted Scope of Work for SO3's PMP. (See Attachment 3)

4.3.3 Rapid Appraisal Brown Bag: Held as scheduled. Materials, including the TIPS series, distributed to supplement the discussion. (Attachment 4)

4.3.4 SO1--The major issues discussed were (a) the relevancy of activity level indicators, (b) DG common indicators, and (c) the use of human rights violations and public opinion survey indicators.

4.3.5 SO2--The major discussion issues were (a) the pros and cons for using similar indicators at the SO and IR level (b) consideration of a 4th IR [Workforce Training], (c) definitions for indicator and unit, (d) what to include in the comments portion of the performance tables, (e) whether to report at the "Sub-IR" level, and (f) baseline issues for slow-to-start activities.

4.3.6 SO3--The major issues discussed were (a) SO level indicators, specifically expressing indicators in terms of equity, (b) a review of all IR level indicators to test for relevancy and logic (c) baselines and target setting, (d) approach and strategy for capturing HPN impacts for this year's R4, and (e) performance monitoring for the Amy Biehl Foundation.

4.3.7 SO5-- The major issues discussed were (a) a review of all indicators, (b) baselines, and (c) targets.

4.3.8 SO6--The major discussion issues were: [to be added]

4.4 Draft Mission-wide Performance Monitoring Plan submitted to PPDO office for review.(See Attachment 5)

4.5 PERMIT: Chris Wolter demonstrated prototype performance measurement web pages using South Africa's Democracy/Governance strategic objective. The prototype integrated these pages with S Africa's existing web page, adding a performance measurement element to their existing pages which primarily focused on a description of S Africa's strategic plan by each strategic objective. Reactions were generally favorable. There was some discussion regarding the sensitivity of some of the results review information, whether performance data tables were too technical for a public-oriented web page; and how to equitably recognize partners when a partner did not have an existing Web page link. In conclusion, it was decided that the prototype web pages developed for S. Africa by the CDIE TA Team would be added to the existing Web page for further internal review and discussion.. However these pages would be limited to viewing by mission staff only, using a password to exclude the public during this prototype phase. Further refinement would be performed by the existing S Africa Mission staff Webmaster.

4.6 MERIT. A demonstration of the MERIT system was given to the CDIE TA Team by Mission Staff. The MERIT system was designed to track grants at the activity level. It has been further developed to track and report on indicator data at the sub-IR, IR and SO level. Some indicator data, particularly that at the SO level, is not collected by the grantees, so it is derived from secondary sources and added to MERIT. Some SO Team members feel that MERIT collects and reports on more data than is necessary or relevant for the management of activities or for reporting purposes. Much discussion was held on this subject. Another issue with MERIT is that it cannot generate the R4 Performance Data Tables in the exact format required by AID/W. Therefore, even though MERIT contains all the data needed to generate the R4 tables, this same data must be entered either into the NMS OPS module or entered into the WordPerfect data table template in order to generate the tables needed for the R4. A meeting was held with the programmer contracted by the Mission to develop and maintain the MERIT system. It became clear that the problem is an ACCESS report generator limitation which the programmer cannot resolve. The CDIE TA Team offered to put the programmer in contact with two Washington-based ACCESS programmers known to the team.

4.7 OPS Stand-Alone Module. A demonstration of the OPS PC stand alone module was given to a small group of Mission staff. Issues discussed included whether the OPS PC module would allow for the import of data from MERIT, whether the R4 data tables could be generated from the OPS PC module; and whether data could be exported from the OPS PC module to the NMS OPS module. Currently, the OPS PC module does not have the capability to answer any of the above issues. However, the Mission is still interested in the OPS PC module as a possible future solution to the contractor data entry issue once printed reports and/or data export to NMS has been resolved.

4 8 CDIE On-Line Demonstration. Several demonstrations of CDIE Online were given to a total of ten Mission staff. It is apparent that Mission staff have very limited experience using Internet, and very few were aware of CDIE Online. Also, they were not familiar with adding or using bookmarks to web pages, how to view documents in Acrobat Reader, or how to download a file from the Internet to a local PC. All of the above were demonstrated. All those attending these demonstrations felt that CDIE Online contained very useful information which would be helpful in their daily work, particularly during R4 preparation time. (See Attachment 6)

5. Major Observations and Recommendations

5 1 Implement Missionwide Performance Monitoring Plan (MPMP)

At present USAID/SA is focused on submitting their 1998 R4 and until that process is completed, it will be unrealistic to get mission staff to seriously consider a Mission-wide Performance Monitoring Plan. They are simply too busy. But, shortly after submission to AID/W, PPDO should take a leadership role to vet the draft MPMP mission-wide. Do not move ahead unless there is genuine support at the top and recognition at all levels that the "R4 process" needs to be better managed as a year long mission effort to manage-for-results and focused specifically on management decision-making. If so, move ahead to implement the MPMP.

5 2 . Finalize Management Contract with MACRO

Both PPDO and MACRO met to hammer out roles and responsibilities for the short run (R4 submission) and over the medium term (MPMP). All parties have now agreed. PPDO may want to consider making this an amendment to their MACRO contract or at least make this a memo of understanding (MOU). In any event, PPDO should finalize the management document (See Attachment 9) and keep to its provisions.

5 3. PME Skills Development

MACRO staff need to be totally conversant with the basic principles of performance monitoring to play an effective role in the R4 submission. After discussion with MACRO at your next joint management meeting, identify one MACRO staff member (Julienne perhaps?) who will train others, as needed, on performance measurement issues specific to the R4 submission--especially the data tables. PPDO should request that MACRO identify a trainer-of-trainer and begin training.

5 4 MERIT System

The MERIT system originally was designed to track unsolicited proposals for grants through the award and implementation process. Since that time, MERIT seems to have been retrofitted to meet the changing needs of the Mission to execute and implement competitively awarded contracts and to track grants from the activity level to the Strategic Objective level. PPDO and SO teams should consider conducting a review of their data collection and management systems (MERIT) with the

purpose to analyze the data currently being collected for its relevance to the management of activities and for reporting purposes. If necessary, PPDO and SO teams should consider reducing the amount of activity data being collected if it is serving neither management nor reporting functions. On the other hand, SO teams may want to consider asking grantees for additional or alternative information if data gaps are discovered. The Mission should have a systems analysis conducted to determine the utility and cost-effectiveness of MERIT for maintaining data from the activity level to the SO level.

5.5 Disseminate R4 "Drafting Checklist"

There are now many "tips" circulating about how to write a better R4. The CDIE TA Team has generated a checklist (See Attachment 7) which captures some of these suggestions. After meeting with the SO2 results package drafters, the feedback on the checklist was very positive. PPDO should take the lead now, to update the checklist as appropriate (SA staff have a lot of good ideas too!) and pass this information on to other SO Team drafters and facilitate mission-wide discussion.

5.6 Performance Measurement Web Pages:

Performance measurement-related web pages customized to integrate with South Africa's existing Web pages were demonstrated to Mission staff, and generated much discussion. Staff were particularly interested in linking S. Africa pages to S. Africa partner's pages as a possible vehicle for better communication and information exchange between the Mission and its partners. PPDO should take the lead in drafting performance measurement pages to S. Africa's existing web page in one sector for further internal review and discussion.

5.7 Web page training

A short training session was conducted for the Mission staff responsible for maintaining the Mission's Web page. However, as the Mission's interest in developing their Web page grows, and they wish to add more advanced Web features such as interactive forms, more advanced training for the person maintaining the Web page should be considered. One PPDO staff person received advanced HTML training and Photoshop (for image creation, revision, manipulation) training.

5.8 Grantee Internet Survey

A Grantee Profile Survey Questionnaire was conducted by the Mission in July 1997. The Questionnaire was mailed or hand-delivered to 187 grantees identified. By the end of August 1997 a total of 61 completed returns had been received. Of the 61 responses, 78% said that they have access to the Internet. However, only 20% knew that USAID/SA had an Internet homepage. In addition, respondents were asked if they preferred to communicate via email rather than fax or phone. 32% expressed a preference for email communications. PPDO should take the lead in pursuing the use of their Web page for further communication and information exchange with partners and in extensively promoting the use of the Web page to their grantees.

The OPS PC Standalone module was demonstrated to Mission staff as an alternative to using the MERIT system for results tracking at the IR and SO level. Unfortunately at this time, this PC version does not have the capability to generate printed Performance Data Table Reports. We also worked with Mission staff to understand how to generate Performance data tables from the NMS OPS module. PPDO should take the lead in quickly reviewing all options for managing performance measurement data carefully and, choose one system to input data and generate data tables for this year's R4 submission.

6. Follow UpTasks

1 Business Systems Analysis (BSA)

After consultation with others in AID/W, submit a draft SOW to the mission so they can contract out for a BSA which can be used for specific systems and functions--such as MERIT--but broad enough to examine other business functions to determine what changes are needed to become more efficient [being sent under separate cover]

2 SO1--Review extant literature on Freedom House Index components, use of attitudinal surveys, voting right violations, and how to interpret data. Completed and e-mailed to Mission (See Attachment 10)

3 SO2--Review PMA database and common indicator literature for indicators to capture "transforming education". Completed and e-mailed to the Mission. (See Attachment 11)

4 SO6--Review PMA database and common indicator literature to assess indicators used to measure changes in "policy". Completed e-mailed to Mission (See Attachment 12)

5 Meeting with Larry Tanner, PPC/ROR

The CDIE TA Team will meet with Larry Tanner in AID/W to share with him reactions, observations and feedback from the Teams demonstration of the OPS PC module and work with the NMS OPS Report function. (See Attachment 13)

6. Amy Biehl Foundation Trust

A memo will be drafted suggesting how the Amy Biehl Foundation Trust might monitor performance. Completed and E-mailed to Mission (See Attachment 14)

Schedule

Thursday, January 22

9:00 - 11:30

PME General Principles.

This module will review the general principles and definitions that underpin performance monitoring and evaluation implementation, and also highlights the performance monitoring and evaluation requirements of the new Automated Directive System.

Venue: Director's Conference Room

Presenter: Barry Silverman

1:00 - 2:30

Performance Monitoring Plan General Principles

This module will review the steps required to draft a performance monitoring plan

Venue: Director's Conference Room

Presenter: Barry Silverman

3:30-4:30

Meeting with selected SO2 Team members

Venue: Mike Cacich's Office

Facilitator: Steve Gale

5:00 - 6:00

MERIT and OPS

Venue: Jim Harmon's Office

Facilitator: Chris Wolter

Friday, January 23

9:00 - 10:45

Roles and Responsibilities for preparing the Mission's Performance Monitoring Plan

Venue: PPDO Conference Room

Facilitator: Steve Gale

11:00 - 12:00

Review of SO3 Scope of Work for Performance Monitoring Plan

Venue: PPDO Conference Room

Facilitator: Barry Silverman

1:00 - 2:00

Meeting with SO2 Training Team (HRDA Team)

Venue: PPDO Conference Room

Participants: Steve Gale and Barry Silverman

2:00 - 4:00

Q & A — SO 6

This session will allow SO 6 Team members to raise specific questions about performance monitoring and evaluation issues, R4 preparation, common indicators, and any other relevant topic

Venue: SO6 Conference Room, 413

Facilitator: Steve Gale

Monday, January 26

9:00 - 11:00

PERMIT demonstration

This module will demonstrate a performance monitoring and evaluation webpage link specifically designed for USAID/South Africa's homepage.

Venue: PPDO Conference Room

Presenter: Chris Wolter

2:00 - 4:00

Q & A — SO 5

This session will allow SO 5 Team members to raise specific questions about performance monitoring and evaluation issues, R4 preparation, common indicators, and any other relevant topic

Venue: SO6 Conference Room, 413

Facilitator: Barry Silverman

4:00 - 5:30

Mid-TDY Review

Venue: PPDO Conference Room

Participants: TDY Team

Tuesday, January 27

9:30 - 11:30

Q& A — SO 1

This session will allow SO 1 Team members to raise specific questions about performance monitoring and evaluation issues, R4 preparation, common indicators, and any other relevant topic

Venue: SO1 Conference Room

Facilitator: Barry Silverman

12.30-1:15
BROWN BAG - Rapid Appraisal
Venue PPDO Conference Room
Presenter: Steve Gale

2 00 - 4:00
OPS module
This module will demonstrate the new Operations Tracking System stand-alone module which would allow contractors to enter data entirely.
Venue: PPDO Conference Room
Presenter: Chris Wolter

Wednesday, January 28

9:00 - 10:00
Mission Staff meeting
Venue: 8th Floor Conference Room
Attendee: Steve Gale

10 00 - 11.00
CDIE Services
This module will demonstrate intra-net access to AID Development Information as a tool for R4 report preparation.
Venue: 8th Floor Conference Room
Presenter: Chris Wolter

12:00 - 1:00
Gender Discussion with Anne Fleuret, G/WID
Facilitator Barry Silverman

2:00 - 4.00
Q & A — SO 2
This session will allow SO 2 Team members to raise specific questions about performance monitoring and evaluation issues, R4 preparation, common indicators, and any other relevant topic
Venue. 8th Floor Conference Room
Facilitator: Steve Gale

2 00 - 4.00
Merit Report Formatting Issue
Venue: PPDO Conference Room
Facilitator: Chris Wolter

Thursday, January 29

8:30-10:00

NMS/Merit Performance Data Table Issues

Facilitator: Chris Wolter

9 00 - 11 00

Q & A — SO 3

This session will allow SO 2 Team members to raise specific questions about performance monitoring and evaluation issues, R4 preparation, common indicators, and any other relevant topic

Venue: Director's Conference Room

Facilitator: Barry Silverman

10.30 - 11:30

Q&A - SO 2

Continuation of discussion of issues concerning R4 preparation, indicators, etc with SO 2 Team.

Facilitator: Steve Gale

12:30 -1.15

BROWN BAG - Annual Performance Report Update

Venue: PPDO Conference Room

Presenter: Steve Gale

1:00 - 2 00

PME Project

Venue: MACRO Offices

Facilitators: Barry Silverman and Chris Wolter

3:00 - 4:00

PERMIT

Venue: PPDO Conference Room

Presenter: Chris Wolter

Friday, January 30

10:00 - 11:00

CDIE Services

Venue. 8th Floor Conference Room

Presenter: Chris Wolter

1 30 - 3:30

Gender Discussion with selected SO1 Team members and the G/WID Gender Team

Venue: SO1 Conference Room

Facilitator: Barry Silverman

Monday, February 1

Q&A - SO6

Venue: SO6 Conference Room

Facilitator: Steve Gale

Attachment 2
Performance Monitoring and Evaluation Presentation

(FOR FULL PRESENTATION CONTACT: STEVE GALE, PPC/CDIE/PME)

Performance Monitoring Plans

CDIE Performance Monitoring and Analysis
Technical Assistance Team
January 1998

Attachment 3
Performance Monitoring Plan Presentation

(FOR FULL PRESENTATION CONTACT: STEVE GALE, PPC/CDIE/PME)

Performance Monitoring Plans

CDIE Performance Monitoring and Analysis
Technical Assistance Team
January 1998

**Attachment 4
Brown Bag Presentations**

(FOR FULL PRESENTATION CONTACT: STEVE GALE, PPC/CDIE/PME)

Rapid Appraisal Brown Bag

CDIE Performance Monitoring and Analysis
Technical Assistance Team
January 1998



Participatory Evaluation Brown Bag

CDIE Performance Monitoring and Analysis
Technical Assistance Team
January 1998

Annual Performance Report Brown Bag

CDIE Performance Monitoring and Analysis
Technical Assistance Team
January 1998

Attachment 5
Draft Mission-Wide Performance Monitoring Plan

CDIE PERFORMANCE RESULT TA
JANUARY 1998

DRAFT OUTLINE
USAID/SA MISSION-WIDE PERFORMANCE
MONITORING PLAN (MPMP)

I. Background

A Mission-wide Performance Monitoring Plan (MPMP) is a plan that allows the Mission to integrate and manage the Performance Monitoring Plans (PMPs) of its individual Strategic Objective Teams so that it can improve, on a continuous basis, its managing -for results capability. It describes the dynamic processes that the Mission will use to ensure achieving planned results. A MPMP enables a Mission to better manage-for-results not just at the time of an R4 submission to AID/W, a semi-annual mission portfolio review, or to respond to an urgent request from the Desk Officer but, throughout the year.

The MPMP is more than a collection of individual performance monitoring plans from strategic objective team. It is a Mission management tool. It includes a detailed blueprint for how the Mission will manage its overall performance monitoring and evaluation functions. It also details the interactions between the missions performance monitoring and evaluation functions and existing Mission and Agency data management systems. Finally, the MPMP should not be a static document. It should include plans for self-review and revision.

II. MPMP Cycle

The process of developing a MPMP begins with asking the questions; (a) *do we need a MPMP?* and (b) if we had one, would we use it? If the answer to these questions is yes, then the preparation and implementation of the MPMP can follow a cycle as illustrated in Figure 1. The figure illustrates a "model" which can be used to continuously update and improve performance measurement mission wide.

The model calls for both a mission-wide performance systems review and a review of the interface between the operating unit and AID/W systems. It is essential that this process be managed year long--and the responsibilities be clearly delegated

III. Authority

A Mission may decide to issue a Mission Order or other document stating the purpose and scope of the MPMP, those responsible for carrying it out, and the authority under which the order exists. Under Automated Directive System (ADS, 201 5 13) the operating unit "will finalize the performance monitoring plan, including performance targets and indicators, after strategic objectives been approved and before the submission of the first R4." (Also see ADS Chapter 203 5 5 on Performance Monitoring Plans requirement)

The MPMP takes the individual plan from each SO one step further. It integrates the various PMPs mission-wide, systematically provides for revisions, calls for a review of existing mission and agency performance systems, and clearly articulates roles and responsibilities to *manage the entire process*.

IV. MPMP Team

Building on USAID's core values of *teamwork* and *empowerment*, the Mission may consider establishing a MPMP Team to develop and implement the plan. One possible team could consist of individuals from each of the SO teams whose responsibilities include performance monitoring, members from the program and project development offices, and others. The mission might also consider contract mechanisms to support MPMP development and implementation. If so, the role of contract staff must be very clearly defined as the responsibility for managing the MPMP resides with the mission.

V. Data Table Shell

Operating units have devised various versions of performance monitoring table formats to collect relevant information for individual performance plans at the SO and IR levels. Figure 2 represents an integrated version derived from a number of these plans. This prototype marries the variables of interest (indicator, baseline data, target or planned, etc) with the SO, first-tier IR, lower level IRs as desired. Having the essential elements (see VI below) and a clear numbering system for each SO and IR seems to work best.

VI. Performance Monitoring Plan--The Required Information¹

A. Baseline data (year), actual data (year), planned or target (year).

B. A detailed definition of each performance indicator

- a. The unit of measurement should be included in the definition.
- b. The definition should be detailed enough to insure that different people at different times, given the task of collecting data for a given indicator, would collect identical types of data.

C. The source, method, frequency and schedule for data collection

- . Data sources may include government departments, international organizations, other

¹ Based on ADS Chapter 203.5.5 and Preparing a Performance Monitoring Plan, Performance Monitoring and Evaluation TIPS, USAID Center of Development Information and Evaluation, #7, 1996

donors, contractors, USAID offices, or activity implementing agencies
Performance monitoring systems require comparable data periodically to measure progress. But depending on the performance indicator, it may make sense to collect data on a quarterly, annual, or less frequent basis.

C. Method of Data Collection

- . Specify the method or approach to data collection for each indicator.
- . Note whether it is primary data collection or is based on existing secondary data.

D. Frequency and Schedule of Data Collection

- . Performance monitoring systems require comparable data periodically to measure progress. But depending on the performance indicator, it may make sense to collect data on a quarterly, annual, or less frequent basis.

E. The office, team, or individual responsible for ensuring data are available on schedule.

- . For each performance indicator, the responsibility for the timely acquisition of data from their source should be assigned to a particular office, team, or individual.

VII. Performance Monitoring Plans--Other Information [suggested]

Developing the plan may proceed in stages with the "required information" in Stage 1 and "recommended information" in Stage 2. Some missions have found that it is easier to do both at once. Others have done them sequentially. The important point is that a good MPMP will eventually have both kinds of data. Additional elements for the plan include a description of:

F. Data Analysis - How will the performance data be analyzed ?

- . For indicators with disaggregated data, plan how it will be compared, displayed, and analyzed.
- . For each indicator, plan how actual performance will be compared with 1) past performance, or 2) planned or targeted performance.

G. Cost Benefit Analysis - When practical and feasible, plan for using performance data to compare systematically alternative program approaches in terms of costs as well as results.

H. Budget

- . Estimate roughly the costs to collect, analyze, and report performance data for a specific indicator.
- . Identify the source of funds
- . Reengineering guidance gives a range of 3 to 10 percent of the total budget for an SO as a reasonable level to spend on performance monitoring and evaluation

I. Plans for Complementary Evaluations

- . Reengineering requires evaluation should be conducted only if there is a clear management need.

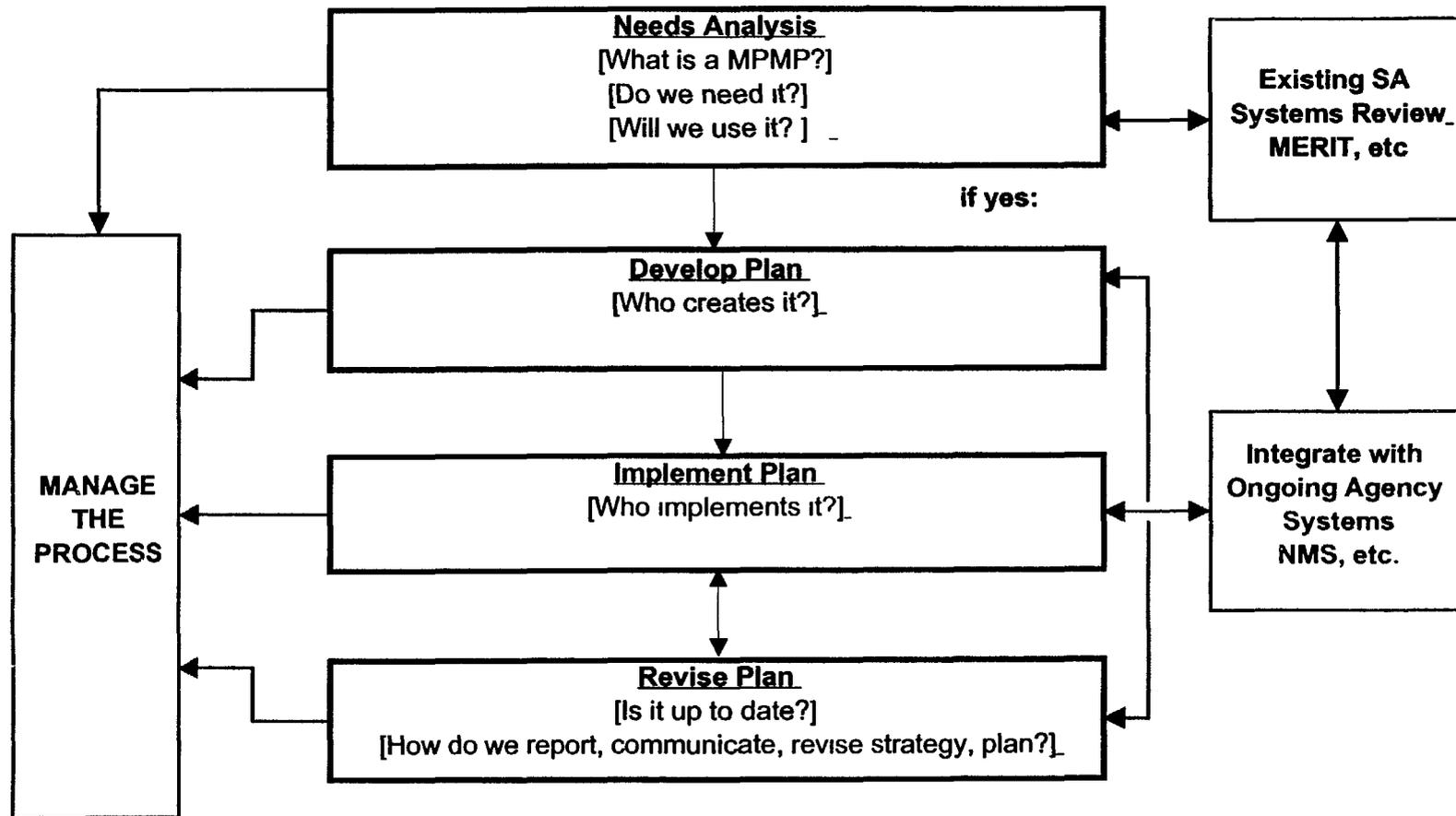
- . operating units may find it useful to plan what evaluations are needed to complement information from the performance monitoring system.

