

PD-ABQ-574

*USAID Performance Monitoring
System for the Country Development
Strategy for Peru
FY 1997- FY 2001*

September, 1997

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PART ONE:
OVERVIEW

I INTRODUCTION

The Automated Directives System (ADS) require that each USAID Mission regularly collect, review and use information on its performance, in order to effectively manage for results. Performance monitoring shall focus on whether and to what extent objectives are being achieved. Performance monitoring information, evaluation findings and information from additional formal and informal sources shall be used regularly throughout planning and management processes to do the following:

- improve performance, effectiveness, and design of activities,
- revise Mission strategies when necessary,
- plan new strategic objectives (SOs), intermediate results (IRs), result packages (RPs) and/or activities,
- inform decisions whether to abandon strategies, SOs or RPs which are not achieving intended results, and
- document findings on the impact of development assistance

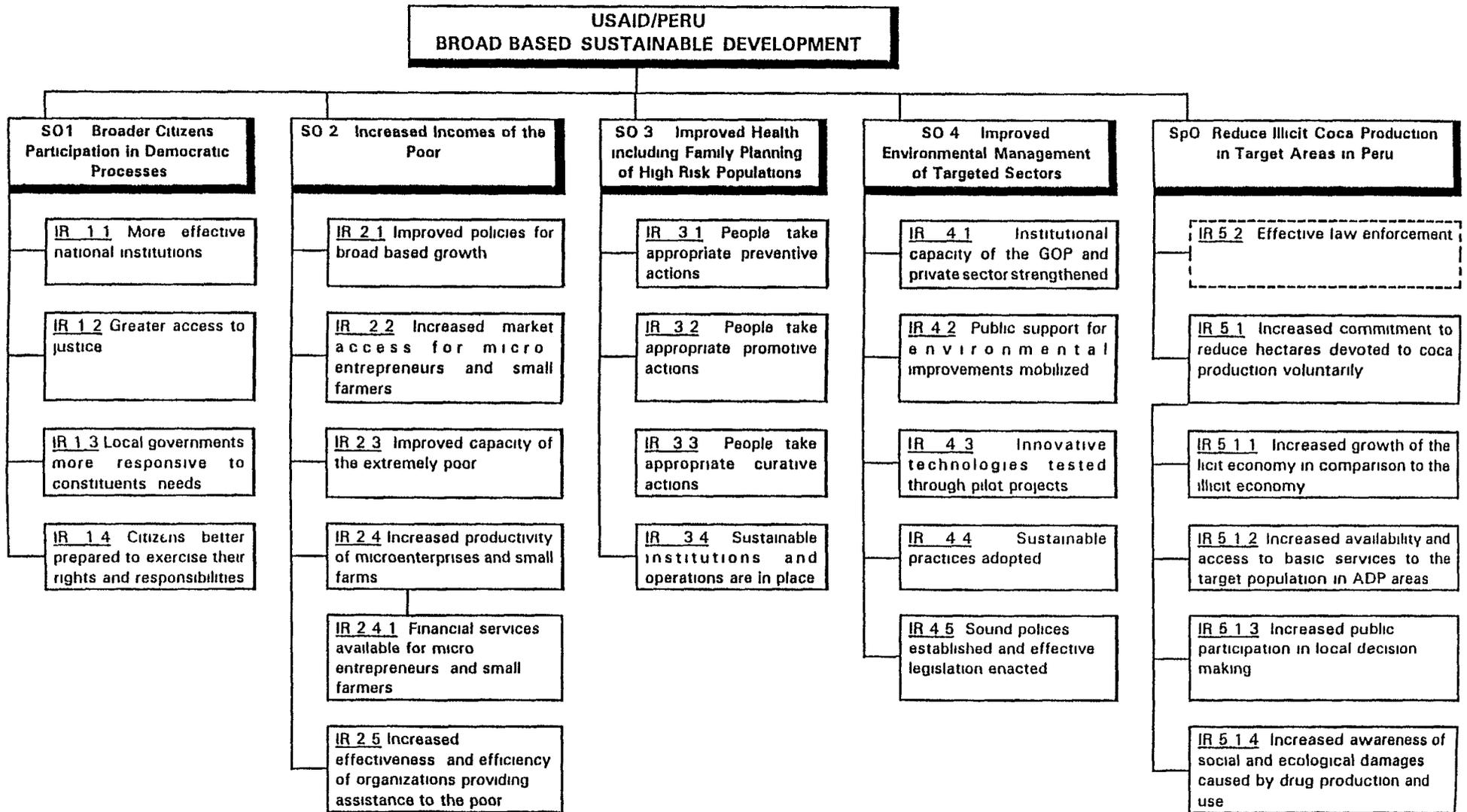
In May 1996, USAID approved the Country Strategic Plan for Peru FY 1997- FY 2001. The Strategic Plan for Peru encompasses four strategic objectives (SOs) in the areas of democracy, economic growth, health, and environment, and one special objective for alternative development activities.