VIII. Management Plan

The management process is the essential part of the "model" described earlier under section II. The plan itself should:

- Identify individual(s) responsible for managing all the PMP components and the overall MPMP.
- . Develop overall schedule for Mission PMP components.
- . Review PMP component progress.
- Train staff in use of PMP
- . Institute a quality control plan

Figure 1: SOUTH AFRICA
Mission-wide Performance Monitoring Plan (MPMP) Cycle



CDIE Performance Results TA
January 26, 1998

PROPOSED TABLE FOR PERFORMANCE MONITORING PLAN

OBJECTIVE Improved Capacity of key government and non-government entities to formulate, evaluate, and implement economic policies									
I R RESULT IR 4 1 Strengthen human resources in economics and policy analysis for key government entities									
SO, INTERMEDIATE RESULT OR ACTIVITY INDICATOR	YEAR/BASELINE DATA	YEAR/ACTUAL DATA	YEAR/PLANNED DATA	PRECISE DEFINITION OF INDICATOR AND UNIT OF MEASUREMENT	SPECIFIC SOURCE OF DATA	DETAILS OF DATA COLLECTION METHODS AND APPROACH	TIMING AND FREQUENCY OF DATA COLLECTION	FUTURE COSTS OF COLLECTING INFORMATION AND SOURCE OF FUNDS	RESPONSIBLE PERSON/OFFICE AND SUPPORTING ACTIVITIES
Number of economists trained via Mandela Economics Scholars Program placed in key government units	1996 M 0 W 0	1997 M 1 1998 M W 1999 M W	1997 M 0 W 0 1998 M 2 W 2 1999 M 4 W 4	Unit: # of men # of women Definition: Indicator reflects number of people trained through MESP who subsequently become employed in, or are transferred to, key government economic units Key units to be determined Target figures are cumulative	Project records and reports		Annually	Costs and Source of Funds. MESP project, 5% of project funds	MACRO staff/ MESP grantee
Comments/Notes									

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**Attachment 6
CDIE Services**

(FOR FULL PRESENTATION CONTACT: STEVE GALE, PPC/CDIE/PME)



CDIE Services

CDIE Performance Monitoring and Analysis
Technical Assistance Team
January 1998

Attachment 7
What Makes a Good R4 Checklist

GETTING THE PERFORMANCE SCORE YOU DESERVE¹
THE R4 2000 CHECKLIST

- Is your “description” well written?
 - It should be clear and logical, convincing and concise, and communicate to busy readers.
- Did you keep to page limits?
 - If it can’t be said in a few pages, long narratives buy you nothing.
- Are you using all available data sources?
 - Use a blend of data from your performance measurement plan, field or central evaluations, case studies, rapid appraisals, etc.
 - Use both quantitative and qualitative data.
- What kind of analyses were conducted?
 - Show the link between the analysis and the changes that occurred.
 - Demonstrate that you use data to assess trends, set targets, analyze performance
- What is the performance period?
 - Use the whole period, do not be restricted to just the past year.
 - Consider past and present performance and future trends.
 - Go beyond the tables and annex
 - Use time series data whenever available
- Have you explained your successes?
 - Now is the time to boast!
 - Tell the world what you’ve achieved
- When targets have not been met then what?

¹This suggested list is based upon CDIE PME field experience and R4 reviews, what we have learned at Agency-sponsored workshops and presentations, and insights from USAID and partner developmental professionals at every level. Thanks to all of you

- Explain what corrective actions you have taken (managing information)
- These explanations count just as much (or sometimes more!) than meeting targets
- What about synergies?
 - Describe them and what was achieved.
 - Taking advantage of planned AND natural synergies is highly efficient and well-reasoned development.
 - Don't forget to highlight joint planning with other donors and partners to maximize results.
- Has there been a special mission or office emphasis or initiative this year?
 - Tell the readers what has been unique in your program this year whether or not it impacted on performance and why you chose this emphasis
 - Explain the role of USAID in this "larger" context.
- Is there some overarching or cross-cutting bureau theme such as partnership, host country ownership, NGO capacity building, etc.?
 - How has the Mission responded?
 - What results were achieved?
- What about the linkages to the Mission Performance Plan (MPP)
 - Make sure to identify the US National Interests for your country
 - Briefly state how your objective is linked to National Interests

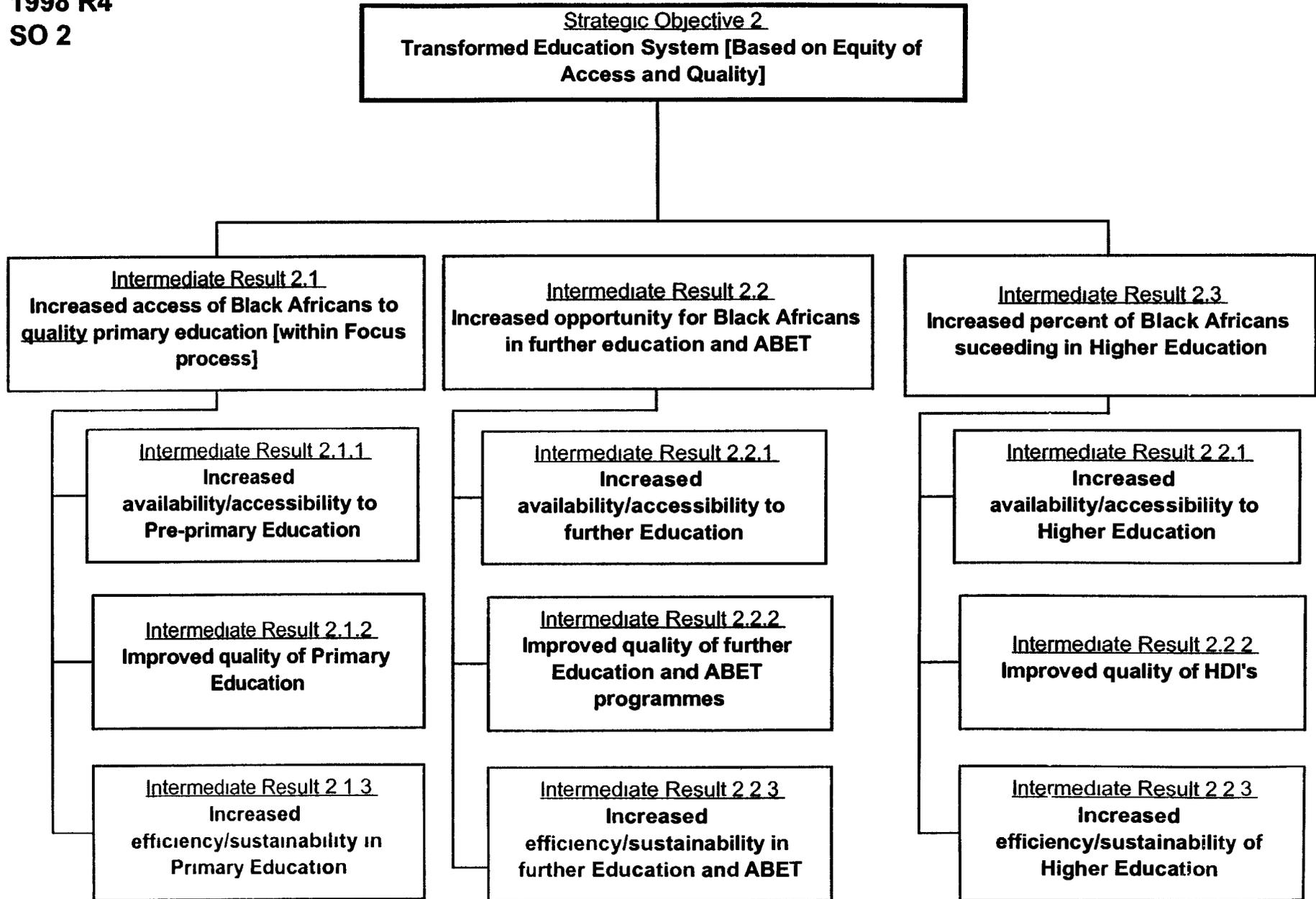
BOTTOM LINE

"Paint a picture" so the reader can "see"
what a great job you've done!

Prepared by Steve Gale, PPC/CDIE/PME Suggestions and comments are very welcome
sgale@usaid.gov or (202) 712-5814

Attachment 8
Revised SO2 Framework

SOUTH AFRICA
1998 R4
SO 2



Attachment 9
R4 Performance Checklist

**R4 Performance Checklist
Lead Responsibility**

Functions	PPDO	MACRO	SO Team
1. Data Analysis		Yes	
2. Evaluation ¹		Yes	
3. Budget	Yes		
4. Confirm Indicators	Yes		Yes
5. Propose New Indicators			Yes
6. Review data at goal & subgoal level		Yes	
7. Review data at SO & IR level			Yes
8. Draft narrative: SO 1			Yes
9. Draft narrative: SO 2			Yes
10. Draft narrative: SO 3			Yes
11. Draft narrative: SO 4			Yes
12. Draft narrative: SO 5			Yes
13. Draft narrative: SO 6			Yes
14. R4 review-core team ²	Yes		
15. PPDO review ³	Yes		
16. OST review	Yes		
17. Submit R4 to AID/W ⁴			

CDIE Performance Results TA

¹ SO 1 requires further articulation

² Zozo Mamabolo (PPDO), Karen Freeman (PPDO), Mike Viola (MACRO)

³ John Wooten, PPDO

⁴ Aaron Williams

January 26, 1998

TO: Karen Freeman, PPDO
Zozo Mamabolo, PPDO

FROM: CDIE TA Team

SUBJECT: Summary Notes: 1/23 meeting between MACRO and PPDO

OTHER MEETING ATTENDEES: Mike Viola, MACRO Chief-of-Party
Steve Gale, PPC/CDIE/PME

This draft document summarizes discussions between USAID/SA (Freeman and Mamabolo) and MACRO International Chief-of-Party Michael Viola held at the mission on January 23. Please send revisions and comments to Steve Gale, Team Leader, CDIE TA TDY, by no later than Thursday, January 29.

(1) TODAY'S MAJOR ISSUES FOR DISCUSSION: The meeting began with a full exploration of what major issues need to be discussed over the next 2 weeks and then to prioritize what can be accomplished today. The major issues outlined were:

1.1 What is the strategy for the Mission and MACRO to meet the current R4 submission--the short-term strategy?

1.2 For the longer haul (medium-term), how do we work together to develop a *Missionwide Performance Monitoring Plan* (MPMP) and then to implement and manage the process? Who does what?

1.3 Specifically, what should be the role of MACRO for the short-term strategy (1.1)?

1.4 Specifically, what should be the role of MACRO for the medium-term strategy (1.3)?

1.5 What should be the broader role of MACRO beyond the R4 and the MPMP? That is, beyond just monitoring and evaluation?

1.6 How do any changes in roles get reflected/modified in the current MACRO Statement of Work (SOW) if required?

(2) WHICH ISSUES DO WE DISCUSS TODAY?

PPDO and MACRO agreed to discuss the short term strategy today only but schedule the other issues over the next few weeks. Getting the R4 **MUST** take precedence for now. Zozo Mamabolo will take the lead to schedule each of the other issues (1.2 through 1.6) into the upcoming series of PPDO/MACRO weekly meetings.

(3) FOR THE SHORT-TERM STRATEGY:WHAT ARE THE CRITICAL CONCERNS?

3.1 MACRO Concerns--

3.1.1 PPDO must recognize the wide range and strengths/weaknesses of MACRO staff capabilities,

3.1.2. PPDO must factor in that each Mission-led SO TEAM has a distinctly different "operating style" resulting in different levels of MACRO engagement, and;

3.1.3 There currently exists very different relationships and information flows between MACRO staff and each Mission-led SO Team.

3.2 PPDO concerns--

3.2.1 Together, we (MACRO and PPDO) must work to better clarify/understand the role of the Mission-led SO Team leaders in relationship to the current R4 submission:

- How will/are the teams organized?
- How does/will the team function?
- Who will quality control the R4 product and keep to deadlines?
- Who will assure compliance with R4 guidance?
- How will data be obtained, and at what level?

3.2.2 How will MACRO engage these leaders and their teams to facilitate the R4 submission?

(4) HOW DO WE IMPROVE COMMUNICATION?

4.1 Weekly PPDO/MACRO Meetings--The Mission is requesting weekly meeting with MACRO on the R4 submission at a mutually convenient time. After R4 submission the frequency, etc. of the meeting will be jointly determined based on need.

4.2 MACRO Weekly Meetings--During this acute phase of the R4 submission, MACRO will hold a weekly internal staff meeting prior to the joint PPDO/MACRO meeting (4.1).

4.3 Information Flow--At this time the Mission has a high "need-to-know" about MACRO staff support to facilitate the R4 submission. Please copy the mission (Zozo Mamabolo) via e-mails on MACRO efforts, meetings, etc. Err on the side of too much/many e-mails for now--but make each one brief. If the mission needs more information they will follow up.

(5) OTHER OUTSTANDING ISSUES

The focus of the next few weeks will be to better clarify the role of MACRO with respect to

5.1 Evaluation, as opposed to monitoring.

5.2 Skills training and transfer.

5.3 Dissemination activities.

(6) Next Steps

6.1 MACRO and PPDO will promptly submit any changes/additions/revisions to this DRAFT within the next 3 days.

6.2 Following discussions at the next PPDO and MACRO weekly meeting, this draft will be finalized and all provisions and recommendations will implemented at soon as practical.

6.3 Zozo Mamabolo (PPDO) and Mike Viola (MACRO COP) are responsible for joint implementation of all provisions.

TRIP REPORT
CDIE PERFORMANCE MONITORING AND
EVALUATION TECHNICAL ASSISTANCE VISIT
USAID/SOUTH AFRICA

Follow-up Tasks

Prepared for:

United States Agency for International Development (USAID)
Bureau for Policy and Program Coordination (PPC)
Center for Development Information and Evaluation (CDIE)
Performance Measurement and Evaluation Division (PME)

Under the Consulting Services for Technical and Advisory
Analysis for Strategic Planning, Performance Measurement
and Evaluation IQC

Contract No AEP 0085-I-00-6017-00

Task Order No 03

with



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March 1998

TRIP REPORT
CDIE PERFORMANCE MONITORING AND EVALUATION
TECHNICAL ASSISTANCE VISIT
USAID/SOUTH AFRICA
Follow-up Tasks

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Attachment 12:	Indicators to measure changes in "policy"
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Attachment 14:	Memo to Amy Biehl Foundation Trust

Attachment 10
SO1 indicator review and recommendations

JR

**USAID/South Africa
SO1 Indicator Review and
Recommendations**

Prepared for:

**United States Agency for International Development (USAID)
Bureau for Policy and Program Coordination (PPC)
Center for Development Information and Evaluation (CDIE)
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February 1998

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SOUTH AFRICA SO1 – INDICATOR REVIEW AND RECOMMENDATIONS

I. Context

On February 10th, Larry Garber (PPC/DAA) held a meeting on recent performance measurement discussions with USAID/South Africa's SO1 (Democracy) Team. Inputs to the meeting were from Larry Garber's recent TDY experience in South Africa, impressions from PPC's Technical Assistance TDY Team visit to South Africa led by Steve Gale (PPC/CDIE/PME), and e-mails between the mission SO1 Team members and others in PPC (Jim Vermillion) and G/DG (e.g., Jerry Hyman and Robert Barr). The purpose of the February 10th meeting was to compare observations on performance measurement and provide the mission with a coordinated AID/W response. At the same time, AID/W fully realizes that the SO1 Team has already spent considerable effort on their results framework (RF) and preparing the R4, and thus may not be able to consider or incorporate suggestions at this time. These recommendations are provided to inform future thinking on measuring performance and are not intended to change the current RF.

The comments below include feedback from the February 10th PPC-led meeting. They focus on an initial overview of USAID/South Africa's proposed SO, IR's and indicators. These comments have been made based on a review of a recent RF but do not benefit from reading the RF narrative materials.

II. Overall Issues

Three issues are identified below which USAID/South Africa may want to consider, namely, the use of compound IRs, indicator selection, and the sheer number of indicators.

1. The Mission has several "Compound IRs" and unless clarified this can complicate performance monitoring.

When IRs seek to achieve more than one specific result, so-called compound IRs, indicators need to be identified for each result or dimension. As worded in the SO1 tree, some of the IRs in the RF contain separate results. USAID/South Africa no doubt knows which results, if not all, are the primary focus of their activities, but this is not entirely clear to the reader. For example, IR 2 "Strengthened societal knowledge, protection and practice of rights" includes three results: increasing (1) public knowledge of their rights (2) protection of rights and (3) practice of rights.

With compound IRs, it can be difficult to determine which result an indicator is supposed to measure. For example, under IR 2, the number of human rights violations could measure citizens' knowledge, the degree of protection, and/or the practice of rights [See Attachment 1, memo on monitoring human rights violations, hrdata.doc]. If it is to measure all three, then the indicator needs to be more clearly defined and perhaps expanded to include the government response as a measure of protection and practice.

IR1, "Increased access to an equitable and effective justice system" likewise suggests three separate results: (1) increasing access to; (2) improving the fairness or equity of and (3) increasing the effectiveness of the justice system. Increasing access would appear to be the main focus. However, such a conclusion would be based on the assumption that the justice system is already equitable and effective. Alternatively, enhancing the fairness and improving the effectiveness could be separate results which contribute to increased access.

If the Mission is working to achieve all of those results, indicators of the effectiveness and equity of the justice system would be needed. None of the indicators proposed for this IR include a measure of effectiveness, however. If the Mission is working to improve the effectiveness of the justice system, it should try to measure it. If it is not pursuing activities to improve the effectiveness of the justice system, for clarity it would be useful to revise the IR to exclude reference to effectiveness.

2 Some indicators may need further discussion.

Possible indicators for SOs and IRs range from measuring just inputs and outputs at one end to reporting results and impacts, at the other. For the SO and IRs, South Africa needs to decide what it is willing to be held accountable for -- its manageable interest -- and select appropriate indicators along the "spectrum" from inputs to impacts.

Ideally indicators should demonstrate the impact of our development assistance. It would be a "higher level" result to show what training achieved, but that may not always be possible within the time under consideration. An output indicator such as "number of people trained" might be used if, for example, a program is so new that it is impossible to measure impact. In contrast, if it is possible to document greater impact, i.e., the changes expected from the training, impact indicators should be sought. To identify such impact indicators, the Mission could focus on changes in behavior sought through training

Public opinion is one possible alternative indicator to measure impact. However, public opinion is subject to many problems both in terms of measurement reliability and validity and the stability of the underlying construct [see Attachment 2, memo on public opinion poll indicators, podata.doc]. The list of suggested indicators developed by the G/DG center [See Attachment 3, a draft version of DG Center indicators, dglist] presents other options.

The Mission may need to collect two types of indicators -- those that let activity managers monitor what is actually happening in the program (to make sure that what is planned is actually taking place) and those that permit some assessment of the impact of these activities. The first group should be used within the Mission for management purposes and would not need to be reported to Washington. The second, a much smaller set of measures, should be the basis for assessing program performance and should be included in the R4 sent to Washington.

Once identified, indicators should be precise and clearly defined. In particular, if data are reported only for a target area or group, both the IR and the indicator should reflect that focus. For example, South Africa has proposed for IR 1.4, public participation in selected areas, but the indicator states, "at national, provincial and local levels," which implies everywhere as opposed to only target areas. Similarly, when general wording is used, such as "government institutions," precisely which institutions should be defined.

Finally, where possible, indicators should be disaggregated as relevant or appropriate by gender, region, ethnic group, etc.

3. The Number of SO and IR indicators associated with the RF seems large.

One of the concerns expressed by USAID/South Africa was the heavy burden associated with managing the large amounts of data in hand. The difficulty of so much data was reflected in the number of

indicators for SO1 and its IRs (up to six SO-level indicators and, on average three indicators per IR). There are several problems with so many indicators. First, as the Mission has already expressed, there is the burden of data collection. Overall, we agree that this burden is too high.

In addition, it is necessary to determine the value added from each additional indicator. What extra information does each indicator provide? When IRs are compound, such as the existing IR2 "Strengthened societal knowledge, protection and practice of rights" and each component is equally important, three separate measures may be necessary. However, if at a given stage the Mission is focusing only on one aspect of the IR, it may be useful to consider focusing the IR (for example, if in the case of human rights the Mission is working primarily on increasing societal knowledge) and identifying a relevant indicator.

A final difficulty with so many indicators is interpreting the significance of separate indicators. It may prove difficult to analyze progress of the SO or IR, particularly if progress among indicators is not even. In such circumstances it will be necessary for the Mission to assess for its own purposes any variations and to ensure that its results are understood and appreciated by Washington.

Lastly, it is useful to bear in mind that not all indicator data needs to be incorporated into the R4. The underlying principle for what data should be collected must be based on the usefulness of the data for program (and activity) management and monitoring. If the data are not immediately useful from a management perspective, then the rule of thumb should be not to collect the data. Moreover, SO team leaders may for their own management purposes require more data than needed to report to their Bureau. Only select those few indicators to send to AID/W that are essential. This should ease the data burden problem.

III. Indicator Recommendations -- USAID/South Africa SO1

In this section we provide a few specific recommendations for the Mission to consider as follows:

SO-level Indicators --

If the focus of the SO is to achieve Strengthened Democratic Institutions, an appropriate indicator needs to be identified that measures the increased capacity of the institutions or, if USAID/South Africa is willing to be held accountable for a higher level result, the improved performance of those institutions.

This is an important distinction which should be made clear in the narrative and RF and reflected in the indicators. In addition, as noted above, "democratic institutions" includes a range of government bodies at the national and local level as well as processes such as elections. Accordingly, the indicator(s) and accompanying narrative should identify which institutions will be strengthened.

If the focus of the SO is primarily on citizen/civil society participation, then the SO could be reworded to show the emphasis on civil society. SO-level indicators could focus on civil society participation. If this is, in fact, a compound SO, indicators for both strengthened institutions and civil society need to be identified at the SO level.

At the SO level, USAID/South Africa has proposed using public opinion polls to measure the impact of its programs. Three additional SO-level indicators are proposed [as written on the copy of the RF we have seen]. These were, unfortunately, difficult to read.

Of the public opinion surveys proposed by the Mission, the most relevant to increasing institutional capacity is the third: % of people who approve of institutional performance including presidential, parliamentary, provincial and local levels of government. While opinion surveys are useful and, in theory, measure the impact of improvements for the ultimate customer, the South African population, USAID/South Africa should think carefully about whether it wishes to be held accountable for changes in public opinion, which may fluctuate dramatically due to circumstances well beyond the manageable interest of the Mission, such as economic performance. In addition, as noted above, public opinion polls as indicators have key methodological issues which need to be clarified from the outset [see Attachment 2, podata.doc].

Finally as stated, this indicator is extremely broad. It may be more useful and a more direct measure of the impact of USAID's programs to survey a target population or to consider alternatives such as focus group surveys which may be more reliable and less costly to conduct.

Washington shares the Mission's concerns about using the Freedom House index. The Freedom House index measures a high level result, the overall progress of democracy in South Africa. USAID/South Africa may not wish to be held accountable for overall political conditions beyond its manageable interest. Freedom House does not reflect internal changes in capacity or performance of individual institutions — which, as we understand it, reflects our development intervention. Moreover, Freedom House it is not a "direct measure" of strengthened democratic institutions.

USAID/South Africa may find more appropriate measures of improved capacity of those institutions it is working to strengthen within the draft list of DG indicators [Attachment 3, dglst]. If not, it may be possible to develop an index of improved capacity or performance of those institutions USAID is working to strengthen. However, the elaboration of such an index would require careful thought and calculation.

IR-level indicators —

At the IR-level, as discussed above, both the wording of the IR and the indicators should measure all results that USAID is seeking to achieve. For example, IR1, as worded, includes "effectiveness." If USAID/South Africa is working to improve the effectiveness of the South African justice system, then an indicator of effectiveness is needed. Possible indicators could be (1) average pre-trial detention time or (2) average time for case deposition or (3) convictions and settlements as a percentage of reported crimes.

Alternatively, if the primary focus of the IR is improved access, then the wording could be simplified. Of the indicators proposed by South Africa, the "number of historically disadvantaged accessing the formal court system" would appear to be the most direct measure. However, if data are not easily available, then alternatives such as "the number of historically disadvantaged legal professionals" could be used. This is a proxy indicator and it would be useful to explain the assumption that increasing the number of historically disadvantaged professionals would ensure greater access or improved equity of the justice system.

South Africa also proposes using "Civil rights bills drafted and presented." This is, however, a lower level result albeit a necessary one. To measure increased access, an indicator would need to include implementation. That, however, is more difficult to measure and would require a qualitative assessment

For the other IRs, it is likewise necessary to identify measures for each result for those that are compound, such as IR2. In addition, USAID/South Africa should also consider for what results it is willing to be held accountable. For example, is the IR3 indicator, number of instances of political violence in KwaZulu Natal within USAID/South Africa's manageable interest? If USAID is providing assistance with the formation of mediation bodies, then the indicator, number of functioning mediation "structures" at the provincial and local level" (in KwaZulu Natal) proposed by South Africa may be more appropriate.

Methodological issues with some of the proposed indicators, such as monitoring the number of human rights violations [see Attachment 1, hrdata doc], should also be taken into consideration. Finally, all indicators require clear definition and, where appropriate, disaggregation.

2. Measuring improvements in human rights

The attached table presents a summary of Human Rights indicators throughout the Agency based on a database run. As you can see, very few operating units attempt to measure the actual (quantitative) reduction in human rights abuses. Of those that do, most appear to have trouble with data.

■ Cambodia

Cambodia has only begun to report data on human rights with 1996 as the baseline. Their indicator focuses not only the number of cases *reported*, but in the percentage investigated and "successfully resolved." As an impact indicator, this is perhaps better than simply human rights abuses reported. However, it is still problematic. A better measure might base the percentage on the number reported — i.e. the percentage of reported violations successfully resolved. It would be possible for the total number of violations reported to increase, but the number investigated to remain constant. In addition, it is equally difficult to predict accurately. In the case of Cambodia, this was clearly indicated by the turn of events last summer (the "coup" ousting of co-PM Prince Ranariddh by Hun Sen) and the human rights violations that followed.

In Cambodia, as in other places, there is also the question of how a human rights violation is defined. Is it the narrow legal definition which requires that it be an abuse by government to be a violation, or would a violation by the Khmer Rouge count? Would war crimes more generally count?

■ Guatemala and Nicaragua

Both Guatemala and Nicaragua report the reduction in Human rights violations. Nicaragua further disaggregates this indicator by gender. In the text of the R4, Guatemala indicates plans to disaggregate by age (adults/children), ethnicity and geography) to be reported from 1997 on by the Ombudsmen with the assistance of a newly-established case-tracking system). Again, the definition of what constitutes a violation is not clear. Is it a reported incident? A conviction? A media report? In addition there is the issue, as in Cambodia, of definition.

In 1996, neither "met" their target — Guatemala exceeded and Nicaragua missed its target. This again indicates the difficulties operating units face in predicting accurately the number of human rights violations. This again indicates the difficulties operating units face in both defining and predicting accurately the number of human rights violations. The concept of predicting violations is fraught with both methodological and substantive issues and should probably be avoided, but this is extremely difficult given results reporting requirements.

Data sources:

All three countries reporting human rights violations get their information from existing outside sources (USAID-funded groups, government organizations or NGOs) that are collecting data. In the case of Guatemala, it will be interesting to see the extent to which reporting by a Human Rights Ombudsman using an established case tracking system effects what data are reported in the 1997 R4

- Cambodia — quarterly reports from USAID-funded human rights groups
- Guatemala — annual human rights report of the OHRO
- Nicaragua — ANPDH 1991-1996, Human Rights ombudsman from 1997

Establishing a trend:

Many outside factors influence the number of human rights cases reported. In fact, it is equally challenging to predict whether with increased awareness/improved human rights conditions the number of cases *reported* will increase or decrease. Just as an increase with greater public awareness does not necessarily indicate a worsening of human rights, a fall in cases reported does not necessarily reflect an improvement. The number of cases could fall if those that are reported are not resolved. Likewise, the number of cases could fall a country's government takes measures to curtail human rights reporting. In fact, it may be that what we are looking for is not a reduction in incidence of abuses or an increase in numbers reported, but the government's response to incidents. Incidents of abuse will most likely continue, but those abuses should be met with swift and just disposition which is known to the public.

While all of these instances are hypothetical, the range of possible combinations of underlying causes and outcomes demonstrates the challenge in establishing a trend. In the case of South Africa, the publicity surrounding the Truth and Reconciliation Commission may have effected the number of human rights cases reported. Some factors could counter this uncertainty including data availability over a longer-term period and careful analysis of a country's political situation.

Setting targets and analyzing results

As far as setting targets, many of the country's reporting the number of human rights violations have encountered difficulties. And given the lack of definition of the construct and difficulty in establishing a trend, this is inevitable.

Nicaragua has had to revise its targets:

	Planned in 1996 R4	Planned in 1997 R4	Actual
1995			583
1996	450	450	573
1997	400	500	
1998	350	475	
1999		425	-

The overall decline in human rights violations appears to be random: a fall of 73 in 1996, followed by falls of 25 and 50. The decline from 1995 to 1996 was 111. Without an explanation from USAID/Nicaragua, it is difficult to see why the specific targets have been set. While the decrease may initially be more accelerated (111, 73), it is not clear why the annual change should fall dramatically (from 73 to 25) and then increase again to 50. There may be outside factors that have led to such changes, yet the previous targets called for an even fall of 50 each year. However, without that information, it is impossible to determine how they set targets for each year. Again, we fall victim to the rush to quantification. Without an underlying model on which 'targets' are based, the entire exercise is open to criticism.

Guatemala

	1997 R4 Planned	Actual
1995		1,123
1996	1,235	920
1997	988	

Guatemala in the 1996 R4 expected an increase in the number of reported violations due to increased educational activities. However, as indicator from 1996 show, the number of reported violations fell. In the narrative of the 1997 R4, they explain that the fall might reflect a "sincere improvement in the human rights picture." The R4 stated that new targets would be established by June 1997, following the development of the case tracking system.

Both Guatemala and Nicaragua have revised — or plan to revise — this indicator. This experience confirms the difficulty in setting precise targets and in predicting trends.

In Cambodia, 1996 is the baseline and it is not possible, therefore, to compare target with actual data. USAID/Cambodia expect to achieve a five percent increase in the number of cases resolved each year. They expect progress to be even and improvement to be continuous. This, of course, implies a model on what will be happening that certainly requires serious review. Is this a reasonable model? It implies both what is happening in terms of abuses, reporting, and the legal system dealing with these reports. Are these assumptions some that a reasonable person would agree make sense?

In addition, it would be useful to have the actual numbers. The R4 also gives the "unit of measurement" as the total number *investigated* that have been *resolved*, as opposed to the total number of those *reported*. In given political circumstances, any of those variables could vary. Moreover, it is not clear from the indicator whether the number of cases investigated each year is expected to increase.

There are issues in defining the construct of a successfully resolved case. The inter-rater variability on measures like this is often higher than the variability associated with the construct itself, leading to serious errors both in estimating parameters and trying to measure change in the parameter. In addition, using a percentage is extremely misleading. If one case is successfully resolved this year and next year there are three, then the increase is a whopping 200%, although the underlying change is itself probably not very meaningful.

Numbers of cases reported vary both with improved conditions as well as with actual incidence of abuse -- so more might be reported as things get better, not because there are more abuses, but rather that the environment for reporting has improved. The measure itself does not permit disaggregation of causes like this, so it can be problematic.

Summary

While it may be difficult to predict the number of human rights violations reported, this indicator nevertheless does provide an effective measure of increased awareness of human rights and, eventually/ideally, improvement through a demonstrated reduction in the number of human rights cases

Moreover, looking at the percentage of cases *resolved* (as in Cambodia) offers some indication of the response to reports of human rights violations. However, even that indicator has scope for improvement

Alternative indicators

Some alternative indicators could be used to report improvements in human rights. These include

■ **State Department Assessment of Human Rights**

This report is compiled annually by the State Department's Bureau of Democracy, Human Rights, and Labor and presented to Congress by January 31 each year. Several operating units (Croatia, Guyana and Peru) use this assessment to monitor overall improvements in human rights. As an indicator this is useful in that it comes out each year, is easily accessible and provides information on human rights violations against different ethnic groups, social classes and gender. Of those countries that use the State Department Assessment, most merely report whether or not there has been an improvement rather than picking out specific numbers as targets. One might, in fact, use measures such as the number of lines in the report devoted to human rights abuses, or the number of cases cited in the report as more objective measures.

■ **Amnesty International Country Reports**

Amnesty International reports annually on the status of human rights in 151 countries, including South Africa. The 1997 report is available on the Internet and provides a detailed overview of developments during the past year. For previous years, I was only able to find regional overviews, rather than discussion of specific countries. These should be available from Amnesty International in published form. As with the State Department Assessment, this is an easily accessible source for data, reported annually.

Advantages of these reports

Both the State Department and Amnesty International reports are useful in that they are available annually. Reports from previous years could be useful in providing information on the overall trends in human rights. They are also useful in providing detailed discussion of the protection of the rights of different ethnic groups. In the case of South Africa, both pay particular attention to developments in KwaZulu Natal.

Disadvantages

These reports provide general, country trend data which does not always demonstrate clearly the contribution of USAID to the overall result. Data or information from a USAID-funded NGO or an organization benefitting from case tracking materials developed with assistance from USAID provides a clearer picture of attribution. In addition, simply reporting an "improvement" in either report does not necessarily demonstrate the extent of that improvement — it could be significant or as Croatia indicate in their R4 "marginal."

Recommendations: To identify the most useful indicator of improvements in human rights:

1. Review data from previous years (if available) and determine whether any overall trends emerge. Take into consideration that trends, by definition, cannot cover only a period of a few years — trends in human rights reporting should cover, ideally, several years of data.
2. Assess the impact of external factors, such as the broader political environment or more specific developments, such as the impact of the Truth and Reconciliation Commission on Human Rights.
3. Determine to what extent you want to be held accountable — i.e., merely for the number of human rights violations reported or for the number investigated or for the number resolved.
4. Consider whether using existing reports (such as those by the State Department or Amnesty International) would be useful for monitoring and reporting.

Things to Bear in Mind

1. In instances where it is difficult to accurately set quantitative targets, qualitative indicators can be developed.
2. Not all data that is collected needs to be sent to Washington. It might be useful for internal performance monitoring to track the total number of cases of human rights violations or outside assessments and only report one or the other in the R4 data tables.
3. It is possible to revise IR level indicator targets, however if these require constant revision each year, their utility as a management tool or measure of progress declines.

3. Public Opinion Surveys as indicators

Public opinion surveys are a useful measure of the impact of democracy and governance programming. Public opinion polls are interesting as possible measures since the desire of USAID programs is to reach all citizens. While USAID focuses on 'civil society', it is important to note that civil society generally represents the educated, more affluent members of society. 'Civil society' opinion and action may or may not reflect the 'will of the people', so broader public opinion surveys could be useful. They do, however, pose serious issues in terms of validity and reliability.

The attached table summarizes the results of a database run on the use of public opinion survey indicators in 1997 R4s. The results indicate the range of SOs and IRs that use public opinion surveys as an indicator. Opinion surveys are used to report progress in each of the individual Agency DG Approaches as well as perceptions of overall democratic development. Noticeably, according to the 1997 R4s, no country in Africa planned to use public opinion data at the SO or IR level (sub-IR level data were not entered into the database).

Responses in a public opinion survey can be used to measure directly the impact of USAID programming. For example, if an SO or IR seeks to increase public participation, an indicator such as "percentage of people who report political participation" (with "participation" clearly defined) would be a possible direct measure.

Public opinion surveys can also be used as an indirect/proxy measure. For example, if an SO seeks to strengthen local government, a possible indicator would be a public opinion survey to determine satisfaction with local government. In this instance, there are implicit assumptions that (1) there is a positive correlation between stronger local government and public satisfaction (interestingly, on this point, local government officials in Bolivia who were viewed as excellent by donors were defeated at the polls -- showing somewhat of a disconnect in the logic of this argument) and (2) the *impact* of more effective local government is increased public satisfaction.

While undeniably useful as an indicator, public opinion surveys can also be problematic. The first major issue is a sampling issue -- how confidently can we say that statistics are drawn from samples that actually represent the opinion of the national population? A second issue is whether replies to questions in a survey truly reflect an individual's opinion and not other influences, such as response tendencies, desire to say what one thinks is politically correct, what one wants to hear, etc. Finally, public opinion is not a stable construct. In fact, public opinion polls in the US show change in as short as a week or even a day in some instances, so the timing of the survey could well affect the outcome.

Overall, public opinion surveys may be:

- costly to conduct
- difficult to replicate
- difficult to set targets for/ predict
- unreliable
- likely to vary considerably as a result of external factors (beyond USAID's manageable interest)

The experience of operating units currently using opinion data suggests that many of these concerns are warranted. Nevertheless, the difficulties with opinion polls as DG indicators do not mean that public

opinion indicators should be discounted. Rather, the many challenges outlined above and below merely underscore the need for careful thought when selecting a public opinion indicator, collecting survey data and presenting the results.

Data sources:

Numerous sources provide public opinion poll data including contractors and partners, established surveys such as Gallup Polls, USIS and national surveys organized by operating units. The availability of established opinion polls varies from country to country.

Perhaps due to the cost of conducting public opinion polls, many operating units have decided to report public opinion polls every two years, rather than annually. An even better approach is to use public opinion polls that are conducted in the country as an indigenous exercise rather than as a donor indicator exercise.

Establishing a trend:

Where reliable organizations already collect and publish opinion polls, it is easier to review past opinion polls in order to establish the trend. Trend data should cover several years and not just a few years because spikes in short-term data could be extremely misleading. However, public opinion is likely to vary considerably depending on factors ranging from perceived economic well-being to specific political events. Similarly, during a democratic transition, it is unlikely that the public approval or satisfaction will move constantly in one direction. Opinion surveys may fluctuate, perhaps with greater public satisfaction earlier in the transition and less as promises are not met, economic hardship sets in or the public grows less inhibited in expressing criticism of the government. In order to identify any trends in public opinion, such factors need to be taken into consideration along with, if available, existing data on public opinion.

Setting targets:

When setting targets, as with establishing the trend in public opinion, the range of variables that influence a public opinion survey need to be considered. The more opinion poll data available over a longer period of time, the easier target setting can be. Nevertheless, even with considerable data upon which to base targets, public opinion by nature is likely to remain extremely difficult to predict. In fact, the best target might in fact be a positive (or negative) change which can be estimated with a confidence interval of better than 95% or 99%, rather than specific numbers.

Most countries predict a relatively slight degree of change in public opinion year-by-year. On average, targets increase 5% (and since this is usually within the margin of error of most polls, such a target is meaningless, since this magnitude of change could be explained merely by sampling variability and not real underlying change in the constructs being measured). Over a five year period, this could reflect significant change in public opinion. In other instances, a change of merely 1% is expected. See for example, "People who believe the courts are fair" in Russia which is expected to go from 5% to 8% in two years.

While this may be a realistic appraisal of public opinion, such a minor change in public opinion may not be the best measure of the impact of USAID's programming. In such an instance, it might be useful to

consider targeting the survey to a focus group such as legal professionals (lawyers, judges, academics) who believe the courts are improving. They may be in a better position to assess the impact of USAID's programming. Finally, it seems likely that USAID's impact is felt at that level, rather than overall public opinion in Russia.

1997 R4 data

The attached table summarizing the use of public opinion indicators in 1997 R4s confirms the challenges that operating units face in setting targets. Of all the countries listed, only Poland, Russia and Ukraine reported both target and actual data for 1996. Poland reported data on two indicators — one of which met and one which exceeded (meeting the 1998 target in 1996) Russia did not meet its target, nor did Ukraine. Ukraine missed its target of 6% with only 5%. This one percent is significant given that in 1995 the baseline was 5.7% and the target for 1996 was 6%.

Bangladesh also reported complete data including 1995 and 1996. Bangladesh took a novel approach of summarizing public opinion as "very low" "low" "medium" based on a customer appraisal. This is perhaps useful to avoid specifying and *meeting* specific numbers. However, Bangladesh did not define what "very low" meant. It could be 5% or 25%. This indicator would be strengthened if it specified ranges for each level. (possible examples: 0-10% very low, 10-35% low; 35-55% medium, 55-65% medium-high, 65% plus high). Bangladesh may have identified such ranges, but these were not included in the R4.

With these exceptions, none of the public opinion indicators reported data for 1996. In some instances where surveys are conducted every two years, none took place in 1996. In other cases, countries either reported baseline data for 1996 or did not include a target. Most do have targets listed for future years. The next set of R4s should provide a better indication of the success with which operating units have set targets for public opinion survey data.

Summary/Suggestions:

- It may be possible to draw from existing sources rather than finance a separate survey. Polling organizations, such as Gallop, university sociology or political science departments may have existing data.
- When selecting a survey methodology, assess the cost of collecting data and determine whether the survey can be replicated.
- Ensure source of opinion data is reliable and that survey methodology is sound. Pay careful attention to the wording of survey questions.
- Clearly define any survey question, specify the sample size and margin of error.
- Consider using focus groups or targeting public opinion surveys which may more directly report the impact of USAID programming.
- When collecting data, disaggregate by region, ethnicity, gender, profession whenever and wherever possible.
- Review existing opinion poll data to identify any trends which may assist in setting targets.
- If targets require revision, include explanation of the reason for the revision.