After the approval of its new five year Strategic Plan, USAID/Peru initiated a process to establish its performance monitoring system. This document presents the USAID/Peru's Performance Monitoring System as of September, 1997. It also represents the result of a development process with a long history of hard work by the four Strategic Objective (SO) Teams and one Special Objective Team. It will be updated annually, based on the performance, the strategy, assumptions and funding.

The System follows the structure of the overall strategy for each Strategic (or Special) Objective as defined by the results framework (See Figure 1) approved by USAID/W. It follows a hierarchy of results leading to achievement of each Strategic Objective, and uses indicator measurement to track those results.

The Performance Monitoring System consists of two key documents: A Performance Monitoring Plan (PMP) and Results Tracking Tables (RTT). The PMP defines indicators, data sources, method/approach of data collection, data acquisition and use by the Mission. The RTT defines baselines and targets for the same indicators through the year 2001. The body of this document describes the methodology used by the Mission for the development of the PMP and RTT and covers the status of these two key documents for each of the five objectives. An overview of the results framework, the tables themselves, an explanation of the rationale used to establish indicators and targets and remaining issues, are then presented in the document.

FIGURE 1



II METHODOLOGY

A Establishing the Performance Monitoring Systems

The Strategic Objective teams (SOTs) were responsible for developing their performance monitoring systems, which included establishing the Performance Monitoring Plans (PMPs) to manage the data collection process that enables them to track and analyze performance and to objectively report on their progress in achieving Strategic Objectives (SOs) and Intermediate Results (IRs). This included developing performance indicators, baselines and targets for all SOs and IRs presented in the approved Strategic Plan, and the means for tracking critical assumptions. The Office of Project Development and Program (PDP) was responsible for managing the overall process, providing assistance to the SOTs, and coordinating assistance from the Latin America and the Caribbean (LAC) Bureau and the Center for Development Information and Evaluation of the Policy and Program Coordination Bureau (PPC/CDIE).

The PMP conforms to the directives in the ADS, Chapter 203, entitled *Managing for Results Monitoring and Evaluating Performance*, which contains the essential procedures a mission must follow in preparing the new plan.

The following key steps were carried out by the SOTs to complete their Performance Monitoring Systems:

- 1 **Confirmation and/or modification of the set of performance indicators initially defined in the Mission's Strategic Plan.** This analysis covered all of the criteria for performance indicators currently defined by the Agency. The SOTs gave significant consideration to performance indicators for which quality data are available at intervals consistent with management needs and which are direct, objective, practical and unidimensional.

During the process, the SOTs also considered the suggestions and comments to the proposed set of indicators which were received in the Strategic Plan review. These comments were provided by CDIE, LAC Bureau and Global (G) Bureau. Some USAID/W comments included suggestions for re-wording of SOs and/or IRs statements. In addition, SOTs took into account the "common" indicators that the Agency has identified for each sector and that were presented in the Agency Framework.

- 2 **Definition of means or approach to be used in monitoring the results supported by USAID and development partners identified in the results framework.** Data quality was assessed as part of the process of establishing performance indicators and choosing data collection sources and methods. This helped to ensure that data are of reasonable quality, representativeness and accuracy to reflect the process or phenomenon they are intended to measure. Reasonable standards of statistical reliability and validity were applied. Aspects of this review included in key cases interviews with the principle potential providers of secondary data addressing questions related to sampling methodology, survey design, survey administration and data collation and analysis. The Mission contracted technical assistance to help the SOTs in assessing indicator reliability and validity.

During the analysis, in those cases when meeting reasonable reliability and validity standards would have caused costs of a data collection method to appear prohibitive,

the SOTs either modified performance indicators to permit less expensive approaches to regular data collection, or, modified the approach/design of data collection activities, considering rapid, low cost alternatives

- 3 **Completion of the performance monitoring plan** that provides details necessary for collecting relevant performance data and information
- 4 **Establishment, validation and/or modification of the performance baselines initially defined in the Mission's Strategic Plan** Performance baselines reflect to the extent possible, the value of each performance indicator for 1995 or 1996, or for the time just prior to the implementation of the activity or activities identified as supporting the IR or SO When baseline data for a direct performance indicator proved to be unavailable or too costly to collect, the indicator was changed or substituted with a proxy indicator
- 5 **Establishment validation and/or modification of the performance targets initially defined in the Mission's Strategic Plan** Yearly targets for the period 1997-2001 were established for all IR indicators, and for most of the indicators at the SO level In establishing targets, SOTs considered the baseline data, performance of on-going activities, information on results of similar activities carried out by other development practitioners, guidance of technical experts in the field, historical trend data, and funding levels

The SOTs, to the extent feasible, involved USAID customers and partners in planning approaches to monitoring performance, as well as in collecting baseline data and establishing targets While developing the Performance Monitoring Plan (PMP), the SOTs also involved the bureaus for LAC, PPC, G and Humanitarian Response (BHR) in the process, to ensure a general agreement on the data collection processes for the performance monitoring of the program

The SOTs and activity managers also established PMPs at the activity level to track inputs, outputs and processes to ensure that activities are proceeding as expected and are contributing to intermediate results and strategic and special objectives Key activity level indicators are included in the PMP for internal Mission management reviews Activity level data is collected at intervals consistent with the management needs of the SOT and/or activity manager

B Contents of the Performance Monitoring Plan (PMP)

The Performance Monitoring Plan (PMP) is a critical tool for managing and documenting the data collection process. Information included in the PMP ensures that comparable¹ performance data will be collected over time on a regular and timely basis, even when key personnel change, and clearly assigns responsibilities for its collection, analysis and reporting. The PMP tables described below were the format used to present the information. Specifically, the description contained in the columns of the PMP tables provide succinct information on

- 1 Performance Indicator** The indicator that will be tracked
- 2 Indicator Definition and Unit of Measurement**
 - a) Definition Provides a definition for all performance indicators identified for all SOs and IRs approved in the Strategic Plan. Quantitative and qualitative indicators used are defined so as to permit regular, systematic and relatively objective judgement regarding change in the "value" or status of the indicator. It states exactly what it will be measured. It should help anyone to correctly interpret precisely what the indicator is.
 - b) Unit of measure Specifies the unit of measure of the indicator.
- 3 Data Source** The source is the entity from which the data are obtained, usually the organization that conducts the data collection effort. It specifies also the mechanism through which the data are obtained.
- 4 Method/Approach of Data Collection** Describes briefly how anyone (a newcomer, staff from USAID/W, other SOTs) could replicate the data collection methodology. Indicates also where to refer for additional details of the methodology (e.g. in the case of surveys). In the case of secondary data, it provides the method of calculating the specific indicator data point and the sources of data. If it is primary data collection, it provides details on the structure, interpretation, etc., of the data. It also specifies the unit of analysis (individuals, families, clients, municipalities, etc.), data disaggregation needs (by gender, age, ethnic groups, location)², sampling techniques for selecting cases, and techniques or instruments (structured interviews, questionnaire, etc.) for acquiring data on these selected cases.
- 5 Data Acquisition by Mission**
 - a) Schedule/Frequency of Collection This defines how often Mission staff will collect the data at the source, or when the Mission will receive or acquire data collected by someone outside the Mission (GOP counterparts, NGOs, contractors, etc).
 - b) Responsible Team Assigns responsibility for collection to a specific office,

¹ Comparability refers to tracking a performance indicator over time

² For space reasons data disaggregation levels are shown in the first column of the tables

SOT, Result Package team or individual That person or team will be the one who is responsible for ensuring that data are actually available at the Mission, in the timeframe specified