3. Highest Ranked BBS SOs by Performance – Democracy and Governance

(Only Africa and LAC provided separate performance scores)

AFRICA Top Quartile

Operating Unit	Performance Score
Sahel Regional Program	7.75
Benin	7.38
Namibia	7.27
Ghana	7.25
Kenya	7.25
South Africa	7.25

ANE Top Quartile

Operating Unit	Performance Clustering
Indonesia	High
Nepal	High
Philippines	High

ENI Top Quartile

Operating Unit	Performance Clustering
NIS	
Russia 2.1	High
Georgia 2.1	High
Georgia 2.1	High

Eastern Europe	
Bulgaria	High

LAC Top Quartile

Operating Unit	Performance Score
Guatemala	30
Paraguay	30
Dominican Republic	30
Peru	28

Annex 1. Human rights indicators — Summary Table

Country	indicator	target	actual
Cambodia	Human rights abuses reported, investigated and resolved	no data	
Colombia	Disciplinary actions by AGO against justice sector personnel involved in human rights violations out of total disciplinary actions by the AGO against public officers involved in HR violations	1993	11
		1996	80
		1997 82	
		1998 84	
		1999 86	
Croatia	State Department assessment of human rights	1995	Poor (baseline)
		1996 better	Better (marginal improvement)
Guatemala	Fewer Human rights violations	1995	1123 (baseline)
		1996 1235	920
		1997 988	
Guyana	State Department Human Rights Rating	1995 improvement	improvement
		1996 improvement	improvement
		1997 improvement	improvement
Malawi	Human rights messages broadcast per week on the radio	1996	7 (baseline)
		1997 14	
		1998 21	
		1999 24	
		2000 26	

Nicaragua	Decrease in human rights violation cases — Total	1991 450	828 (baseline)
		1995 500	583
		1996 450	
		1997 500	
		1998 475	
		1995 425	
Nicaragua	Homicides of the demobilized RN by the security forces	1990	37
		1995	13
		1996 5	0
Nicaragua	Human rights cases reported by the HR ombudsman and local HR groups that have been complied with	1994	3 of 120
		1995	14 of 120
		1996 25 of 120	0
Peru	Changes in State Department Human Rights report assessment (Better, same, worse)	1994	same
		1995 better	better
		1996 better	better
South Africa	Human rights violations reported to USAID-partner NOGs	1996	2673 (baseline)
		1997 3208	
		1998 3849	
		1999 2887	
		2000 2165	

ANNEX 2. Use of public opinion indicators — summary tables

Public Opinion Polls and National Government/Government Institutions

Country	Indicator	Targets	Actuals	Source
Paraguay	Population who believe the National Government is responsive to their needs	1996 1997 1998 1999	1996 - 39% 1997 1998 1999	National Probability Survey
Guatemala	Public confidence in key democratic institutions and processes	1995 40-42 1996 - 1997 -42-44	1993 - 40 (bl) 1995 - 40 1996 -	Democratic indicators monitoring survey
Peru	People that have a high degree of confidence in national institutions	1996 - 1997 -19 1998 -22 1999 -26 2000 -30 2001 - 35	1996 - 17% (bl) 1997 - 1998 - 1999 - 2000 -	Baseline study of citizen's participation

Public Opinion polls and ROL

Country	Indicator	Targets	Actuals	Source
Russia	People who believe the courts are fair	1995 - 1996 - 5 1997 - 6 1998 - 8 1999 - 2000 -	1995 - 0 (bl) 1996 - n/a 1997 - 1998 - 1999 - 2000 -	ABA
Ukraine	People who believe they could do something about an infringement of their rights bey the government	1995 - 1996 - 6 1997 - 7 1998 - 10 1999 - 15 2000 -	1995 - 5 7% 1996 - 55 1997 - 1998 - 1999 - 2000 -	Democratic initiatives polling
Ecuador	Increased level of confidence in the judicial system by three key groups of customers (judges and court workers, lawyers and other system users and general public)	no data	no data	Surveys of customer groups, analyses of electoral campaigns
Nicaragua	Public confidence in the judicial system — MALE and FEMALE	1991 1995 1996 - 1997 - 40 1998 - 1999 - 45	1991 - 52 1995 - 37 (38) 1996- no data 1998 - 1999 - 2000 -	U of Pittsburgh biannual survey
Paraguay	Population who believe that they receive a fair trail	1996 - 1997 - na 1998 - 45 1999 - na 2000 - 50	1996 - 50 1997 1998 1999	National Probability Survey
Haiti	People surveyed who believe the justice system is fair	1995 - 1996 - 35 1997 - 40 1998 - 50 1999 - 55	1995 - 28(b) 1996 1997 1998 1999	USIS opinion polls

Public Opinion Polls and Elections

Country	Indicator	Targets	Actuals	Source
Russia	Voters surveyed who believe the elections were honest	1995 - 1996 - 10 1997 - 1998 - 1999 - 2000 -	1995 - 7 (bl) 1996 - 7 1997 - 1998 - 1999 - 2000 -	Public opinion survey and reports
Haiti	People surveyed knowledgeable about the electoral process	1994 1995 - n/a 1996 - 34 1997 - 1998 - 1999 - 2000 -	1994 Unknown 1995 -41 1996 - no survey 1997 - 1998 - 1999 - 2000 -	Gallop polls USIS polls
Bangladesh	Customer confidence in electoral process increased	1995 - 1996 - low 1997 - medium 1998 - medium 1999 - high 2000 -	1995 - low 1996 - low 1997 - 1998 - 1999 - 2000 -	Survey by partnership

Public Opinion Polls and Civil Society

Country	Indicator	Targets	Actuals	Source
Bangladesh	Customer confidence in ability of associations to advocate their interests in target communities increased	1995 - 1996 - very low 1997 - very low 1998 - low 1999 - low 2000 - medium	1995 - very low 1996 - very low 1997 - 1998 - 1999 - 2000 -	Annual customer appraisals
Caucuses (Georgia, Azerbaijan)	Increased public confidence in citizen's ability to affect change	no data (indicator dropped)	no data (indicator dropped)	

Public Opinion Polls and Local Governance

Country	Indicator	Targets	Actuals	Source
Sri Lanka	People who believe local government is responsive to their needs	no data	no data	Contractors
Bangladesh	Customer confidence in their ability to influence local decisions in target communities	1995 - 1996 - very low 1997 - very low 1998 - low 1999 - low 2000 - medium	1995 - 1996 - very low 1997 - very low 1998 - low 1999 - low 2000 - medium	Survey by partnership
Bangladesh	Customer satisfaction with performance of LEBs in target communities	1995 - 1996 - very low 1997 - very low 1998 - low 1999 - low 2000 - medium	1995 - very low 1996 - very low 1997 - 1998 - 1999 - 2000 -	Annual customer appraisals
El Salvador	Satisfaction with municipal services in USAID target Municipalities and (nationwide)	1996 - 1997 - 1998 - 50 (42) 1999 - 2000 - 75	1996 - 1997 - 1998 - 1999 - 2000 -	Project reports and random sample surveys every two years
Hungary	Customer satisfaction with local government	1995 - 1996 - 1997 - 40 1998 - 42 1999 - 45 2000 -	1995 - 37 (BL) 1996 - 38 1997 - 1998 - 1999 - 2000 -	Political Studies Institute Foundation annual survey
Paraguay	Population who express satisfaction with municipal government service delivery	1996 - 1997 - 1998 - 52 1999 - 2000 - 60	1996 - 44 (bl) 1997 - 1998 - 1999 - 2000 -	National Probability Survey
Poland	Citizens who think that the local government is effectively and prudently managing resources/providing services	1995 1996 - 42 1997 1998 - 50 1999 - 55	1995 - 39 1996 - 43 1997 1998 - 1999	National survey of households
Poland	Citizens who think that the local government is responsive to their needs	1994 1995 1996 - 49 1997 1998 - 55 1999 2000 - 65	1994 - 49(bl) 1995 - 49 1996 - 55 1997 1998 - 1999 2000 -	National survey of households
Russia	Public approval of local government	no data	no data	project reports
Peru	Citizens who believe that local government is more responsive to their needs and demands	1996 1997 1998 1999	1996 - 13% 1997 1998 1999	Baseline study on Citizen participation

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Annex 3. DG Indicator Menu

Agency Objective Strengthened Rule of Law and Respect for Human Rights

2.1.1 Foundations for the Protection of Human Rights and Gender Equality Conform to International Commitments

- 1) Number of human rights cases filed against government security forces
- 2) % of detainees held in pre-trial detention for a period exceeding that provided for by law
- 3) Average time taken to process human rights complaint.
- 4) % of people who believe that they could file a human rights complaint without fear of reprisal.

2.1.1.1 Legislation Promoting Human Rights Enacted

- 1) Ratification/accession to major international human rights instruments
- 2) Provision for domestic enforceability established
- 3) Human Rights enumerated and explicitly provided for in Constitution or Basic Law.

2.1.1.2 Effective advocacy for adherence to international human rights commitments

- 1) Number of NGO's that identify human rights promotion within their mandate
- 3) Number of human rights violations filed against government security forces
- 4) Number of human rights cases decided in favor of private complainant
- 5) Number of petitions filed with UN Human Rights Committee
- 6) International and local human rights groups allowed to freely operate
- 7) International and local human rights groups allowed to produce and distribute uncensored reports
- 8) legal education to raise awareness of human rights developed

2.1.1.3 Government mechanisms protecting human rights established

- 1) An independent human rights commission, human rights court or ombudsman is established
- 2) Specific jurisdiction for human rights review given to regular courts
- 3) Women and members of disadvantaged groups are represented proportionally among Judges, prosecutors, police officers and prison and detention officers

2.1.2 Judicial, legal and regulatory framework promotes and supports a market-based economy

- 1) % increase in the number of commercial cases filed in the court system.
- 2) # of people buying and selling real property
- 3) # businesses registered in the sample year
- 4) Change in the percentage of monetary assets secured by contracts.

2.1.2.1 Legislation, regulations and policies in conformity with sound commercial practices enacted

- 1) Legislation/regulations are consistent with WTO standards

2.1.2.2 Advocacy groups strengthened

- 1) Number of NGOs that identify business advocacy promotion within their mandate.
- 2) % of Advocacy NGOs rated as effective.
- 3) Number of commercial laws submitted to legislature that were drafted or reviewed by advocacy groups.
- 4) Number of laws passed by legislature that were advocated by NGOs.

2.1.2.3 Government mechanisms establish which promote competitive open markets

- 1) Establishment of state anti-monopoly regulatory unit.
- 2) Fluctuation in rate of inflation.

2.1.3 Equal access to justice

- 1) # of new courts opened *in rural and urban areas* in areas with concentrations of marginalized populations
- 2) # of courts, police posts per 100,000 population (possible disaggregated by rural/urban)
[Another alternative might be to measure the number of forums for resolving courts per capita.]
- 3) a. % increase in the number of cases filed and b. % increase in the number of cases coming to final disposition
- 4) % of citizens who say that they have access to courts systems to resolve disputes
- 5) % of [*indignant*] accused who were represented by an attorney at trial/alternatively those who are represented by free legal services

2.1.3.1 Increased availability of legal services

- 1) Number of public defenders, legal aid, and law clinics defenders per **10,000 population**
- 2) Legal recognition of alternative systems
- 3) Number of cases where service are provided by public defender, legal aid or law clinics
- 4) Number of cases using alternative systems [% change in # of cases handled--% of total cases using alternative methods (*base-courts plus alternates*)
- 7) User satisfaction with alternative systems are successful
- 8) % of pro se representations
- 9) Number of successful pro se representations
- 10) Number of cases dealt with by outreach services [% increased "*reach*" into rural areas or % districts covered]
- 11) Percent of users content with outreach services
- 12) Percent of clerks trained to help the public
- 12) Arbitration centers for economic dispute resolution are established

2.1.3.2 Increased availability of information

- 1) % of cases where notice was sent and received
- 2) % of cases where records are provided to parties
- 3) Number of people going to law repository

- 4) Number of media stories/articles/broadcasts covering changes in law/ procedure
- 5) Number of NGOs disseminating information regarding legal rights
- 6) Number of households reached by each NGO
- 7)% OF POPULATION WHO KNOW how to access legal system

2.1.3.3 Decreased barriers

- 1) Number of injuries occurring on justice sector institution grounds
- 2) % of population at least half day removed (by normal form of travel) from nearest court or police post
- 3) Number of courts, police posts per 100,000 POPULATION
- 4) Number of laws which directly, or through interpretation limit access
- 6) User/filing fees either absent or linked to ability to pay.
- 7)% of cases dropped due to inability to afford the costs
- 8) Number of interpreters available per court or building
- 9) Women's testimony, claims given equal standing to that of men

2.1.4 Effective and fair justice sector institutions

- 1) average time for case disposition
- 2) # of criminal cases involving political, economic elites taken to trial
- 3)% citizens responding that they will be fairly treated if arrested or if they file a complaint with the system
- 4) Convictions and settlements as % of reported crimes

2.1.4.1 Increased transparency

- 1) % of cases holding hearings open to public
- 2) Public accessibility of records on *all* trials and hearings
- 3) Unimpeded media coverage of court proceedings
- 4) There is a set of written and widely available rules and regulations shaping the decisions/actions of sectoral institutions

2.1.4.2 Increased independence

- 1) % or # of felony cases involving government officials that are tried and resolved
- 2) Judges may question constitutionality of laws and defer their application pending some authoritative decision
- 4) % of a) appointments and b) promotions in accord with objective merit-based criteria
- 5) % of sector professionals with security of tenure while in good standing
- 6) % judicial salary represents what a comparable professional makes, in private practice

2.1.4.3 Improved management and administrative systems

- 1) Budget submission corresponds to real expenditures
- 2) % of time high level of functional officials spend on administrative details
- 3) Existence of a MIS
- 4) Time it takes a party
- 5) Inventory and maintenance system exists for equipment and infrastructure

- 6) Merit appointment for administrative staff
- 7) Training program for administrative staff in job-relevant skills

2.1.4.4 Improved functional organization

- 1) Distribution of offices correspondence to distribution of cases/workload
- 2) Compliance of case processing with legal institutional deadlines
- 3) Average caseload for different types of officials
- 4) # cases processed annually pc
- 5) % cases clearing annually
- 6) % reported crimes for which suspect is identified, investigated ...
- 7) Reversals upon appeal
- 8) Where there are potential conflicts of laws or jurisdictions, there exists an authoritative means for deciding which of them is applicable to a given situation

2.1.4.5 Professionalization of technical personnel

- 1) % of professionals trained
- 2) Career system based on skills
- 4) On-job performance based evaluations conducted and used to improve performance
- 5) % of new professionals given entry-level training
- 6) Professional ranking of sector personnel
- 7) Public sector professionals active in wider professional organizations

Agency Objective 2.2 Credible Electoral and Political Processes

2.2.1 Broadly Accepted Impartial and Open Electoral Framework

- 1) Conformity of law with international standards and practices.
- 2) Degree of acceptance by all political parties
- 3) Number (or some more qualitative measure) of significant administrative or political problems during an resulted from ambiguities or omissions in the law
- 4) Authorizing legislation (or other enabling legislation) creates the election authority as independent body agencies and from the governing party
- 5) New law, or changes to law, is enacted by the relevant legislative body and promulgated by the executive

Intermediate Result 2.2.1.1: New electoral law or changes to law, and/or regulations, are subjected to representatives, political contestants, and/or the public.

- 1) Length and quality of debate in legislature
- 2) Submission of draft law or amended language to legislature or to public debate forums by civil society
- 3) Coverage of debate/ discussion by public and private media
- 4) NGOs are active in voicing views on proposed changes
- 5) Public hearings are held on proposed changes
- 6) Notice appears in Gazette or other official media
- 7) Electoral authority publicly announces changes that are being contemplated
- 8) Number and diversity of participants

Intermediate Result 2.2.1.2 Model electoral provisions and frameworks are disseminated broadly.

- 1) Analysis by impartial legal/electoral law specialists
- 2) Measurement of citizens', political contestants', understanding of framework (measured across geographi

2.2.2 Impartial, Effective and Transparent Electoral Administration

- 1) Degree to which significant political actors (political parties or candidates) accept the legitimacy of the electoral authority as manager and arbiter of the electoral process.
- 2) Number of elections that are postponed and/or number of times a given election is postponed, because of administrative unpreparedness.
- 3) Percentage of the voting population that has confidence that the election authority is politically independent or balances political interests fairly.
- 4) Degree to which significant political actors (parties or candidates) feel they have had opportunity to give input and feedback on issues of election organization and administration.
- 5) Degree to which significant political actors feel that the election authority and/or national government has protected their rights to exercise their freedom of association and movement while simultaneously regulating their conduct during the electoral campaign.

Intermediate Result: 2.2.2.1: An election authority is constituted in a manner which allows it to be neutral

- 1) Degree to which significant political actors (parties or candidates) consider the membership of national election authority to be:
0 = decidedly neutral, 1 = somewhat neutral, 2 = mostly neutral, 3 = entirely neutral
- 2) Number of key decisions of the election authority that are judged to be fair/neutral (i.e., not biased in favor of the incumbent government or one of the competing sides in an election)
- 3)a Resources provided to the election authority are adequate for the authority to fulfill its functions
- 3)b Budget of election authority keeps pace with inflation and/or keeps pace with the number of elections administered by the authority.
- 3)c Number of disbursement benchmarks to the election authority that are not met, and average number of days of delay of disbursements.
- 3)d Degree to which adequate resources are provided in a timely fashion to the electoral authority.

Intermediate Result: 2.2.2.2: The election authority effectively and openly administers election processes.

- 1) Number of years since comprehensive update of voters registry, and/or number of years since last audit of the registry, has been completed
- 2) Percentage of errors in voters registry (if audit of registry was recently done).
- 3) Number of significant political observers (e.g., leaders of political parties) that believe voters have been constrained from reviewing the registry at the time of exhibition or update
- 4)a Percentage of eligible population registered to vote, disaggregated by gender, ethnic group, region, class, etc.
- 4)b Percentage of voters who have voter registration or voter identification card, or other means of verifying their eligibility to vote.

- 5) Number of key benchmarks in electoral calendar that are accomplished more or less on schedule.
- 6)a After elections, counting, tabulation and reporting of votes are carried out accurately and transparently, according to independent monitors.
- 6)b Number of days required to tabulate and announce the official election results following the polling day.
- 6)c If parallel vote tabulation is done, the discrepancy (in percentages) between the PVT results and the announced official results.
- 7) Percentage of polling places that opened on time on election day.
- 8) Percentage of polling places that ran out of materials during election day.
- 9) Number of complaints from significant political parties that the election authority and/or other government body(ies) failed to ensure equitable access to the public print and electronic media by political parties.
- 10) Number of complaints, from citizens, media or political actors, concerning election authority exercising favoritism or succumbing to political pressure.
- 11) Number of complaints from significant political parties about election-related security arrangements.
- 12) Number of complaints from political parties about unfair, inequitable or inadequate treatment by the election authority in terms of candidate registration and information dissemination.
- 13) Number and quality of messages on rights, responsibilities and procedures disseminated by the election authority to all regions and social/linguistic groups in the country.
- 14) Percentage of spoiled ballots due to inadequate understanding of the voting process (disaggregated by region, and by gender where possible).

Intermediate Result: 2.2.3: There is a rational system of electoral boundaries in place that takes into account political/geographical/demographic realities, based on the principle that all citizens are equal and that each vote carries equal weight.

- 1) Maps are available which show the electoral boundaries, and which confirm that the boundaries take into account political/geographical/demographic realities.
- 2) Number of electoral districts that appear to be over- or under represented.
- 3) The proportion of political contestants and/or political observers who are satisfied with the processes for drawing boundaries, and with the boundaries of their own constituencies.

2.2.3 An Informed Citizenry

Intermediate Result 2.2.3.1: Targeted portion of citizenry attains greater understanding of key aspects of political processes (including governing system or election framework) and greater facility to participate in these processes.

- 1) Proportion of targeted population that understands key aspects of political processes
- 2) Percentage of targeted population that exhibits key skills needed to participate actively and

effectively in democratic political processes.

3) Citizens avail themselves of rights or public resources more than previously, as measured in number or quality of contacts with public officials (letters, phone calls, attendance at meetings/debates, etc.) or in voter turnout.

Intermediate Result 2.2.3.2: Targeted portion of citizenry demonstrates greater confidence in integrity/viability/utility of governing (or electoral) system.

- 1) Voter turnout among targeted population (other enhancing or mitigating circumstances notwithstanding).
- 2) Attendance at, and nature of participation in, forums for citizen input, formal and informal.
- 3) Percentage of target population that reports greater confidence in governing (or electoral) system.
- 4) Percentage of target population that reports minimal/adequate confidence in governing (or electoral) system.

Intermediate Result 2.2.3.3: Targeted portion of citizenry demonstrates greater awareness of the nature of political choices available to them.

- 1) Percentage of citizens that can explain well key alternatives (policy options, candidates, etc.)
- 2) Subscriptions or circulation of relevant newspapers increase.
- 3) Informed questions are raised with public officials or candidates, in correspondence or public forums.

2.2.4 Election Monitoring

Intermediate Result 2.2.4.1: The international community's support for free and fair elections as a means of strengthening democratic institutions and processes is demonstrated.

- 1) A multinational election observer delegation or pre-election assessment delegation, conducts meetings with governmental and electoral officials, political party and civic leaders, journalists and other nationals concerned with the electoral process.
- 2) The multinational delegation issues press releases on their presence in country, purpose and methodology.

Intermediate Result 2.2.4.2: The international community receives an accurate assessment of electoral processes from the multinational observer delegation.

- 1) The multinational pre-election and/or election observer delegation is of sufficient size, is adequately prepared, remains in-country for sufficient time and is properly deployed to develop and issue an accurate assessment of the electoral issues.
- 2) The multinational observer delegation issues its finding and observations, and organization that sponsors the delegation issues a final report on the election process.

Intermediate Result 2.2.4.3: The integrity of electoral processes is further safeguarded (in addition to domestic safeguards).

- 1) Attempts at electoral fraud and manipulation are deterred as a result of the presence of international election observers.
- 2) Pre-election and/or election delegation issues recommendations for improving the electoral process.
- 3) Recommendations of pre-election and/or election delegations lead to modifications in the legal structure for the elections, activities of election administrators and/or other governmental officials concerned with election processes, the political parties and candidates and/or domestic nonpartisan election monitors.
- 4) Pre-election and/or election delegation exposes electoral manipulation, irregularities and/or fraud, should any occur.

Intermediate Result 2.2.4.4: Public confidence in election processes that meet international standards is enhanced.

- 1) Ruling and opposition parties state that they will participate in the elections and will respect their outcome, in part because of international observation of the electoral process.
- 2) News media carry reports of findings of multinational pre-election and/or election delegations that acknowledge an appropriate basis for the delegation's findings.
- 3) Voter turnout is higher than past elections in the country or in similar countries or than was expected.
- 4) Public participation in the election as election workers, party/candidate pollwatchers and/or domestic nonpartisan election monitors is increased.

Intermediate Result 2.2.4.5: Domestic nongovernmental organization(s) demonstrate support for free and fair elections as a means of strengthening democratic institutions and processes.

- 1) Nongovernmental leaders (from civic, labor, religious, academic and/or human rights sector(s)), announce domestic non-partisan election monitoring effort and establish an organizational form (NGO or coalition)
- 2) Domestic nonpartisan monitors meet with electoral and other governmental officials, political party leaders and candidates to explain their efforts and assess the nature of election processes
- 3) Domestic nonpartisan monitoring organization(s) recruit, train, deploy and receive impartial and accurate reports from domestic election monitors throughout the country or in targeted areas

Intermediate Result 2.2.4.6: The national public receives an accurate assessment of electoral processes from the domestic election monitors.

- 1) The domestic nonpartisan election monitoring organization(s) issue findings and observations
- 2) The findings and observations of the domestic nonpartisan monitoring organization(s) are reported in the news media and other public fora and are presented as impartial and well-founded by news media, political contestants and/or the international community.

Intermediate Result 2.2.4.7: The integrity of election processes is further safeguarded (in addition to actions by election authorities and political party pollwatchers.)

- 1) Attempts at electoral fraud and manipulation are deterred as a result of the presence of domestic nonpartisan election monitors.
- 2) Domestic nonpartisan monitors issue recommendations for improving the electoral process
- 3) Recommendations of domestic non-artisan monitors lead to modifications in the legal structure for the elections, activities of election administrators and/or other governmental officials concerned with election processes, the political parties and/or candidates.
- 4) Domestic nonpartisan monitors expose electoral manipulation, irregularities and/or fraud, should any occur.

Intermediate Result 2.2.4.8: Public Confidence in proper election processes is enhanced.

- 1) Ruling and opposition parties state that they will participate in the elections and will respect their outcome, in part because of domestic nonpartisan election monitors' participation in the electoral process.
- 2) News media carry reports of findings of domestic nonpartisan election monitors that acknowledge an appropriate basis for their findings.
- 3) Voter turnout is higher than past elections in the country or in similar countries or than was expected.
- 4) Public participation in the election as election workers and party/candidate pollwatchers is increased.

Intermediate Result 2.2.4.9: Domestic nongovernmental organization(s) demonstrate an interest in and capacity to conduct activities following the elections that help bridge the gap between the political and civil life of the country.