- c) Costs Estimates the costs of acquiring the data, particularly primary data collection efforts

6 Analysis and Reporting

- a) Schedule by Report Defines when the Performance data will be analyzed and reported (i.e., Results Review and Resource Request (R4), Portfolio Reviews, SO reviews, etc.)
- b) Responsible Team/Office Defines who will analyze the performance data. The SOTs, to the extent possible, will involve partners in reviewing and interpreting performance information

C Contents of the Results Tracking Table (RTT)

The Results Tracking Table (RTT) documents the baseline or value of the indicator at the beginning of the planning period and the specific and intended target or result to be achieved within the timeframe of the Strategic Plan, and against which actual results will be compared and assessed. The information contained in the columns of the RTT tables is described below

- 1 **Performance Indicator** (same as column 1 of the PMP table)
- 2 **Indicator Definition and Unit of Measurement** (same as column 2 of the PMP table)
- 3 **Data source** (same as column 3 of the PMP table)
- 4 **Baseline Data**
 - a) Year The year to which the baseline data is referred
 - b) Value The indicator data point. Data points are also provided for key disaggregation levels
- 5 **Target Data** 1997-2001 Expected results for each year of the planning period

The RTT tables will be updated annually

PART TWO:

**USAID/PERU'S PERFORMANCE
MONITORING SYSTEM**

I STRATEGIC OBJECTIVE 1 BROADER CITIZEN PARTICIPATION IN DEMOCRATIC PROCESSES

A Overview of the Results Framework

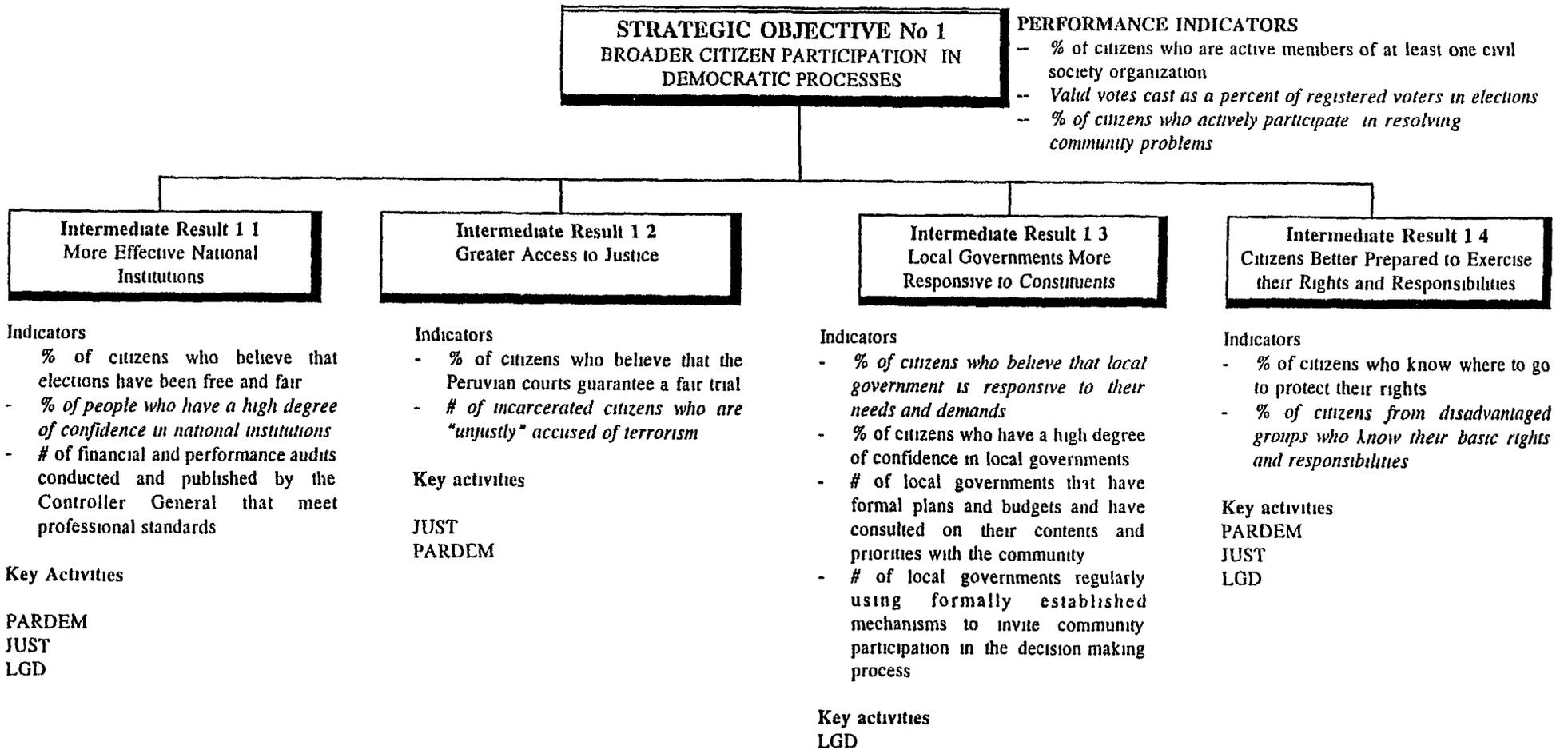
The results framework (RF), built around the Strategic Objective (SO) of *Broader Citizen Participation in Democratic Processes*, seeks to address a major deficiency in Peruvian democracy the exclusion of large segments of the population from public and other activities that affect their lives. It recognizes that effective and sustained reform comes primarily from outside the formal system, based on demand from the citizenry, but also inside the formal system through the strengthening of democratic institutions that respond to the needs of citizens.