- 1) Nongovernmental leaders (from civic, labor, religious, academic and/or human rights sector(s)), or domestic nonpartisan monitoring effort initiate activities to monitor governmental affairs, conduct public policy advocacy, encourage citizen participation in governmental processes and/or similar matters.

Intermediate Result 2.2.4.10: Political parties and candidates (political contestants) create structures in their organizations for using complain mechanisms and the arena of public opinion to peacefully redress electoral complaints.

- 1) Political contestants announce their intention to use complain mechanisms and the arena of public opinioin to seek remedies for violations of electoral rights.
- 2) Political parties recruit, train, deploy and set up communications for pre-election agents and pollwatchers.

Intermediate Result 2.2.4.11: Political contestants supply election authorities, the courts and the public with documentation of electoral complaints.

- 1) Political contestants lodge documented electoral complaints with bodies empowered to

adjudicate and provide appropriate remedies.

2) Political contestants release documented electoral complaints to the public.

Intermediate Result 2.2.4.7: The integrity of election processes is further safeguarded (in addition to actions by election authorities and nonpartisan election monitors.)

1) Attempts at electoral fraud and manipulation are deterred as a result of the presence of party/candidate pre-election agents and pollwatchers.

2) Political contestants seek remedies and issue recommendations for improving the electoral process based on their findings.

3) Remedies sought and/or recommendations made by political contestants lead to modifications in the legal structure for the elections, activities of election administrators and/or other governmental officials concerned with election processes, the political parties and/or candidates.

4) Political contestants' pre-election agents and/or pollwatchers expose electoral manipulation, irregularities and/or fraud, should any occur

Intermediate Result 2.2.4.13: Public confidence in proper elections is enhanced.

1) Ruling and opposition parties state that they will participate in the elections and will respect their outcome, in part because of political contestants' pre-election agents and pollwatcher participation in the electoral process.

2) News media carry reports of findings of political contestants' pre-election agents and/or pollwatchers that acknowledge an appropriate basis for their findings and complaints.

3) Voter turnout is higher than past elections in the country or in similar countries or than was expected.

4) Public participation in the election as election workers and party/candidate pollwatchers is increased.

2.2.5 A Representative and Competitive Multiparty System

Intermediate Result 2.2.5.1: Political parties have institutional structures that reflect internal democratic structures and procedures, which are judged to be transparent, inclusive and accountable and which are accepted by the party leaders.

1) Number of political parties out of targeted group where adequate bylaws exist and are observed and appropriate internal party meetings are held.

2) Number of political parties out of targeted group whose platform reflects membership input and approval.

3) Number of political parties out of targeted group that have an internal communication structure that promotes two-way communication between party branches and headquarters and reflects a commitment to transparency and accountability.

Intermediate Result 2.2.5.2: Political parties have established and functioning political

party administrative structures that advance institutional stability in the long-term.

- 1) Number of localities or regions in which a given political party has offices or representatives
- 2) Number of political parties out of a targetted group that have written organizational charts that define a command structure to facilitate timely well-informed decision-making.
- 3) Number of political parties out of targetted group that have well-trained staff and/or volunteers, established leadership development programs (designed to recruit and train candidates) and/or established internal staff/volunteer training programs.
- 4) Number of political parties out of targetted group that establish and maintain long-term leadership development programs that continually search for, recruit and train candidates.
- 5) Number of political parties out of targetted group that have annual plans and budgets for raising their own funds and other resources that are implemented at the national, regional and local levels.
- 6) Number of political parties out of targetted group that have internal public policy research divisions and/or maintain relationships with external public policy research institutions.
- 7) Number of political parties out of targetted group whose headquarters and/or branches develop and implement long-term, periodically reviewed internal written plans that establish goals for increased membership, fundraising and electoral successes.

Intermediate Result 2.2.5.3 Political parties have a structure and mechanism that enables the parties to identify, represent and expand its defined constituencies that taken together represent the country's population and, most important, do not exclude any group based on ethnicity, religious beliefs, gender or other.

- 1) Percentage of voters who can correctly link a given party with its basic principles and key issues, as well as identify individual candidates.
- 2) Number of political parties out of targetted group that conduct basic demographic research and/or electoral history on each electoral district and apply to all appropriate party functions (i.e., platform development, membership recruitment, fundraising).
- 3) Number of political parties out of targetted group that undertake or commission research to identify and prioritize constituencies' concerns and present policy options to party leadership
- 4) Number of political parties out of targetted group that establish and maintain accurate membership lists separated according to administrative and/or electoral divisions.
- 5) Number of political parties out of targetted group that conduct periodic membership drives or other recruitment measures to increase membership.
- 6) Number of political parties out of targetted group that have auxiliaries for youth, women and/or other groups at local, regional and national levels, which are used effectively to perform a range of party functions (e.g., recruitment, get-out-the-vote).

Intermediate Result 2.2.5.4: Political parties compete effectively in periodic elections at all chosen levels.

- 1) Number of political parties out of targetted group that utilize strategic planning techniques to campaign effectively for elected office (strategic planning).

- 2) Number of political parties out of targetted group that utilize campaign management techniques to compete effectively in elections (campaign management).
- 3) Number of political parties out of targetted group that utilize political communication techniques to compete effectively in election campaigns (message development and communication).
- 4) Number of political parties out of targetted group that identify and prepare candidates for elections in order to reach their electoral goals effectively, while maintaining their institutional structure (candidate training).
- 5) Number of political parties out of targetted group that utilize voter identification and contact techniques to compete effectively in election campaigns (voter contact).

2.2.6: Inclusion of Women and Disadvantaged Groups

- 1) Number of bills, amendments, or laws that reflect the concerns of women and disadvantaged groups debated in deliverative bodies

Intermediate Result 2.2.6.1: Laws pertaining to elections and political processes provide for non-discrimination against women and disadvantaged groups.

- 1) Improvements in laws and regulations pertaining to elections and political processes that openly discriminate against women and disadvantaged groups, in comparison with planned improvements
- 2) Improvements in providing penalties against discrimination, in comparison with planned improvements

Intermediate Result 2.2.6.2: Women's and disadvantaged groups' legal rights are protected through effective enforcement of non-discriminatory laws pertaining to electoral and political processes.

- 1) Number of complaints filed regarding discrimination against women and/or disadvantaged groups
- 2) Percentage/number of complaints regarding discrimination resulting in penalties being levied
- 3) Complaints about the enforcement system from credible sources
- 4) Percentage of targeted groups which acknowledge that rights are protected

Intermediate Result 2.2.6.3 Increased participation by women and disadvantaged groups on election day.

- 1) Percent of eligible women/ eligible persons of disadvantaged groups registered to vote
- 2) Percent of registered women/persons of disadvantage groups that vote, compared with the general electorate voting turnout

Intermediate Result 2.2.6.4 Electoral administration is free from bias, impartial in its oversight, and devoid of discrimination against women and disadvantaged groups.

- 1) Percent voter registration/ polling sites with women/ members of disadvantaged groups as

leaders or prominent assistants

- 2) Registration and polling sites are as accessible to women and disadvantaged groups as they are to men/dominant groups
- 3) Adjustments that are made to make sure polling/ registration sites are more accessible, in comparison to planned adjustments

Intermediate Result 2.2.6.5: Effective voter education provided to facilitate women's and disadvantaged groups' understanding of and ability for political participation.

- 1) Number/percentage of women/persons from disadvantaged groups reached by election education messages
- 2) Number of materials specifically geared toward or inclusive of women or disadvantaged groups produced and widely disseminated
- 3) Percentage of target population's understanding of key messages regarding political participation
- 4) Number of women/ disadvantaged groups who vote who have also received election education training

Intermediate Result 2.2.6.6 Political parties are supportive of the participation of women and disadvantaged groups in political processes. (Some of the following indicators assume a majoritarian system)

- 1) Percentage of political candidates who are women or members of disadvantaged groups
- 2) Percent of candidates who are women/members of disadvantaged groups and have received equitable financial and/or technical support from political parties
- 3) Percentage of candidates who are women/members of disadvantaged groups that win an election relative to the number of women candidates or candidates from disadvantaged groups
- 4) Number of major political parties with regulations that do not discriminate on the basis of sex, race, or ethnicity
- 5) Percentage of women/ persons from disadvantaged groups who are members of major political parties
- 6) Number/percentage of women/persons from disadvantaged groups in the leadership of major political parties
- 7) Number of parties with platforms that do not include issues that discriminate against women and disadvantaged groups

2.2.7: Well-established Procedures for Transfers of Power

- 1) Newly elected/ appointed officials take office, replacing incumbents

Intermediate Result 2.2.7.1 Procedures for the transfer of power (following elections, death or impeachment) are established and followed.

- 1) Steps for transfer of power are set forth in public document
- 2) Number of significant political and/or military actors who reject the procedures for transfers of power

Intermediate Result 2.2.7.2 Newly installed officials are prepared to fulfill their responsibilities.

- 1) Degree to which start-up agenda is developed and implemented by newly elected (or appointed) deliberative bodies and executive agencies
- 2) Degree to which credible indigenous sources find that new officials are prepared to fulfill their new responsibilities
- 3) Degree to which orientation programs exist for newly installed officials

Intermediate Result 2.2.7.3 Agencies of government, including military and security, accept the authority of newly installed officials

- 1) Degree to which government agencies perform their duties in accordance with duly constituted authorities

Intermediate Result 2.2.7.4 The public recognizes the legitimacy of the process by which new officials are chosen.

- 1) Percentage of adult population that accepts legitimacy of newly installed bodies and/or officials
- 2) Percentage of relevant political actors who accept the outcome of the transfer process

Agency Objective 2.3 — Civil Society

Agency Program Approach 2.3.1: A legal framework to protect and promote civil society ensured

- 1) Laws support freedom of association
- 2) % of target CSO leaders who think registration process is simple, timely, transparent and low cost
- 3) \$ cost of registration per CSO
- 4) Av. length of time for registration
- 5) Laws permit CSOs to raise funds/income
- 6) Tax laws favorable to CSOs

2.3.1.1: Strengthened advocacy for legal and regulatory reform

- 1) # of CSOs advocating for legal & regulatory reform
- 2) # of CSO coalition initiatives around a reform agenda

2.3.1.2: Increased public support for needed reforms

- 1) % of population aware of CSO legal reform concerns
- 2) % of population supportive of CSO legal reform initiatives

Agency Program Approach 2.3.2: Increased Citizen Participation in the Policy Process and Oversight of Public Institutions

- 1) Public policies changed consistent with CSO advocacy
- 2) Public institutions increase reporting consistent with CSO oversight
- 3) % of CSOs representing marginalized groups that believe/can document impact on the policy/oversight process
- 4) % of public knowledgeable about or aware of an issue
- 5) Signs that a given issue has made it on the public agenda

2.3.2.1: Improved CSO Advocacy

- 1) Different levels of CSO advocacy

2.3.2.2: Increased openness of public institutions to CSO involvement in the policy process.

- 1) New mechanisms established
- 2) Frequency of use of new mechanisms
- 3) CSO/other perception/opinion. of openness of pub. institutions
- 4) Case studies of selected issues

2.3.2.3: Increased political participation of marginalized groups

- 1) % increase of marginalized groups in political advocacy positions
- 2) # of groups representing marginalized constituencies trying to affect government policy or conducting oversight
- 3) % of CSO leadership positions held by marginalized groups

Agency Program Approach 2.3.3: Increased Institutional and Financial Viability of CSOs

- 1) # of target CSOs with increased # of revenue sources
- 2) # of target CSOs with increased % of revenues from indigenous sources
- 3) % of target CSOs that decrease proportion of revenue from their largest source
- 4) # of target CSOs spending x% more per year on programs

2.3.3.1: Improved financial management systems

- 1) # of target CSOs with acceptable audit findings
- 2) # of target CSOs that implement audit recommendations

2.3.3.2: Improved fundraising techniques

- 1) # of target CSOs with increased # of income-producing activities
- 2) # of target CSOs with increased # of individual contributions and institutional donations

2.3.3.3: Increased participatory management

- 1) % of target membership CSOs with elected boards
- 2) % of target CSOs with mechanisms for staff involvement in decision-making

2.3.3.4: Improved administrative systems

- 1) # of target CSOs with strategic plans being implemented
- 2) # of target CSOs with M&E system; data collected & used

2.3.3.5: Improved external relations

- 1) # of target CSOs that assess community/client needs
- 2) # of target CSOs that initiate media reports on their activities/ accomplishments
- 3) # of target CSOs holding regular community meetings

Agency Program Approach 2.3.4: Enhanced free flow of information

- 1) % of population. listening/watching/reading the news
- 2) % of population. that trusts available news sources

2.3.4.1: Plural array of independent sources of information encouraged

- 1) # of non-governmental. news sources
- 2) # of target CSOs publishing bulletins
- 3) # of telephones/faxes per capita (e-mail?) for given level of GNP
- 4) # of hours of minority language programming on radio

2.3.4.2: Improved investigative reporting

- 1) % of journalists belonging to a professional association
- 2) % of media space/time devoted to news analysis

2.3.4.3: Increased use of new information technologies

- 1) % of target CSOs using internet
- 2) % of target CSOs with internet homepage

2.3.4.4: Improved financial and management systems in media entities

- 1) Average % of media revenues derived from advertising
- 2) # of media outlets that achieve financial sustainability

Agency Program Approach 2.3.5: Strengthened democratic political culture

- 1) % of citizens with civic knowledge
- 2) % of citizens exhibiting democratic values
- 3) % of citizens with civic skills
- 4) % of citizens participating in political activities

2.3.5.1: Expanded higher quality civic education in schools

- 1) % of schools offering civic ed. classes
- 2) % of schools with expanded program of student govt.
- 3) % of schools with higher quality civic ed classes

2.3.5.2: Expanded higher quality informal civic education initiatives

- 1) # of citizens reached
- 2) # of CSOs/CBOs engaged in civic ed. activities
- 3) # of civic ed. activities
- 4) % of CSOs/CBOs with higher quality civic ed. programs

2.3.5.3: Community-based civic action programs expanded

- 1) # of civic action initiatives
- 2) # of citizens reached by civic actions
- 3) # of CSOs/CBOs engaged in civic action activities
- 4) % of targeted CSOs/CBOs using innovative approaches

DG Objective 2.4 Government Institutions/Governance

A.P.A. 2.4.1 INCREASING LOCAL GOVERNMENT RESPONSIVENESS TO LOCAL CITIZENS

- 1) # or % of local government decisions overturned by central govt
- 2) # of occasions or % of major decisions that decisions of town meetings &/or joint commissions taken into account in local decision-making including the budget
- 3) # of citizens who make use of programs, benefits, services of local councils (disaggregated by gender & possibly other categories)

2.4.1.1 Constitutional and Legal Reforms to Devolve Power

- 4) Constitutional & legal reforms that devolve power passed or # of reforms passed in comparison with a list of recommended or promoted reforms
- 5) # or/& % of laws which seek to devolve power passed being implemented by the central govt
- 6) # or % of local councils' laws passed without hindrance from central govt

2.4.1.2 Local Government Capability to Act Increased

- 7) Legislative authority transferred to local councils to collect local taxes and fees
- 8) % of local govt staff completing skill training of good quality or add who say they are using their new skills on the job
- 9) % of local govt civil servants hired by local govts or local govt public service commission or % of local govts in which the majority of civil servants are hired by ..
- 10) % of executive posts recruitment based on clear job descriptions and merit or % of local governments whose executive post recruitment is based on ..
- 11) % of local revenue generated by local government; or amount of ...
- 12) % of locally generated revenue retained locally
- 13) % of central revenue delivered to, for use by, local govts
- 14) % of people paying (specified) local taxes

- 15) Ratio of capital to recurrent expenditure

2.4.1.3 Mechanisms of Participation Increased

- 16) Competitive local elections held regularly or % of local government areas in which competitive elections are held
- 17) % of eligible voters (male and female) voting in local elections
- 18) total # &/or average # of people attending town meetings organized by local govt (if feasible this indicator should be disaggregated) or % of local govts holding more than x town meetings in the last year with more than x people attending
- 19) # of meetings of joint citizen-local council commissions/boards
- 20) # or % of women or minority councilors
- 21) Budgets & Financial reports of local councils available in good time to councilors, the public, the media and NGO or # of councils that bring out these materials in time
- 22) Internal & external auditing takes place in accordance with required schedules or % of local govts in which auditing ...
- 23) # (or %) of corrective post-audit actions taken when appropriate or % of local govts implementing corrective ...

2.4.2 IMPROVED GOVERNMENT INFORMATION AVAILABLE TO CITIZENS

- 1) Citizens who believe they have adequate information on political & economic issues and on key aspects of government proceedings/activities (disaggregated)
- 2) Journalists who believe that government is providing them with full opportunity to observe & pursue issues or other key user groups who believe ...

2.4.2.1 Rules Reformed

- 3) Laws and regulations requiring government information sharing on key issues in place or improvements in the requirements for information sharing compared to a list of reforms promoted

2.4.2.2 Improved Dissemination of Information

- 4) # or % of occasions (in which it is required to do so) in which govt agencies provide adequate notice of public hearings
- 5) # or % of occasions (in which they are required to do so) in which govt agencies provide adequate notice to the press of public hearings
- 6) # of agencies; or % of agencies out of those required to do so; or in a specific locality, or functional area providing full information to the public about the services they are required to deliver.
- 7) Govt provides user-friendly information on selected services to the public
- 8) # or % of govt jobs advertised in a set number and category of news channels and in good time
- 9) # or % of govt contracts or % of money amount of govt contracts advertised in a set number and category of news channels or qualitative assessment by experts or NGOs or

businesspersons of general trend

- 10) Budgets available in good time to legislators, the public, the media and civil society
- 11) Financial reports on govt expenditures available in good time to legislators, the public, the media & civil society

2.4.2.3 Increased Opportunity for Government/Civil Society Contact

- 12) # of well publicized govt meetings open to citizens & citizen groups (functional areas/ministries of significant relevance to public to be selected)
- 13) # of joint commission meetings between govt & civil society (functional areas/ministries of significant relevance to public to be selected)

2.4.3 ETHICAL STANDARDS IN GOVERNMENT STRENGTHENED

- 1) Public perceptions of corruption in the delivery or provision of selected govt services, as reported in opinion polls
- 2) Perceptions of corruption by surveys of businesspersons or firms attempting to do business with the state.
- 3) Time and real cost to customers of getting a license(s) from a selected govt regulatory or licensing agency (ies)

2.4.3.1 Laws and Regulations Reformed

- 4) Does country have a code(s) of conduct or other legally binding statements for elected and govt officials?

2.4.3.2 Oversight Mechanisms to Maintain Ethical Standards Strengthened

- 5) Does the country maintain an independent:
 - (a) auditor-general's office or equivalent organization that regularly (ex annually) audits govt accounts;
 - (b) inspector-general's office that regularly monitors govt contracting & procurement practices; &
 - (c) office of govt ethics to monitor and implement the code of ethics in govt?
- 6) Availability of adequate resources providing for the existence & staffing of offices of an auditor-general, inspector-general, or ethics
- 7) Administrative capacity of the auditor-general's, inspector-general's and ethics offices equal to the task.
- 8) % of govt budget audited according to required standards in the last financial year or/& % of govt contracts & procurements reviewed by the inspector general's office
- 9) Either % or # of govt departments/agencies with audit findings (ie that find an error) or/& equivalent for inspections of contracts & procurements
- 10) % or # or examples of full investigation of significant breaches of procedures or ethics at relatively high level being pursued fully and fairly to transparent outcome, & if necessary to enforcement/punishment.
- 11) Effectiveness of legislative oversight

- 12) # of NGOs with specialized capacity to analyze, monitor and publicize govt corruption

2.4.3.3 Professionalization of Recruitment and Management

- 13) %age of new officers recruited by competitive exam conducted in a "fair" manner
- 14) # or % of govt financial/accounting systems operating under Integrated Financial Management System
- 15) Revenue or profit earned by public companies that generate income
- 16) Time and real cost to customers of 'connection' to utilities by a govt utilities company/agency

2.4.4 INCREASED CIVILIAN CONTROL OVER THE MILITARY

- 1) Evidence of military respect for constitutional limits or # of violations by the mil of constitutional limits
- 2) % of govt budget for military
- 3) % of military expenditure derived from sources other than govt appropriations
- 4) Ratio of civil/military expenditure in key functional areas or Ratio of civilian/military run facilities/services
- 5) # of substantial changes introduced to defense budget and legislation as a result of legislative initiative
- 6) NGO's perception of valid engagement with govt on defense policy issues or # of times NGOs have input in mil budget/laws process

2.4.4.1 Constitutional and Legal Reforms Authorize Civilian Authority

- 7) Provision of modern military legislation or # or % of laws improved in comparison with a list of changes proposed

2.4.4.2 More Accurate Information Publicly Available

- 8) # of public meetings on military and security issues & civil-military relations
- 9) # of TV & radio shows
- 10) # of newspaper articles
- 11) # of govt documents on the military made available to the public
- 12) Assessment of quality & quantity of information made available by the military to the public

2.4.4.3 Increased Civilian Competence in Defense and Security Affairs

- 13) # of civilian legislators, legislative staff and govt staff trained in mil & security issues
- 14) Amount of resources available to legislative oversight agencies to function
- 15) # of NGOs with security/defense competence
- 16) # of publications by NGOs on c-m & mil/security issues
- 17) # of civilian non-govt experts with specialized training in military & security affairs
- 18) # of media representatives with specialized training
- 19) Assessment of the quality of legislative debates on mil policy

2.4.4.4 Increased Civilian and Civilian-Military Networking

- 20) # of public fora on mil/security organized by NGOs
- 21) # of occasions NGOs work with govt on public policy
- 22) # of planned focussed meetings with both civilians and military present & participating
- 22) # of training courses for civilians & military

2.4.5 STRENGTHENED EFFECTIVENESS AND INDEPENDENCE OF LEGISLATURES

- 1) The number of legislative amendments to bills and the budget resulting from openly debated legislative inputs ie committee and plenary debates or the number of substantial legislative initiatives emanating from the legislature
- 2) Quality of policy & budgetary debates, including use of facts and figures and materials provided through library and research services
- 3) Content of town meetings/public participation in committees factored into legislation and budget

2.4.5.1 Rules Reformed

- 4) Formalization of regulations & procedures enabling legislature to operate as an independent & democratic body or
Improvements in regulations in comparison with a list of reforms proposed
- 5) Implementation of regulations & procedures enabling legislature to operate as an independent & democratic body
or improvements in the implementation of regulations in comparison with a list of reforms proposed

2.4.5.2 Improved Internal Management Systems

- 6) % of legislators with adequate facilities; or % of key institutions with adequate facilities
- 7) % of legislators with adequate electronic information systems; or % of key institutions with adequate electronic information systems
- 8) % of MPs and staff trained on hardware and software
- 9) Number or % of laws benefitting from the use of state of the art electronic information systems
- 10) MPs and staff receive promised remuneration in timely manner
- 11) Sessions, with advance agendas, are convened as scheduled
- 12) % of MPs & staff who say they are able to get information when they need it
- 13) Provision of translation services
- 14) Number of administrative systems designed & implemented
- 15) # of times that key committees met to discuss substantial policy issues
- 16) Operation of a legislative library & reference service

2.4.5.3 Improved Mechanisms for Public Participation

- 17) # of mechanisms established to enable the public to observe and contribute to an open legislative process & interact with representatives
- 18) # of public hearings open to citizens and citizen groups &/or town meetings between legislators & citizens &/or citizen groups
- 19) # of meetings between legislators & constituents or % of MPs who meet with NGOs an constituents more than x times a year
- 20) # of regional offices of MPs established & functioning.