The focus of the SO, therefore, is on citizen participation at all levels, including interaction with local governments and, where appropriate and possible, at the national level. Target groups include (1) Individuals and community groups who were the most vulnerable and marginalized, including indigenous groups, women, rural communities in coca producing regions and persons entangled (often unfairly) in the justice system, and (2) NGOs that provide support to these groups or otherwise foment participation and democratic reforms.

Thus, the RF is based on a multi-faceted, demand-based strategy that begins by making citizens aware of their rights and responsibilities and giving them opportunities to participate in decision-making processes. This builds popular support and pressure to decentralize responsibility and authority and reform state institutions. At the same time, assistance is directed to key institutions to establish more effective and responsive state and local institutional structures. These must be sufficiently open and responsive to permit and encourage broad citizen participation in the events that affect their lives.

The SO1 program currently encompasses the following activities: Participatory Democracy (PARDEM), Local Government Development (LGD), Justice Sector Support (JUST), and Special Development Activities Fund (SDAF).

SO1 Results Framework



Note Indicators in italics will be reported in the R4

PERFORMANCE MONITORING PLAN
Strategic Objective 1 and Related Intermediate Results

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS & REPORTING	
				SCHEDULE/ FREQUENCY	RESPONSIBLE/ COSTS	SCHEDULE BY REPORT	RESPONSIBLE TEAM/OFFICE
STRATEGIC OBJECTIVE 1 BROADER CITIZEN PARTICIPATION IN DEMOCRATIC PROCESSES							
<p>1 Percent of citizens who are active members of at least one civil society organization</p> <p>(Data analyzed by socio economic geographical variables and by type of organization)</p>	<p>Definition Civil society organizations are defined as any non government organization that is organized around a common interest of its members and that may have cause to interact with government institutions The APOYO survey from which this indicator is derived defined the following types of organizations as CSOs parents meetings women s associations/mother s clubs religious groups professional associations community associations/development committee unions and political groups (the survey also noted "other" groups that meet the definition of a CSO) A person is considered an active member if they determine their own participation in any one organization to be "frequent" (on a subjective 4 step scale ranging from "frequent" to "never")</p> <p>Unit Percent</p>	<p>Baseline Study on Citizen s Participation in Democratic Processes a national level survey conducted by the APOYO Institute under USAID guidance</p>	<p>A national survey of 1508 randomly selected persons from now on referred as the USAID national democracy survey (respondents had to be greater than 18 years of age) The sample was stratified by city size and it used a two stage cluster sampling method in which the household was the smallest cluster (Refer to the attached technical notes for additional detail on the APOYO survey)</p> <p>This indicator is derived from questions 3 1 to 3 9 (CP6 CP7 CP9, CP3 CP13 CP10 CP17 and CP30) of the survey (Refer to indicator notes for more detail on the derivation of this indicator)</p>	<p>Annually in December</p>	<p>SO1 contracts survey by September</p> <p>Survey costs estimated at \$50 000</p>	<p>R4</p>	<p>SO 1 & PDP</p>
<p>2 Valid votes cast as a percent of registered voters</p> <p>(Data analyzed by departments and blank valid and null votes)</p> <p>R4 Reported</p>	<p>Definition A registered voter is defined as any person registered on the official voter rolls A valid vote is defined as any ballot other than a blank or null ballot</p> <p>M Municipal P Presidential C Congressional</p> <p>Unit Percent</p>	<p>Official election records from JNE (the National Elections Board)</p>	<p>N/A (these are public records)</p>	<p>At the time of either national or municipal elections (1998 2000)</p>	<p>SO1 requests data from JNE</p>	<p>R4</p>	<p>SO 1 & PDP</p>

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS & REPORTING	
				SCHEDULE/ FREQUENCY	RESPONSIBLE/ COSTS	SCHEDULE BY REPORT	RESPONSIBLE TEAM/OFFICE
<p>3 Percentage of citizens who actively participate in resolving community problems</p> <p>(Data analyzed by socio economic and geographical variables)</p> <p>R4 Reported</p>	<p>Definition People who participate in 3 or more of the following activities 1) Worked or tried to resolve a community problem 2) Donated money or materials to help in any problem or community improvement 3) Provided his/her labor and 4) Assisted to meetings to resolve any community problem or to carry out any community improvements</p> <p>Unit Percent</p>	<p>Baseline Study on Citizen s Participation in Democratic Processes a national level survey conducted by the APOYO Institute under USAID guidance</p>	<p>This indicator is derived from questions 2 1 through 2 4 (CP5 CP5a CP5b CP5c) of the USAID national democracy survey (Refer to indicator notes for more detail on the derivation of this indicator)</p>	<p>Annually in December</p>	<p>SO1</p>	<p>R4</p>	<p>SO1&PDP</p>
<p>COMMENTS/NOTES Socio economic variables include gender age education race mother language economic status Geographic variables include urban/rural Metropolitan Lima north/south coast north/central/south sierra jungle</p>							
<p>Intermediate Result 1 1 More Effective National Institutions</p>							
<p>1 Percent of citizens who believe that elections have been free and fair (Disaggregated by gender and economic status)</p>	<p>Definition People who respond that last elections have been free and fair for all candidates</p> <p>Unit Percentage</p>	<p>Informe de Opinon APOYO Opinion y Mercado monthly opinion polls</p>	<p>A national opinion poll of 530 randomly selected persons (respondents had to be greater than 18 years of age)</p>	<p>In the month that last elections have taken place</p>	<p>RP1 or PARDEM requests data from APOYO</p>	<p>R4</p>	<p>SO1&PDP</p>
<p>2 Percent of people who have a high degree of confidence in national institutions 1/</p> <p>(Data analyzed by institution and socio economic and geographic variables)</p> <p>R4 Reported</p>	<p>Definition National institutions are defined as Congress Judiciary the Attorney General s Office the three electoral institutions (JNE ONPE IDENTIDAD) the Comptroller General and the Ombudsman s Office (Oficina del Defensor del Pueblo) A respondent is defined as having a high degree of confidence in key national institutions if he/she scored on a 1 7 point confidence scale (where 7 is the highest) for each of eight institutions a minimum of 36 points out of a maximum of 56 points The minimum 36 points represents an average of 4 5</p> <p>Unit Percent</p>	<p>Baseline Study on Citizen s Participation in Democratic Processes a national level survey conducted by the APOYO Institute under USAID guidance</p>	<p>This indicator is derived from questions 13 1 13 2 and 14 1 through 14 6 (B13 B27 B15 B11 B17 B28 B11a B15a) of the USAID national democracy survey (Refer to indicator notes for more detail on the derivation of this indicator)</p>	<p>Annually in December</p>	<p>SO1</p>	<p>R4</p>	<p>SO 1 & PDP</p>