Attachment 11
SO2 Education indicators

**SUGGESTED
INDICATORS**

for

**USAID Goal 3:
Human capacity built through
education and training**

Part I:

**Indicators for Strategic Objective 1—
Access to quality basic education, especially
for girls and women, expanded**

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Introduction

Background

As announced by Administrator Atwood in July, 1997, the new USAID Goal, "Human capacity built through education and training" has two strategic objectives. These are SO1, "Access to quality basic education, especially for girls and women, expanded," and SO2, "The contribution of institutions of higher education to sustainable development increased." Under SO1, there are seven Agency "Program Approaches." (See USAID Strategic Plan, September, 1997, fig. 5a.) USAID's Program Approaches group Agency programs and activities into categories that in turn support the achievement of the Agency Objectives. As detailed in the ADS Series 200, each Operating Unit prepares and submits a strategic plan, including a Results Framework and accompanying narrative that articulates the Operating Unit's development hypothesis and how each Operating Unit's strategic plan contributes to the overall Agency Strategic Plan. (Agency SOs and Program Approaches were not designed to directly correlate with Mission SOs and Intermediate Results. In fact, most Mission SOs currently are set at the Agency Approach level.)

Purpose

This document provides a "menu" of indicators for Basic Education, from which Mission Operating Units can choose as they set up or refine their performance measurement systems. This document is a draft list of Agency SO-level and Program Approach-level indicators for the new Basic Education SO (SO1) under the new Agency Goal. This document is meant to provide a list of suggested indicators from which field-based Operating Units can choose to measure their relevant SOs and/or IRs. Also, this document may provide new ideas for indicators, as well as a mechanism for sharing additional new indicators that evolve. This list is not meant to be comprehensive; Operating Units working in education will probably need to develop indicators that are not on this list.

Several of the Program Approach-level indicators on this list are stated in general terms and need to be refined and made more specific to meet the particular monitoring needs of an Operating Unit's program. However, since several indicators currently in use by different Missions are actually the same in meaning but are worded differently, it is hoped that this document will begin to consolidate the Program Approach-level indicators already in use by Missions and to standardize their wording and definitions. Of course, this standardization will be limited by the wide variations in the status of education in different countries and the multi-

faceted nature of country Basic Education programs. Therefore, this list is *not* an attempt to set common education indicators at the Agency Approach level. However, *at the Strategic Objective level, it is hoped that this document will help promote the use of common indicators in order to facilitate Agency-wide reporting on progress in education* (see page one of the indicators). (Agency Strategic-Objective level indicators are currently used at either the Mission SO or IR levels.)

History

Basic education indicators currently in use by Mission Operating Units were the basis for this list, which was developed by the Basic Education Indicators Working Group over the last year and a half. This exercise started in late 1996 when each of the five Centers in the Global Bureau began convening USAID/W technical staff to develop what was then called "common" indicators. The Basic Education Indicators Working Group, led by G/HCD, was formed and began meeting regularly. The Working Group reviewed the indicators listed in the latest Results Reports and Resource Requests (R4s) from around the world and created a first draft list of indicators. The first draft was sent out by cable to all Missions in February, 1997, with a request for comments and feedback. Mission personnel in Ghana, El Salvador, Peru, Ethiopia and REDSO/West generously took time to respond to the request. Later, in mid-1997, the indicators discussion was postponed pending an Agency decision on a new goal for education and training. In September, 1997, after the new goal was announced and the Global Bureau was settled in its new space in the Ronald Reagan Building, the working group resumed its regular meetings. Since the new goal articulates strategic objectives in both Basic Education and Higher Education, a separate working group was created to develop Higher Education indicators.

A new draft of suggested indicators for Basic Education, incorporating the feedback from the field received in early 1997, was sent to key Operating Units working in basic education and to PPC/CDIE/PME (including the staff of the Management Systems International's Strategic Planning and Performance Measurement Team) in December, 1997. Comments and feedback on the new draft has been incorporated into this draft, which is the Basic Education Indicators Working Group's final draft for this 1998 R4 season (covering FY 2000). The Basic Education Indicators Working Group will continue to meet on a monthly basis throughout 1998. An expanded version of this document, including more definitions and explanations, is planned for release at the beginning of the 1999 R4 season.

The Working Group would greatly appreciate any suggestions or comments on this year's draft. Feedback about any aspect of this draft that could improve next year's draft can be sent by e-mail to Linda Padgett, G/HCD (Internet lpadgett@usaid.gov).

About the Suggested List of Indicators

- All items presented after the Agency Objective and Agency Program Approaches.

marked with bullets, are *suggested indicators*. Operating Units can choose and tailor indicators to match the specific needs of their Basic Education programs

- **The indicators that are expressed in qualitative terms are marked with a "(Q)."** Indicators can be framed as either quantitative or qualitative measure of progress toward a result. Qualitative indicators can be mistaken for results statements, inputs, or indicators that require only a "yes" or "no" report. Reporting on a qualitative indicator requires a descriptive narrative with observations (often of behavior or perception) that are used to supplement quantitative measures (numbers and percentages) with a richness of information that brings a program's results to life. Most of the qualitative indicators on this list can be reworded to specifically reflect the measurement needs of a particular education program, and some of them can even be reworked into quantitative indicators.
- **Slashes mean "or."** Slashes are used to avoid having to spell out several indicators that differ by only one word. For example "percent/number" is used to indicate that either percent or number can be used for that indicator. In some cases, frequently towards the beginning of an activity, when the percentage calculated would be very low, tracking the total number might be more informative. Since number is needed to calculate percents, it may be just as easy to report both the number and the percent.
- ***Suggested new wording for the Agency Basic Education SO and Program Approach statements is in italics.*** The Basic Education Indicators Working Group has suggested new wording that differs slightly from the current USAID Strategic Plan (September, 1997).
- **Mission Operating Units are encouraged to refine the wording of the Approach-level indicators to make them more useful and appropriate for their specific program.** The Working Group did not think it would be fruitful to use overly specific wording in this list. However, at the same time, Operating Units that have chosen an indicator with the same meaning as one on the list, are encouraged to use the wording on the list. This effort will help begin to provide some uniformity to indicators used throughout the Agency.
- **The scope or target of an indicator can be modified to reflect the emphasis of a particular country's program.** Most of the indicators on this list were written without specification whether they are meant to be measured at the national, regional, district or program area, or whether the group indicated is the national population or a subset of that population. The scope appropriate for each indicator will vary according to a Mission's needs. For example, in Nepal, the focus of the literacy program is on women instead of "adults" (see Approach 3 1.8), and the indicators under that approach can be modified accordingly. (In fact, many of the indicators on this list can be disaggregated by gender and/or age when it is appropriate to do so.) Likewise, the

quality indicators under 3.1.3 can be applicable to any group of schools specified.

- **The indicators on this list reflect results at varying levels.** The indicators on the list are meant to cover results defined by Operating Units, from those of a high level to those of a lower level of impact. The indicators at the SO level are at a higher level than the indicators at the Program Approach level. And, some of the SO-level indicators (such as percentage of cohort enrolling in grade five) are at a higher level than other SO indicators (such as gross access rate in the first grade). At the Agency Program Approach level, some of the indicators in the indicator clusters on this list are written as a continuum of milestones on the way to the ultimate, higher-level result. For example, the indicators under 3.1.2, Cluster A range from "Existing Education Management Information System (EMIS) reviewed and recommendations for improvements made," a lower level indicator for use at the beginning of EMIS reform, to "EMIS providing accurate, timely and useful data in place" and "EMIS data used in policy discussions and decision making," higher-level indicators for use after EMIS reform is well underway. Also, indicators of "numbers or percent of a group receiving training," are generally considered to be lower-level indicators, more appropriate at the beginning of an activity or as an indicator of a lower-level result. Finally, in some sections, such as 3.1.1, Cluster A, the amount of indentation of the indicators correlates with the indicator's level of detail and specificity. For example, "Compulsory education policy formulated" is one of many more specific and detailed indicators indented under the more general indicator "Revised or new national education and related policies formulated."

Please note that the level of an indicator does not necessarily reflect the indicator's importance to the overall program. Sometimes the indicators at the lower levels measure lower-level results that are actually critical for success. The level of indicator appropriate for a given program will depend on the state of education and the history and stage of education programs in a given country. The key to a logical and useful strategic framework is a logical flow from the top of the framework to the bottom—from more general and broader in scope at the higher levels to more detailed and smaller in scope at the lower levels.

- **This list is quite long, but Mission's lists can be short.** In general, Missions are encouraged to select the smallest number of indicators that provide enough information to manage programs well and to determine progress. This list is long because a wide variety of indicators are needed to be useful for the widely disparate programs in the LAC, AFR, and ANE regions. Hopefully, as a first step towards the long-term goal of some comparability across countries (especially at the Agency SO level), there is enough of a selection in this list for Mission Operating Units to choose some of these indicators while developing others that are not on the list, as necessary.
- **This list is not comprehensive.** Although the indicators currently in use by the missions (as shown on R4s) were the indicators upon which this list was built, MISSIONS

still may not find the indicators on this list that they need to effectively monitor their programs. Education programs are complex, varied and multi-faceted. We would greatly appreciate being informed about education indicators that could not be found on this list so that we can discuss their incorporation into the list at future meetings of the working group.

General Indicator Guidance

- **The difference between a result and a qualitative indicator is one of definition.** A result is what is to be accomplished. Indicators help to answer the question of what it will look like when that result is accomplished. Sometimes, an indicator that sounds like a lower-level result can serve as a qualitative indicator of a higher level result. For example, "National exam standards for primary school completion defined" could be a lower-level result, or it could be a qualitative indicator of the higher-level result "Educational systems improved."
- **Indicators can be added to a results framework over time.** However, the most useful information is gleaned from tracking the same indicators over several years.
- **Annual reporting is not required for all indicators.** Although the Agency requires annual reporting, some indicators can be chosen that do not produce annual data if they are paired with a proxy indicator that does.

Future: Household Surveys

Future MEASURE-DHS+ Household Surveys will offer a new questionnaire module that will help track education indicators. G/HCD and G/PHN are collaborating to analyze and disseminate the education data collected from DHS household surveys conducted in 39 countries over the past 10 years. The two Centers are also working through the new G/PHN MEASURE-DHS+ contract to develop a module of questions about education that can be used with future MEASURE-DHS+ surveys. This module will contain questions that will help track the SO-level indicators of enrollments, gender disparities, repetition and completion rates, as well as several other indicators on the list in this document, particularly those related to community and family barriers to education, community participation, and nonformal education. The survey module will also be used to investigate issues best elucidated at the household level, such as reasons for non-enrollment or drop-out. We look forward to collaborating with Mission-based Operating Units and country policy makers to develop survey questions of greatest usefulness to government and Mission policy and program needs

Indicators for USAID Goal 3: Human capacity built through education and training¹

USAID Objective 3.1. *Access to high quality basic education, especially for girls, women and other underserved populations, expanded (suggested new wording)* [From USAID Strategic Framework, 9/97
Access to quality basic education, especially for girls and women, expanded]

Indicators:²

- Net primary school enrollment ratio (Definition: the number of primary students of primary school age divided by the total primary school age population)
- Gross primary school enrollment ratio³ (Definition: the number of primary students of any age divided by the total primary school age population)
- *Number of girls per 100 boys in the primary school classroom (suggested new wording—can be estimated by dividing the girls' enrollment ratio by the boys' enrollment ratio)* [From USAID Strategic Framework, 9/97 Ratio of girls' enrollment ratio to boys' enrollment ratio]
- *Primary school repetition rates (suggested new indicator)*
- Percentage of cohort *enrolling in grade five* (proxy for fourth grade completion rate) (suggested new wording) [From USAID Strategic Framework, 9/97 Percentage of cohort *reaching grade five*]
- *Gross Access Rate in first grade (first grade GER) (suggested new indicator)*
- *National primary school achievement test scores for reading, math and science (in that order of priority) at appropriate grades, e.g., after completion of second, fourth and sixth grades⁴ (suggested new indicator)*

¹The indicators in this document can be specified to apply to national, regional, district or program areas

² Data should be disaggregated according to country needs and data availability. All countries should disaggregate enrollment statistics by gender. It may also be useful to disaggregate by region, urban/rural residence, religion, or ethnicity.

³Net enrollment ratio should be used where available. Caution should be used when comparing net enrollment rates with gross enrollment rates.

⁴In general, testing instruments used for this indicator need to be assessed for their reliability and validity as a measure of student performance. There are also several additional factors that can be taken into consideration when considering the use of student achievement tests as an indicator. The first factor is whether or not a criterion-referenced test (CRT) is used to evaluate student performance or if a norm-referenced test (NRT) is the desired testing approach. CRT's are closely linked to the curriculum that is being implemented while NRTs are not linked to the curriculum. CRTs are used to illustrate how well the students assimilate and comprehend what they are being taught while NRTs permit student ranking within a school and at a national level. CRTs provide a mechanism for assessing how effective the teaching/learning system is and where remediation is needed. NRTs provides a mechanism to sort students and can be used to control access to higher levels within the education system. NRTs can also allow a country to compare the performance of its students with those of students in other countries. Traditionally, NRTs have been used to identify students who have the greatest potential to succeed

Discussion: Since many student-level changes take several years to achieve, most student-level indicators are suggested at the Agency SO level. However, some student-level indicators change more quickly than others. For example, the gross access rate (gross enrollment in first grade) could rise significantly years before an improvement was seen in fourth grade completion rates. Also, since different countries are in very different stages of educational development, the time needed to measure a positive impact of programs at the student level can vary widely.

Please note: Since each Mission program is unique and countries are at different stages of educational development, indicators at the Mission SO and IR levels do not necessarily correspond to the Agency SO and Approach levels of the indicators on this list. For example, a Mission might use an Agency SO-level indicator (such as "national primary school achievement test scores for reading") at the Mission IR level, or an Agency Approach-level indicator such as "education as a percentage of national budget" at the Mission SO level, depending on the status of education in the country and of the Mission program.

Program Approach 3.1.1. *Policies to promote access to primary education improved (suggested new wording)* [From USAID Strategic Framework, 9/97 Policies and institutions which promote universal access to primary education increased]

academically. This assumption is being challenged and the value of wide-scale NRTs is under scrutiny

In cases where a system can afford the cost of implementing only one exam approach, CRTs are preferable. CRTs are frequently used in conjunction with continuous assessment. CRTs should not be developed until a curriculum has been revised and meets the educational needs of a country. Of course, all tests need to be as neutral as possible with respect to underserved populations and gender. Also, it is clear that meaningful comparisons in test scores over time can be made only if the testing instrument used does not change.

A second factor is the timing of testing. When CRT testing is done in grades 2, 4, and 6, student progress and system efficiency can be carefully monitored and adjustments made in a timely fashion. By the time students have completed grade 2 they should have acquired a sufficient level of reading fluency (vocabulary, phonetic skills, comprehension skills, etc.) so that their test scores can highlight systemic problems as opposed to individual student deficiencies. In systems where indigenous languages are used until grade 3, there is sufficient justification to delay testing until the end of that year. In general, however, it is preferable that tests be first administered earlier rather than later in the primary cycle in order to benefit from the system remediation opportunities (Grade 1 test scores, however, are difficult to interpret because they reflect deficiencies or strengths in children's readiness for school rather than education and school system factors. Grade 2 is the earliest that students are academically strong enough to test the education system and reveal student wastage due to poor teaching, poor instructional materials, inappropriate curriculum, etc.) In cases where an education system can afford to develop multiple tests in several indigenous languages, consideration should be given to the possibility of administering the test in grade 2.

**Indicator Cluster A. Policies that promote primary education
reviewed/formulated/adopted/implemented**

Indicators:

- Current education and related policies reviewed (Q)
- Revised or new national education and related policies formulated⁵ (Q)
 - Compulsory education policy formulated (Q)
 - Laws limiting child labor formulated (Q)
 - Minimum and maximum age of school entry law formulated (Q)
 - Teachers terms of service rationalized (i.e. teachers roles verified, teachers redeployed, teachers paid a living wage, teachers fired for non-performance) (Q)
 - Policy encouraging private and NGO education providers formulated (Q)
 - Policies regarding student assessment (type, use of results) formulated (Q)
 - Policies regarding national curriculum or decentralized, locally-developed curricula formulated (Q)
 - Policies regarding school management and governance formulated (Q)
 - Policies regarding community involvement formulated (Q)
 - Policies regarding standards for pre- and in-service teacher training formulated (Q)
 - Policies regarding the minimum set of/the provision of instructional materials required for each classroom formulated⁶ (Q)
- Input on newly formulated education policies solicited from NGOs/the private sector/regional and district

⁵The indicators of "policies formulated" listed in this section are meant to be exemplary. The particular policies targeted will vary from country to country

⁶Instructional materials include teachers' supplies and student materials, as well as desks, chairs, blackboards etc

- education officers (Q)
- New policies adopted⁷ (Q)
- New policies implemented⁸ (Q)
 - Strategy for policy implementation created and funded (Q)
 - Input on effective policy implementation at local and regional levels solicited from NGOs/the private sector/regional and district education officers (Q)
 - Authorization provided to those required to carry out policies (Q)

Discussion: The list of policies is not meant to be comprehensive. Nor are all of the policies listed considered important for all countries. The policies suggested are examples that may or may not be appropriate given local circumstances and history.

Indicator Cluster B. Adequate resources for basic education allocated

Indicators:

- Education as percentage of national budget/expenditures
- Primary education as percentage of education budget/expenditures
- Percent of primary budget allocated (expenditures) to recurrent non-salary budget/expenditures (or percent to salaries)
- Percent of education budget/expenditures for instructional materials
- Per student budget/expenditures for instructional materials
- Percent of teacher training budget for in-service teacher training and support
- Resource allocations reflect needs calculated from EMIS data (Q)

⁷This indicator could apply to a package of policies or for a single policy

⁸Other indicators of "policies implemented" such as "curriculum being used" or "teachers trained" can be found in other sections of this list of indicators.

Discussion: Whether the indicator of improvement in allocation contains the word "budget" or the word "expenditures" depends on which of these is the identified impediment to adequate basic education resources. (As stated in the introduction, many of these indicators are meant to be concepts that can be adapted to the specific needs of individual countries.)

Indicator Cluster C. Decision-making and/or accountability regarding public resources decentralized to intermediate and local levels

Indicators:

- Key responsibilities and their supporting authority decentralized to regional/district level (Q)
- EMIS data accessible and used locally (Q)
- Decentralized education budget regularly disbursed to local/regional level on time and in amounts that promote equity (Q)
- Authority to hire/fire teachers decentralized (Q)
- Decentralized procurement authority established (Q)

Discussion: While there is broad recognition that decentralization can improve basic education access and quality, this policy should not be viewed as an infallible one to be implemented in all countries. For example, decentralization may be inappropriate if it is used as a means to circumvent a weak central government. Before proceeding with decentralization, a number of factors need to be evaluated, such as. What are the financial implications of decentralization of decision making? Is the national government using decentralization as a mechanism to shift some of the financial responsibility to regional or local communities? If so, do these communities have a financial base to support this burden? Is there the capacity to provide needed initial training support to localities? Is there a mechanism for ensuring that the proper school and system level education quality standards will be maintained?

To be most effective, the decentralization of planning and management of basic education needs to be carried into the community level. Groups such as the village education committee need to be given specific and

meaningful roles, responsibility and authority. Ideally, the scope of these roles and functions is progressively enlarged as communities gain experience and confidence.

Program Approach 3.1.2. Institutional capacity to promote access to primary education improved (suggested new wording) [From USAID Strategic Framework, 9/97 Policies and institutions which promote universal access to primary education (increased)]

Indicator Cluster A. Better program and policy planning and analytic capabilities established

Indicators:

- Existing EMIS reviewed and recommendations for improvements made (Q)
- EMIS revamped (data collection disaggregated⁹ and standardized, data analysis computerized, personnel and supervisors trained) (Q)
- EMIS providing accurate, timely and useful data in place (Q)
- Statistical data produced at national and regional levels (Q)
- Country statistical yearbook published within X months of start of academic year (Q) (Or, number of months after start of academic year that country statistical yearbook is published)
- EMIS data used in policy discussions and decision making (Q)
- Number of national/regional/district-level policy decisions made in past year that used EMIS data
- District/regional/national education sector strategic plans prepared (Q)
- Education sector evaluations conducted and information used (Q)

⁹ Data should be disaggregated according to country needs and, during initial phases of EMIS improvement, according to data availability. All countries should disaggregate enrollment statistics by gender. It is also useful to disaggregate by region, district, and urban/rural residence, and, in some settings, by religion or ethnicity.

Indicator Cluster B. Better financial planning, management, and accounting procedures implemented/utilized

Indicators:

- Annual detailed budget prepared (Q)
- Budgetary norms established (cost/student) (Q)
- Effective accounting systems in place and utilized (Q)
- District/regional/national financial reports prepared (Q)
- Ministry of Finance provides funds to Ministry of Education in timely fashion (Q)
- Cost-effectiveness analyzed as the change in achievement test scores in relation to the per student cost of education (Q)
- Local materials used in school/school furniture construction (Q)
- Double-shift classrooms implemented¹⁰ (Q)
- Competitive procurement process instituted/implemented (Q)

Indicator Cluster C. Educational systems improved

Indicators:

School schedules¹¹

- Number of days in school year
- Number of hours per day that teachers teach [versus do administrative work]

Curriculum

- Curriculum reviewed/revised/implemented to meet educational needs of students and to eliminate stereotyping (Q)

Teachers/supervisors

- Pre- and in-service teacher training programs use and

¹⁰Double-shift classrooms have been found to be most effective in urban areas. Considerations include ensuring a sufficient number of hours of instruction per student per day and a sufficient number of teachers to prevent teachers from becoming exhausted.

¹¹The district or region may be the best level for determining school schedules that best suit the needs of the local children and their families.

- teach appropriate pedagogy (Q)
- Pre- and in-service teacher training programs include local content/materials in the curriculum and teach the inclusion of local content/materials in the curriculum (Q)
- Percent of teachers trained to minimum standards
- Percent of teachers receiving in-service training in past year
- Average annual hours of in-service training per teacher
- Percent of teachers effectively applying X (country specific) methodology
- Percent of teachers paid on time
- Percent of headmasters who have received management training
- Percent of teachers/administrators who have had an annual performance review within the past year

Material Resources

- Percent of classrooms/teachers with minimum set of instructional materials
- Average cost of textbooks
- Textbook dissemination structure in place/used (Q)
- Student-textbook ratio in reading/math/science
- Textbooks have undergone a revision to eliminate stereotyping (Q)
- Reading/math/science textbooks are substantive/accurate/at the appropriate skill level (Q)
- Government-supplied educational materials reach schools before the beginning of the school year (Q)

Assessment/Testing

- National assessment instruments designed/in place/implemented to evaluate what students have learned and how they are performing in reading and math (or just reading) after completion of second, fourth and sixth grades (Q)
- National exam standards for primary school completion defined/tested (Q)

Program Approach 3.1.3: School learning environment improved (suggested new wording) [From USAID Strategic Framework 9/97 Learning environments through teacher training better instructional materials, media and methods improved]

Indicator Cluster A. Quality of school buildings improved

Indicators: (All are qualitative)

- School building quality index (see discussion; rating scale of 0 to 40 points for each school surveyed using zero to five points for each criterion with zero = worst or non-existent and five = best): good quality and sturdy roof; solid wall construction; adequate space for students, adequate ventilation; adequate lighting; electricity, readily accessible potable water; latrines with privacy

Indicator Cluster B. Adequate materials and equipment for schools provided

Indicators: (All are qualitative)

- School materials/equipment quality index (see discussion; rating scale of 0 to 55 points for each school surveyed using zero to five points for each criterion with zero = worst or non-existent and five = best): an adequate number of reading and math textbooks per class; textbooks are used during instruction; textbooks can be taken home by students; classrooms have blackboards and chalk, classrooms have minimum set of instructional materials; classrooms have storage place for classroom supplies; classrooms have desk and chair for teachers, school has reference materials; each student has a chair or adequate space on a bench; each student has adequate space at a desk or table; each student has writing materials (e g , paper and pencil or pen)

Indicator Cluster C. High quality school teaching and supervision provided

Indicators: (All are qualitative)

- School teaching/supervision quality index (see discussion, rating scale from 0 to 35 points for each school surveyed using zero to five points for each criterion with zero = worst or non-existent and five = best) all teachers have at least minimum level of pre-service qualification,

all teachers receive in-service training each year; the student:teacher ratio allows for effective instruction; teachers assess students on an ongoing basis and keep records of results; teachers receive ongoing instructional support (teacher-teacher or principal-teacher); teachers are rarely absent; teachers undergo continuous assessment.

Discussion: Indicators for this approach are clustered into three categories of school-level quality—the school building, school materials and equipment, and school teaching and supervision. In an attempt to provide an illustrative example of how the very complex issue of measuring school quality could be simplified, we have experimented here with three indexes or rating scales. These scales are meant to be used in school surveys, with each school receiving a score (e.g., from 0 to 40 for Cluster A, from 0 to 55 for Cluster B or from 0 to 35 for Cluster C). We are aware that any given criterion within an index is not of equal importance to the other criteria in that index and the level of importance of each item varies among countries and changes with time. Therefore, the creation of such indices would require discussion within each country, and the resulting indices would be useful for comparisons over time or among regions or districts of the same country, but they would not be useful for inter-country comparisons. Some of the questions to consider in developing indices include: How many elements should be included? What is the relationship of the elements or "sub-indicators" of the index? On what basis should each element be weighted?

These indexes have been created primarily for the purpose of generating discussion. Because of the lack of agreement within the education community about the definition of and the best way to measure school quality, plans are now underway to convene a separate working group to focus only on this issue. This group will be informed by lessons learned about monitoring improvements in education quality from USAID's experience with Fundamental (or Standard) Quality (and Equity) Levels (FQL in Benin, FQEL in Guinea, and SQL in Ghana). In the meantime, we would appreciate any feedback on the usefulness or potential usefulness of such indexes as those proposed here.

Please note that the criteria listed in the indexes can easily be broken out into individual qualitative indicators, and some can be reworded as quantitative indicators, for example, "classrooms have minimum set of instructional materials" (a qualitative indicator requiring a descriptive narrative report) can be

reworded as "percent of classrooms with minimum set of instructional materials," a quantitative indicator requiring the report of a number (percentage).

(We decided to experiment with this approach after learning that the democracy, population and economic growth sectors use such indexes to monitor their programs. For example, PHN uses an index to monitor the level of quality of services at family planning service delivery points using a rating scale with one point for each of the following criteria: no stockouts of any method/brand, at least 3 modern methods available; private exam space in facility; staff trained in methods available and in counseling on side effects; state-of-the-art national guidelines (or clinical guidebook) available on site; facility opened and staffed at a minimum of 5 hours/day)

Program Approach 3.1.4 *Distance education established or improved*

(suggested new wording) [From USAID Strategic Framework, 9/97 Expanded and improved distance education, community learning centers and communication technology supported]

Indicator Cluster A. Distance education for those without access to formal schooling or distance education to improve the quality of formal schooling established or improved

Indicators:

- Potential distance education target audiences identified (Q)
- Percent of out-of-school children enrolled in distance education program
- Percent of those who enroll (with no access to school) who successfully complete distance education program
- Number/percent of schools participating in distance education program
- Percent of the total number of students in participating schools who are taking part in the distance education program
- Distance education participants scores on criterion-referenced tests versus scores of those not participating

Indicator Cluster B. Communication technology to support distance education established or improved

Indicators:

- Percent of area in which target population lives within range of radio/television transmitter
- Number of radios/televisions per population in target population areas
- Number and diversity of opportunities for national/local access to communication channels that support distance learning
- The level of national/local capacity to develop or adapt programming using communication for distance education (Q)

Discussion: For this program approach, the presence of a political climate conducive to developing distance education broadcast to desired audiences and the presence of in-country technical capability to develop adequate transmission coverage for the target population are assumed.

Program Approach 3.1.5 Community participation in educational policy and school management increased (from USAID Strategic Framework, 9/97)

Indicator Cluster A. Local NGOs and other private sector organizations actively involved in local basic education

Indicators:

- Percent/number of local NGOs working in basic education¹²
- Percent/number of schools with increased support for primary education from locally-funded NGOs and other private sector organizations¹³
- Percent/number of local NGOs and other private sector organizations working in basic education who have received relevant training (or who demonstrate the use or sharing of relevant training, an indicator that needs to be tailored to the specific situation)

¹²A broad definition of "working in basic education" is meant here, including such programs as provision of school lunches and childcare.

¹³This support could include assistance to teachers such as providing them with housing or materials

Indicator Cluster B. Parent/community groups (i.e., parent-teacher associations, school committees and school boards) involved in local basic education

Indicators:

- Percent of primary schools with parent/community groups formed
- Percent of parent/community groups meeting regularly/at least X times per year
- Percent of parent/community groups with clearly defined local basic education decision-making roles
- Mechanism in place for local parent/community groups to communicate to district, regional and national levels of the Ministry of Education (Q)
- Percent of parent/community groups that have received relevant training (or who demonstrate the use or sharing of relevant training, an indicator that needs to be tailored to the specific situation)
- Percent/number of primary schools with increased parental/community support to schools (finance, labor, in-kind)

Indicator Cluster C. Parents involved in local basic education

Indicators:

- Percent of children who have had a parent meet with the child's teacher in past year
- Average number of times a parent has met with their child's teacher in the past year

Discussion: Experience has clearly demonstrated that increased community participation has a strongly positive impact on the schooling of children. Increased participation can be defined in three ways. First, organized NGO and other private sector organizations have been demonstrated to be productive development partners (e.g., South Africa). This is due in part to the broader perspective that these groups bring to the policy environment and dialog. Second, the formation and involvement of parent community groups has proved especially effective

for the improvement of school management. Finally, research in the U.S. and elsewhere has shown that increasing the participation of individual parents (both mothers and fathers) with their child's school and teachers has a tremendous payoff in terms of improved student attendance and increased achievement, as well as increased teacher attendance, motivation and morale. Gathering data on parent participation can be labor-intensive, but this data will probably stand out as an important proxy for qualitative changes in the education system

Because each of the three groups represented by the three indicator clusters is composed of very different kinds of individuals with different mechanisms for participation and different roles, they are not grouped in the same indicator cluster. The first two groups frequently have a legal status and may consist of elected or appointed delegates with an established term of service. In contrast, parent participation is not through any clearly defined mechanism, nor does it include any formal decision-making role. By including parents as a separate indicator cluster, we are underscoring the value of their participation.

One difficulty in defining parent/community groups (Indicator Cluster B) is because of the regional differences that exist both in terms of terminology of the names of the groups and the differences in roles that they are assigned. In some regions there is only one group—parent-teacher associations that are composed of elected members. The group has a decision-making role, albeit a limited one. In other regions, the parent-teacher associations consist of all of the parents that have children in a particular school and the group has no official role other than to host social events and general informative meetings. Additionally, in some areas all three parent/community groups mentioned in Indicator Cluster B (parent-teacher associations, school committees and school boards) exist simultaneously and have very different roles and responsibilities. Therefore, to simplify this indicator cluster, all of the various parent-community groups are meant to be included. More importantly, this cluster includes indicators that address both the level of activity of the group and the function of the group's role in decision-making.

Program Approach 3.1.6 Educational opportunities for girls improved (from USAID Strategic Framework, 9/97)

Indicator Cluster A. National strategy and policies for promoting girls' education reviewed, formulated, adopted and implemented

Indicators: (All are qualitative)

- National strategy for girls' education index (rating scale using one point for each criterion): government/private sector task force(s) on girls' education formed; current and previous policies/interventions in country reviewed; meeting with stakeholders held; national strategy formulated; national strategy authorized; committees formed and tasks assigned; information campaign conducted; government resources allocated; implementation of national strategy initiated¹⁴
- Current education and related policies affecting girls reviewed (Q)
- Key constraints for girls identified (Q)
- Comprehensive package of new national girls' education and related policies formulated/adopted/implemented¹⁵ (Q)
 - Pregnancy policies that support girls' continued education formulated (Q)
 - Minimum marriage age law written (Q)
 - Sexual harassment and abuse policies formulated (Q)
- Number/percent of NGOs working to increase girls' educational participation
- Number/percent of NGOs working in girls' education that have received relevant training (or that demonstrate the use of relevant training, an indicator that needs to be tailored to the specific situation)

Discussion: Many of the indicators under Program Approach 3.1.1, Indicator Cluster A could also be included in this cluster. For example, policies relating to compulsory education, the minimum and maximum age of school entry, and child labor can have a disproportionate effect on girls.

¹⁴The qualitative indicators that comprise this index can be separated into individual indicators and some can be reworded as quantitative indicators. For example, "Government resources allocated" can be reworded as "Amount of government resources allocated for girls' education."

¹⁵The indicators of "policies formulated" listed in this section are meant to be exemplary. The particular policies targeted will vary from country to country.

Indicator Cluster B. School-based, education system and policy (supply-side) constraints for girls reduced.

Indicators: (All are qualitative)

- Girl "friendly" school index (rating scale for each school surveyed using one point for each criterion): latrines with privacy available (segregated latrines for boys and girls where culturally necessary); school schedule adapted to girls' needs, majority of teachers trained in gender-aware pedagogies; majority of administrators trained in gender-aware pedagogies; availability of female tutors for girls¹⁶
- Primary teacher training curriculum reviewed/revise d/implemented to remove gender bias (Q)
- School curriculum and instructional materials reviewed/revise d/implemented to eliminate gender bias (Q)
- New gender-neutral curriculum disseminated and in use (Q)
- Percent of teachers and administrators trained in use of revised curriculum

Indicator Cluster C. Family and community (demand-side) constraints for girls reduced

Indicators:

- Percent of parents who consider the nearest culturally appropriate primary school (coed or single sex) within a "safe" commuting distance for their daughters
- Economic incentive program implemented (e g., scholarships, subsidies, school supplies and uniforms) (Q)
- Fee waivers implemented (Q)
- Voucher program (e g , for school supplies, clothing, shoes) implemented (Q)
- Requirement for uniforms eliminated¹⁷ (Q)
- Flexible schedules that accommodate girls' chores implemented (Q)

¹⁶The qualitative indicators that comprise this index can be separated into individual indicators, or can be reworded as quantitative indicators, such as "percent of teachers trained in gender-aware pedagogies"

¹⁷Where the requirement for uniforms is determined to be a significant barrier to enrollment

- Percent of communities with affordable early child development programs (for girls' younger siblings)
- Percent of the public that considers girls' education valuable to society
- Endorsement of girls' full access to education by religious leaders (Q)
- Percent of schools with village committees to promote girls' education
- Percent of teachers who are female
- Incentive program for female teachers in rural areas implemented (Q)

Program Approach 3.1.7 *Educational opportunities for underserved populations, rural populations, and other disadvantaged children improved*
(*suggested new wording*) [From USAID Strategic Framework, 9/97 Opportunities for underserved populations, rural populations, and other disadvantaged children improved]

Indicator Cluster A. National strategy and policies for promoting the education of underserved populations reviewed, formulated, adopted and implemented.

Indicators:

- Underserved populations identified and programs to address their needs prioritized (Q)
- Policies regarding equitable distribution of resources reviewed/drafted/implemented (Q)
- Percent of identified underserved population receiving education from government or through NGOs (by contract)

Indicator Cluster B. School-based and education system (supply side) constraints for underserved populations reduced

Indicators:

- Inclusive curriculum developed (Q)
- Textbooks and teaching materials translated into local dialects (Q)
- Percent of teachers representing underserved groups
- Percent of teachers redeployed to underserved

areas/groups

- Percent of teachers in underserved areas capable of reading/writing curriculum in local dialects

Indicator Cluster C. Family and community (demand-side) constraints for underserved populations reduced

Indicators:

- Average cost of primary education to family per student per year (uniforms, supplies, transportation) (Discussion need cost of individual items)
- Percent of primary students who live within X-hours' commute to nearest primary school
- Flexible school schedules that accommodate need for child's labor at home implemented (Q)
- Economic incentive program implemented (e.g., scholarships, subsidies, school supplies and uniforms) (Q)
- Fee waivers implemented (Q)
- Voucher program (e.g., for school supplies, clothing, shoes) implemented (Q)
- Requirement for uniforms eliminated¹⁸ (Q)

Discussion: Many of the indicators under other approaches also apply to underserved groups, when examined specifically for the underserved group in comparison with other groups in the country, e.g., disadvantaged group as a percent of the total gross access rate, the gross enrollment ratio for first grade

Program Approach 3.1.8 *Adult literacy and/or early childhood development programs established or improved (suggested new wording)* [From USAID Strategic

Framework, 9/97 Cost-effective adult literacy and early childhood development programs as complements to formal school systems improved]

Indicator Cluster A. Integrated literacy programs developed and implemented for adult learners

Indicators:

- National adult literacy policies reviewed/revised/

¹⁸Where the requirement for uniforms is determined to be a significant barrier to enrollment

- implemented (Q)
- Integrated, relevant adult literacy materials developed/implemented (Q)
- Number of development organizations in other sectors (non-literacy) adopting literacy materials¹⁹
- Basic literacy and numeracy assessment instrument developed/implemented (Q)
- Percent of those participating in literacy program who complete literacy course
- Participants' scores on literacy and numeracy criterion-referenced test (reading, writing and math scores)
- Frequency with which completers report reading
- Frequency with which completers report writing (other than just signature)
- Frequency with which completers report participating in discussions about what they have read/what they have heard on the radio/politics
- Frequency with which completers attend non-family group/organization meetings
- Percent of completers who check to be sure their children attend school

Discussion: Integrated literacy programs combine learning basic literacy and numeracy with meeting the additional development object of acquiring information or skills relevant to students' lives, e.g , health, family planning, cooperative development, or income generation.

Indicator Cluster B. Early childhood development programs developed or improved

Indicators:

Assessment of Status

- National status of early childhood care, programs and funding

¹⁹The adoption of literacy materials by groups promoting development in other sectors (such as health, family planning, microenterprise) is an effective way of spreading literacy and providing opportunities to make practical use of literacy because these groups are much more numerous than those that only promote literacy. Also, experience has shown that there is generally a willingness among development organizations to include literacy training in their programs

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assessed (Q)

- Young children most in need of ECD services identified (Q)
- Percent of pre-school children screened for physical disabilities

Policies

- Review/develop/implement policies for early childhood development (Q)
- Review/draft/implement laws and regulations supporting national child care and family policies (Q)

Programs

- Number/percent of local NGOs implementing or supporting early childhood programs for disadvantaged children
- Number/percent of local NGOs implementing or supporting early childhood programs for disadvantaged children that have received relevant training
- Percent of disadvantaged children enrolled in early childhood programs (models include formal pre-schools, non-formal child development centers, home day care, cooperative programs, cross-sectoral programs with, e.g., nutrition or credit to women)
- Number/percent of ECD programs for disadvantaged children in which parents/community are involved in decision-making
- National ECD curriculum for disadvantaged children developed (Q)
- Number/percent of ECD programs for disadvantaged children with pre-service training for caretakers
- Number/percent of ECD programs with objective evaluation criteria and appropriate instruments designed/used to provide ongoing feedback about program effectiveness

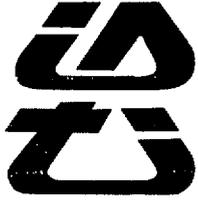
Discussion: Health-related ECD indicators include indicators for malnutrition, low birth weight, breastfeeding prevalence and immunization status, which are monitored by the health sector. These health-related indicators may be appropriate proxies for monitoring the effectiveness of ECD programs because of the cross-sectoral nature of ECD outcomes.

Discussion: USAID basic education policy places highest priority on promoting universal primary education. Adult literacy and early childhood development (ECD) programs are supported as complements to USAID's efforts to expand primary education. As parents, particularly mothers, learn to read and write in

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adult literacy programs, they are more likely to ensure that their children go to school. ECD programs can be critical for providing the nutrition and mental stimulation required for children to be ready to enroll in school. In addition, ECD programs can free older siblings from their childcare responsibilities so that they can go to school.

Attachment 12
Indicators to measure changes in "policy"



International Science And Technology Institute, Inc.

1655 North Fort Myer Drive
Suite 300
Arlington, VA 22209
Phone: (703) 807-2080 FAX: (703) 807-1126

***** FACSIMILE TRANSMISSION *****

Date: January 30, 1998

To: Steve Gale--c/o Karen Freeman

From:

Re: Urban indicators

Recipient's Fax #: 012-323-6443

Pages, including this cover page: 8

COMMENTS/MESSAGE: _____

See Attached

January 30, 1998

Steve,

Here is a brief synthesis of the information I reviewed. I tried to relate the ideas to USAID/South Africa strategic objective 6; Increased access to environmentally sustainable housing and urban services for the historically disadvantaged population, but worked on indicators at the IR level. There aren't a lot of indices that I could find, and there is a wide variety in what people term and index. I am sending copies of three indices that USAID/Philippines uses because perhaps the way in which the indices are constructed would be applicable to South Africa's program for housing and urban services.

The table I prepared could be a first step to developing indices for the IRs. If the factors to consider are reasonable components of success related to an IR, then some or all of the suggested indicators could be used as measure of change within an index and the mission could develop a total points and scoring system. Of course, the mission has the information to identify which factors are actually relevant for their program, so these are just ideas.

I hope this information is useful.

Regards,
Rosalie Huisinga Norem

Sources consulted for information:

PMA database

R&RS

DG indicators

RUDO SOs, and indicators

Env. SOs, IRs and indicators

Indices from USAID Philippines and Indonesia

CIDA/Canada Indicators

November 1997 report from the USAID Env Common Indicators Group

Level of Performance Measurement	Factors to Consider	Possible Indicators
SO 6 Increased access to environmentally sustainable housing and urban services for the historically disadvantaged population		<p>These are existing indicators at the SO level for point of reference</p> <ul style="list-style-type: none"> ● total value of funds, including amounts, leveraged, made available and total number of households with access to full or partial shelter units and urban services in focus areas ● total number of HDP households with access to full or partial shelter units and urban service that meet criteria in focus areas

Level of Performance Measurement	Factors to Consider	Possible Indicators
<p>IR 6.1 Improved environment for the development and implementation of a policy agenda for increasing access to housing and urban services for the HDP</p>	<ul style="list-style-type: none"> ● policy planning process ● policy framework ● regulatory processes ● community participation ● monitoring and evaluation 	<ul style="list-style-type: none"> ● national government, municipalities, private sector entities and target communities have linkages to facilitate policy dialogue ● housing and service institutions have the capability to develop and manage regulatory processes supportive of the housing and service requirements of the HDP ● housing and service institutions have structures and processes in place to facilitate interaction with community members and NGOs ● municipal housing policy frameworks are clearly defined in target areas ● NGOs and community members have impact on development ● NGOs have the capacity to link community members and housing and service agencies in target areas ● municipal governments have monitoring and evaluation systems in place to track access to housing and urban services for the HDP <p>NOTE: I have focused here on the policy process, not specific policy outcomes since the IR is about an improved policy environment—if specific important policies or policy areas are defined, their enactment could also be among the indicators. There are several examples of this approach in the 1996 R4.</p>

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Level of Performance Measurement	Factors to Consider	Possible Indicators
IR 6 2 Previously ineligible households, developers, builders, and municipal services providers obtain access to credit for housing and urban services	<ul style="list-style-type: none"> • eligibility requirements • application procedures • guarantees • credit funds 	<ul style="list-style-type: none"> • eligibility requirements for credit sources are easily available to HDP • credit application procedures are understood by HDP credit applicants • housing guarantee programs leverage funds for credit • loan programs are available to community-based organizations • local governments have access to credit funds through the central government or intermediaries • number of households that obtain credit • total value of credit obtained for shelter <p>Note: the last two indicators above are already being used by the mission and would not be part of an index.</p>
IR 6 3 Increased, non-credit forms of assistance by participating institutions to HDPs for obtaining access to housing and urban services	<ul style="list-style-type: none"> • types of assistance • institutional capacity • community participation • stakeholder interests 	<ul style="list-style-type: none"> • NGOs identify HDP housing and urban service promotion as within their mandate • community-based organizations have the capacity to work in a participatory fashion to do a baseline and needs assessment for non-credit forms of assistance • community-based organizations have the capacity to design and deliver non-credit forms of assistance
IR 6 4 Improved capacity to apply sustainable/participatory environmental management principles to local-level urban development	<ul style="list-style-type: none"> • institutional capacity • existence of sustainable environmental management principles • community participation 	<ul style="list-style-type: none"> • institutions in target communities adopt techniques that facilitate citizen participation • local groups have the authority to manage environmental resources • local groups have the capacity to implement sustainable environmental management principles • local groups using improved environmental management techniques

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Index 2: Progress on Policy and Institutional Reform

National Policies Supporting Enhanced Forest Management			
Critical Policy Change	Actual Measure of Change	Total Points	Score
Secure long-term tenure for upland communities	Established CFMA	5	5
	Create unified resource tenure instrument	5	5
	Clarify process for securing resource tenure	5	5
	Codify community rights to forest through law	5	0
Strengthen local decision making and authority for forest management and protection	DENR decision making authority decentralized to Regional, Provincial and Municipal level.	5	5
	Roles of DENR and local governments clarified.	5	5
	Detailed guidelines for devolving authorities to LGUs developed.	5	0
Promote private sector investment in forestry	Establish comprehensive resource use rights.	3	3
	Establish rights of community to contract with and enter into partnerships with private businesses.	4	4
	Definition/Certification of individual rights within the community.	3	0
Simplify the rules governing forest management	Rules and requirements for CBFM significantly reduced and simplified.	5	5
Total		50	37

Institutional Reforms supporting Community-Based Forest Management			
Critical Changes Needed	Actual Measure of Change	Total Points	Score
DENR Reforms 1) Create CBFMO 2) Allocate budget to support CBFM activities 3) Reassign staff to CBFM activities 4) Strengthen staff skills in CBFM	CBFMO Established	5	5
	DENR revising current budgets and developing budgets for 1998.	5	2
	DENR staffed CBFMO and establishing CBFMOs at regional offices	5	2
		5	0
LGU Reforms 1) Sign MOAs with DENR/establish forest land-use-plans with DENR, and commit financial resources to carry out plans. 2) Assign staff as counterparts to DENR	Mechanism in place. Will set up at least one MOA/FLUP per participating province.	15	5
		5	0
Total		40	14

Provision of Services by DENR and LGUs to Communities			
Critical Services Needed	Actual Measure of Change	Total Points	Score
Total		10	0

Index 1A: Municipal/Community Management Index

Critical Change/Result Needed	Actual Measure of Change	Total Points	Score
CRM Preparation and Planning: Development of site-specific system for sustainable coastal resource use initialized	<ul style="list-style-type: none"> • No. of coastal area profiles developed • No. of CRM plans developed 		
LGUs agree to provide active support to coastal resource dependent communities	<ul style="list-style-type: none"> • No. of MOAs signed with LGUs and the project regarding CRM • No. of LGUs that have drafted coastal resource that limit resource access and harvest 		
Site level workers and community leaders are trained to assist coastal communities and their local governments develop management systems for sustainable resource use	<ul style="list-style-type: none"> • No. of trained graduates (11-day) • No of trained graduates (1-3 day) • <i>No of site workers who came from the site itself for training</i> • <i>% of site workers trained actively used that training in the past 12 months</i> 		
Barangay plans developed using participatory processes and are incorporated into municipal development plans	<ul style="list-style-type: none"> • No. of municipalities that regularly incorporate barangay plans with CRM elements into municipal plans • <i>Established participatory process regularly held or used</i> • <i>Percent of fisherfolk knowledgeable and using participatory mechanism in their barangay planning</i> 		
CRM Implementation: Multi-municipal CRM plans developed and endorsed	<ul style="list-style-type: none"> • Agreement on CRM plans No of LGUs enacting CRM ordinances 		
Effective enforcement of municipal ordinances that regulate coastal resource use by fishing communities with support from their LGU	<ul style="list-style-type: none"> • No of apprehensions • <i>Percent of fisherfolks who know municipal rules/ordinances</i> • <i>Percent of fisherfolk who support policy/ordinance enforcement</i> 		
Local government commitment to community-based CRM for sustainable resource use is maintained	<ul style="list-style-type: none"> • No of Area Management groups established and maintained • Percent of budget allocated for CRM by LGUs (sustained annual budget for CRM) 		
Environmental, social, behavioral and economic impacts: Biologically diverse habitat under improved management (coral reefs, mangrove, seagrass)	<ul style="list-style-type: none"> • Area (ha) of coral reef, sea grass and mangrove habitats under improved management 		
TOTAL			

Note: Indicators in *italics* are still under discussion and negotiation with contractor and DENR

Index 1B: Coastal Policy Implementation Index

Critical Policy Change/ Result Needed	Actual Measure of Change	Total Points	Score
Mangrove Management: Mangrove area reverted from non-forest use to forest use by government agencies	<ul style="list-style-type: none"> • <i>Mangrove area (ha) reverted</i> 		
Mangrove areas are mapped and portions used for illegal and/or non-functional fishponds or for other non-forest purposes are identified and classified	<ul style="list-style-type: none"> • <i>Percent of mangrove areas in Northwest Bohol mapped and classified</i> 		
Administrative procedures for mangrove area recovery are developed and implemented by DENR and BFAR	<ul style="list-style-type: none"> • <i>Administrative procedures for mangrove area recovery from fishponds approved by DENR and BFAR</i> • <i>Administrative procedures for recovery of mangrove forest land used illegally for other purposes approved by DENR</i> 		
Policy on municipal level issuance of Mangrove Stewardship Agreements established and implemented	<ul style="list-style-type: none"> • DENR policy and guidelines revised for local issuance of Mangrove Stewardship Agreements 		
Fisheries Management: Commercial fishing effort reduced to level required for sustainable harvests	<ul style="list-style-type: none"> • Commercial fishing reduced in municipal waters 		
Cooperative management of migratory fish stocks by national and local governments	<ul style="list-style-type: none"> • No of CRM plans and activities which address issues of migratory stocks 		
Jurisdictional Issues Management: National and local jurisdictional issues resolved	<ul style="list-style-type: none"> • Cumulative increase in national budget allocated for CRM • National and local government acceptance of jurisdiction and CRM procedure guidelines 		
Biodiversity and Economic Support: Protection and management of rich biodiverse coastal areas of economic significance enhanced	<ul style="list-style-type: none"> • No of CRM plans which protect exceptional habitat essential for maintenance of tourism and biodiversity • No of marine protected area plans implemented 		
TOTAL			

Note: Indicators in *italics* are still under discussion and negotiation with contractor and DENR

From: "steve gale" <Steve=Gale%TDY%PRETORIA@usaid.gov>
To: ISTI ISTIHQ(rhuntington)
Date: 2/3/98 12 01pm
Subject: ENV INDICATOR

Forwarded to. internet[rhuntington@ISTIINC.COM]
cc:
Comments by: Steve Gale@TDY@PRETORIA
Comments.

oops! I left off the contact name for Rosalie to follow-up on the training indicators here is SA--It's Russel Hawkins Thanks! Steve

R Hawkins SE

----- [Original Message] -----

Hi Rick! [Rosalie]

We have been meeting with the Urban Programs folks here to review their 1998 R4 submission and was wondering if Rosalie could spin the PMA database to help us see what missions are using a training-type indicators For example, the missions is providing state-side training on municipal financing so that, upon return, their home organizations can improve Could you first check the ENV sector to see who is providing similar training (either in country or sytate-side) and how are they are measuring their training impact Ideally, we want improved organization functioning or capacity but that is hard to measure and as a indicator, # of trained is such a low level input/output that it begs the question Rosalie should can send her reponse directly to What are other folks doing with training in realted araes of urban/housing/shelter/municipal ?

Steve

From: Rosalie Norem
To: internet:USAID.gov:RHawkins
Date: 2/3/98 12:31pm
Subject: Indicators for training in Urban Programs

I am writing at the request of Steve Gale, CDIE, in regard to indicators for training programs related to Urban Programs. He asked me to review the training indicators being used by missions and to give you some feedback on the results.

I have reviewed the training-related indicators in use by all missions, including those in Urban Programs. The most common indicator is numbers of persons trained. There are four other approaches to training indicators:

1. # of personnel in a given institution who are trained
2. trainee self-report follow up to training--strengthened skills
3. actual knowledge or skills by trainees with a time lapse after training, based on objective evaluation--strengthened skills
4. change in specific procedures or functions of an agency or institution after the employees are trained -- this is longer term.

I hope this will be helpful to you in reviewing your 1998 R4 submission.

CC: internet:USAID.gov:SGale, rhuntington

Attachment 13
Memo from meeting with Larry Tanner

Memo

Date: February 18, 1998

From Chris Wolter, PPC/CDIE

To Larry Tanner, PPC/ROR
Ralph Williams, PPC/ROR
Steve Gale, PPC/CDIE

Subject Observations and feedback from S Africa regarding the use of Standalone OPS, MERIT, and NMS OPS

1 Standalone NMS OPS

While at USAID/S Africa on a TDY for CDIE/PME, January 15 -31, I demonstrated the standalone NMS OPS module at the request of Larry Tanner. This demonstration generated much discussion with the USAID/SA PPDO office staff. The PPDO staff seem to be interested in simplifying their automated procedures for results tracking, particularly at the SO and IR levels. Much of the data they collect in the MERIT system is useful only at the activity tracking level, a subset of this data is used for R4 results reporting. In addition, some of the data needed for results reporting, particularly at the SO level, is not tracked by the MERIT system because the data is derived from secondary sources rather than from activity-generated data. Lastly, the USAID staff do rely on the off-site MACRO contractor staff for results tracking, so this standalone module would be useful in this regard. However, the following current problems with the standalone OPS module would need to be resolved before USAID/S Africa could implement the use of this application for results tracking.

- the inability to "export" data from standalone OPS to NMS OPS
- the inability to generate R4 performance data tables from standalone OPS
- of lesser importance, the inability to "import" data from MERIT to standalone OPS

If PPC/ROR intends to resolve at least the first two problems listed above, I would recommend that S Africa be contacted as a possible test site once the application is fully operational.

2 USAID NMS OPS

Since the MERIT system was not able to generate R4 data tables in the exact same format as required for R4 submission, USAID/S Africa was interested in exploring the possibility of generating these data tables from NMS OPS using the directions found in the R4 guidance cable. I attempted to assist the staff with this when they ran into problems. We experienced two problems when attempting to generate the R4 data tables. They were:

- After selecting the desired Strategic Objective or Intermediate Result, a list of indicators for that SO or IR appeared on the screen. However, when one attempted to print a table for the selected indicators, the last indicator on that list would not print; i.e., if there were four indicators, the printed table would contain only data for the first three. In most cases, a blank sheet would print out after the data for the third indicator.
- After selecting the desired Strategic Objective or Intermediate Result, a list of indicators

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would appear on the screen. However, the listed indicators were not the correct ones for the SO or IR selected.

We went back and forth from the report generator module to the results tracking module to double check the data, but could not find any reason for the discrepancies described above. On the last day of the TDY, it was my understanding that Jim Harmon, PPDO, planned on sending Larry Tanner an email describing the above problems. The Mission concluded that if these problems could not be resolved quickly, they would have to resort to using the WordPerfect template for generating their R4 performance data tables.

3 MERIT

While at the Mission, I was also given a demonstration of the MERIT system. At that time they were attempting to generate R4 data tables in the exact format as required by the R4. They came up with a similar table, but the comments and notes did not appear in the exact place as they appear in the R4 data tables. We had a meeting with the ACCESS programmer contracted to write these reports, and she said that due to the limitations of the ACCESS report generator, she was not able to exactly duplicate the R4 data tables. If PPC/ROR intends to enhance the current standalone OPS module with a report generation function allowing for the generation of R4 data tables, would it be possible for PPC/ROR contractor staff to discuss/resolve this problem with the MERIT programmer? Any assistance you could offer would be much appreciated.

Attachment 14
Memo to Amy Biehl Foundation Trust

From: Barry Silverman
To: internet:usaid.gov:jharmon
Date: 2/23/98 11.47am
Subject: Amy Biehl Foundation Trust

Dear Jim:

I apologize for taking so long in getting back to you but my medical leave occurred sooner and was more prolonged than I expected. Fortunately, I came through ok.

I have reviewed the 18 January 1998 letter from AMFT on monitoring and evaluation and have the following comments:

1. What is presented in the letter better describes quality assurance exercises rather than monitoring and evaluation activities. What is missing is a link to results (impacts) and a methodology to collect data to measure against agreed upon targets.
2. I recommend that there be a review of the strategic planning exercises that USAID and ABFT have conducted to determine what results are anticipated from ABFT activities. If that has not happened, I suggest having those discussions with ABFT.
3. Once agreement has been confirmed or established for the expected results from ABFT, the contribution from each of their service providers can be determine and the responsibility for achieving the result can be devolve to specific service providers. By doing this, lower level results should lead to higher level results.
4. At this point without knowing what specific results are expected from ABFT, it is hard to discuss specific indicators and targets. This discussion should following the strategic planning exercise.
5. The systems described in the letter seem to be very good in assure quality of service provided and should help lead to achieving the expected results.

To summarize, I think a little refocusing is necessary to capture the needed results data. Not knowing a lot of the background information some of what I have suggested may have already happened and hasn't made it to the performance monitoring plan.

I hope this has been helpful. I will be moving on from ISTI to pursue other works starting today, but remain interested in the activities of USAID/South Africa. If I could be of further assistance, I can be reached at kathbar@intrepid.net

Thanks for the opportunity to work with you and the others there. It was an enjoyable assignment. Good Luck with your R4.

Regards.

Barry

CC: internet.usaid.gov'sgale, rhuntington



Amy Biehl
FOUNDATION TRUST
Working in Partnership Against Violence

Amy Biehl Foundation Trust

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FAX TO: JIM HARMON/HENRY REYNOLDS

26 JANUARY, 1998

USAID-SOUTH AFRICA

FROM: PETER BIEHL

DEAR JIM & HENRY:

OUR VIOLENCE PREVENTION AGENDA IN THE CAPE FLATS IS BECOMMING PROGRESSIVELY-FOCUSED AND IS BEING PRESSED FORWARD ON SCHEDULE. THE PHASE II WORK PLAN SHOULD BE COMPLETED ON SCHEDULE AND OUR PHASE III IMPLEMENTATION PLAN SHOULD BE READY FOR YOUR REVIEW EARLY IN MARCH. WE LOST SOME TIME DURING THE HOLIDAY PERIOD, BUT WE USED OUR TIME EFFECTIVELY, INTERNALLY, SO THAT WE ARE IN POSITION, NOW, TO BE BACK ON SCHEDULE VERY QUICKLY.

YOU ASKED ABOUT RESULTS REPORTING AND WE ARE PLEASED TO SHARE OUR CURRENT THINKING WITH YOU - IN THE KNOWLEDGE THAT OUR SYSTEMS AND APPROACHES WILL BE CONTINUALLY REFINED DURING FEBRUARY, AS WE NEAR PHASE III IMPLEMENTATION.

PROGRAM MEASUREMENT AND EVALUATION - AS YOU KNOW - IS BEING GUIDED BY PROFESSOR LOUW OF THE DEPARTMENT OF PSYCHOLOGY, UCT. HE IS A RECOGNISED AUTHORITY ON PROGRAM EVALUATION AND OUR RESULTS REPORTING WILL FLOW FROM LOUW'S CONTRIBUTIONS TO MEASUREMENT

OF THE WORK PRODUCED THROUGH AND AS A DIRECT RESULT OF OUR PROGRAM. CONSEQUENTLY, RESULTS REPORTS WILL BE BASED UPON THE FOLLOWING EXTERNAL AND INTERNAL MEASUREMENT AND EVALUATION SYSTEMS:

EXTERNAL MEASUREMENT & EVALUATION SYSTEMS

1) BUILD SYSTEM FOR ASSESSING POTENTIAL SERVICE PROVIDER PARTNERS.

THIS SYSTEM (SEE ATTACHMENT) IS CAPACITY-DRIVEN BECAUSE WE SEEK TO DETERMINE WHETHER A PROVIDER POSSESSES THE "HORSEPOWER" TO DELIVER THE RESULTS WE SEEK. WE WILL WORK, WHERE POSSIBLE, IN EVALUATION TERMS OF TWO. IN ALL CASES, AN INTERVIEW SCRIPT WILL BE UTILIZED AND STRICTLY ADHERED TO BY THE EVALUATORS TO MINIMIZE VARIABLES. EVALUATION RESULTS WILL BE INPUT TO A SPREAD SHEET PROGRAM, EXTENDED AND REVIEWED BY OUR TOTAL TEAM. RESULTS WILL BE A SIGNIFICANT CONSIDERATION IN SELECTING OUR SERVICE PROVIDER PARTNERS. THESE RESULTS AND THE RATIONALE BEHIND OUR PARTNER SELECTIONS WILL BE REPORTED TO YOU AS AN EXHIBIT IN OUR PHASE III WORK PLAN.

2) SERVICE PROVIDER WORK PLANS/AGREEMENTS.

EACH SELECTED SERVICE PROVIDER PARTNER WILL ENTER INTO A WRITTEN WORK PLAN/AGREEMENT WITH THE AMY BELL FOUNDATION TEAM, DEFINING WHAT IS EXPECTED OF IT; PROGRAM OF WORK AND DELIVERABLE RESULTS. THESE AGREEMENTS WILL BE NEGOTIATED WITH SERVICE PROVIDERS BY OUR STAFF AND BY PROFESSOR LOUW. COPIES OF THESE SERVICE PROVIDER WORK PLANS/AGREEMENTS WILL BE PROVIDED TO YOU AS AN INITIAL STEP IN PHASE III IMPLEMENTATION.

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3) QUALITY CONTROL MANAGEMENT & REPORTING

PERFORMANCE QUALITY OF SERVICE PROVIDER PARTNERS WILL BE EVALUATED CONTINUOUSLY BY AMY BIEHL FOUNDATION TRUST STAFF AND INDEPENDENTLY BY PROFESSOR LOUN AND A TEAM OF FOUR GRADUATE-LEVEL INTERNS WITH EXPERIENCE IN PROGRAM EVALUATION, WORKING UNDER HIS SUPERVISION. PROVIDER PARTNERS WILL BE REQUIRED TO PREPARE AND SUBMIT TO THE ABFT MONTHLY REPORTS QUANTIFYING THEIR PERFORMANCE. THESE REPORTS WILL BE RATHER STATISTICAL IN NATURE (IE. NUMBERS OF ADOLESCENTS AND PARENTS SERVED, ETC.) AND ACTUAL PERFORMANCE WILL BE MEASURED AGAINST WORK PLANS. THESE MONTHLY REPORTS CAN BE TRANSMITTED TO USAID, AND BECOME A PART OF THE COMPREHENSIVE PROJECT RESULTS REPORTING AND EVALUATION FILE. TWO TEAMS OF TWO INTERNS (AT LEAST ONE TEAM MEMBER XHOSA-SPEAKING) WILL VISIT PROVIDER PARTNER WORK SITES ON A RANDOM SAMPLING PATTERN TO EVALUATE THE QUALITY OF SERVICE BEING DELIVERED AND TO AUDIT VERACITY OF PROVIDER MONTHLY REPORTS. AN IMPORTANT FEATURE OF THE INTERN'S EVALUATION WORK WILL BE MONITORING OF THE IMPACT OF SERVICES ON TARGET RECIPIENTS. RESULTS OF THESE EVALUATIONS - AND PROGRAM MODIFICATIONS MADE BASED UPON THEM - WILL BE REPORTED TO USAID PERIODICALLY DURING PHASE III. THE INDEPENDENT STATUS OF PROFESSOR LOUN'S INTERN TEAMS PROVIDES US WITH AN OBJECTIVE AND NON-BIASED REVIEW OF OUR PROGRAM RESULTS.

INTERNAL EVALUATION SYSTEM

4) SELF EVALUATION PROGRAM

THIS PROGRAM - UNDER MANAGEMENT OF SHEILA ROQUITTE, WITH COUNSEL FROM PROFESSOR LOUW - WILL DOCUMENT EVERY SIGNIFICANT DECISION MADE BY THE ABFT MANAGEMENT TEAM REGARDING PROJECT DIRECTION, APPROACH AND METHODOLOGY. THESE DECISIONS WILL BE CONSENSUS-DRIVEN, AND RECORDS WILL BE REVIEWED BY ALL TEAM MEMBERS PRIOR TO BEING FORMALISED. ADDITIONALLY, OUR SELF-EVALUATION WILL INCLUDE A PERIODIC CONSIDERATION OF (AND RESPONSE TO) THE QUESTIONS WHICH OUTSIDERS MIGHT BE EXPECTED TO ASK OF US WITH REGARD TO OUR WORK. THESE SELF-QUESTIONING SESSIONS WILL BE FACILITATED BY PROFESSOR LOUW FROM TIME-TO-TIME. REPORTING OF SELF EVALUATION PROGRAM RESULTS WILL BE CONTINUALLY-MAINTAINED AS PART OF THE PERMANENT PROJECT RECORD AND THIS REPORTING WILL BE MADE AVAILABLE TO USAID WITHIN THE FINAL PROGRAM EVALUATION REPORT.

5) YOUTH PANELS (ADOLESCENTS AGES 10-15 YRS.)

THESE PANELS - DRAWN FROM TARGET COMMUNITIES - WILL MEET WITH US PERIODICALLY TO TEST OUR THINKING AND TELL US HOW WE ARE DOING. SESSIONS WILL BE RECORDED.

THERE YOU HAVE IT! GIVE US YOUR COUNSEL.

WITH BEST REGARDS,

Peter Finkel

	Grade (1-10)	Weight	Weighted Grade
1) Level of Cooperation		15	
willingness to cooperate (work w/ us & other NGOs)	10	5.0	5.0
awareness of similar programs	10	5.0	5.0
level of existing coordination/networking	10	5.0	5.0
2) Sustainability of Organization		15	
longevity >3 years	10	7.5	7.5
growth: in staff, clients, services	10	7.5	7.5
3) Capacity		15	
Office management/program administration	10	2.5	2.5
diversification of funding sources	10	2.5	2.5
longevity of current funding	10	2.5	2.5
Staff who deliver services: training, skills	10	2.5	2.5
Present ability to provide services to 10-15 year olds	10	2.5	2.5
Ease with which activities can be expanded/into ABFT framework	10	2.5	2.5
4) Program/Project questions		15	
Statement of problem being addressed	10	1.7	1.7
Needs identification	10	1.7	1.7
Program description exists	10	1.7	1.7
Clear statement of goals and objectives (vision)	10	1.7	1.7
Stakeholder agreement on goals and objectives (w/other service p	10	1.7	1.7
Clearly defined target group(s)	10	1.7	1.7
Level of community consultation	10	1.7	1.7
program objectives plausible	10	1.7	1.7
theoretical base on which intervention rests	10	1.7	1.7
5) Oversight (External)		8	
Existence of accounting body. (ie board of trustees)	10	8	8
6) Monitoring and Evaluation system (get annual reports)		10	
Monitoring and evaluation system in place	10	1.7	1.7
Measures of program performance used	10	1.7	1.7
Program changes as a result of M&E	10	1.7	1.7
Records routinely kept on the program	10	1.7	1.7
Evidence of success	10	1.7	1.7
Service utilization by clients/target population	10	1.7	1.7
7) Creative solutions to problems		6	
	10	6	6
8) Needs of the organization		8	
can ABFT meet the needs of the organizations	10	4	4.0
are the needs relatively short-term	10	4	4.0
9) Policy Integration (National/Provincial policy)		8	
thinking in line with public policy	10	4	4.0
active communication with public sector	10	4	4.0
Total		100	100

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FILTERS

Geographic location of service points

Developmental" considerations of the organization and/or program
stage of the program (ie new and "unstable" or tried and tested)
level of service delivery

Complementarity of project with others

Sector in which NGO/CBO is working
health
education
economic empowerment

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