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS & REPORTING	
				SCHEDULE/ FREQUENCY	RESPONSIBLE/ COSTS	SCHEDULE BY REPORT	RESPONSIBLE TEAM/OFFICE
<p>5 Number of financial audits conducted and performance published by the Controller General that meet professional standards</p> <p>[Activity based]</p>	<p>Definition Professional auditing standards are defined as those meeting the technical standards of government auditing as defined in the <i>Normas de Auditoria Gubernamental</i> (NAGU) of the Government of Peru. The NAGU is based upon "Generally Accepted Auditing Standards" (GAAS) International Standards on Auditing (ISA) and the Government Auditing Standards" issued by the International Organization of Supreme Audit Institutions (INTOSAI)</p> <p>Significant reviews not meeting technical definition of audit will be discussed in the narrative</p> <p>Unit Number of financial and performance audits conducted and issued</p>	<p>Comptroller General reports provided to USAID</p>	<p>Comptroller General tracks this information internally and provides it to USAID upon request</p>	<p>Annually (at least) in Jan/Feb</p>	<p>RP1 or CONT requests data from the Controller General</p>	<p>R4</p>	<p>SO 1 & PDP</p>
<p>COMMENTS/ NOTES 1/ Results affected by number of respondents unfamiliar with some of the institutions</p>							
<p>Intermediate Result 1.2 Greater Access to Justice</p>							
<p>1 Percent of citizens who believe that the Peruvian courts guarantee a free trial</p> <p>(Data analyzed by socio economic and geographic variables)</p>	<p>Definition An individual is defined as believing the courts guarantee a fair trial if she/he answered with a 5, 6 or 7 (on a scale of 1-7 with 7 indicating the most positive answer) to a question directly parallel to the indicator statement</p> <p>Unit Percent</p>	<p>Baseline Study on Citizen's Participation in Democratic Processes, a national level survey conducted by the APOYO Institute under USAID guidance</p>	<p>This indicator is derived from question 12.4 (B1) of the USAID national democracy survey (Refer to indicator notes for more detail on the derivation of this indicator)</p>	<p>Annually in December</p>	<p>SO1</p>	<p>R4</p>	<p>SO 1 & PDP</p>

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS & REPORTING	
				SCHEDULE/ FRLQUENCY	RESPONSIBLE/ COSTS	SCHEDULE BY REPORT	RESPONSIBLE TEAM/OFFICE
<p>2 Number of incarcerated citizens who are unjustly accused of terrorism 2/</p> <p>(Data disaggregated by male female adults and minors)</p> <p>R4 reported</p>	<p>Definition USAID/Peru relies on the human rights NGOs primarily those that are members of the Coordinadora Nacional de Derechos Humanos (CNDDHH) to determine who is innocent of terrorism charges These NGOs consider a person to be innocent when it is clear that (1) the person does not belong to a terrorist organization and (2) has not voluntarily collaborated with any such organization Since the NGOs have not reviewed all existing cases of terrorism and additional cases will come into the system the number of confirmed innocents may continue to grow (or at least offset gains made through release of prisoners)</p> <p>Unit Number</p>	<p><i>Informe Sobre la Situacion de los Derechos Humanos</i> an annual report on the human rights situation in Peru issued by CNDDHH and USAID activity reports and information from other local human rights NGOs</p>	<p>Data source information is provided by member NGOs of CNDDHH and is derived from thorough reviews of each case by member NGOs (this review process includes inter alia interviews with the accused and their families a review of judicial files a review of the accused s personal history political affiliations and views about terrorism) The number of current cases (minus persons who have been liberated) serves as the indicator</p>	<p>Annually in Jan/Feb</p>	<p>RP2 or JUST requests and process information</p>	<p>R4</p>	<p>SO 1 & PDP</p>
<p>3 Preliminary consideration is being given to developing an indicator focusing on legal clinics and/or conciliation centers</p>							
<p>COMMENTS/NOTES 2/ Follow on USAID/W comments the SO team is considering a reformulation of the term unjustly to avoid a prejudgment of the outcome of the process</p>							
<p>Intermediate Result 1 3 Local Governments More Responsive to Constituents</p>							
<p>1 Percent of citizens who believe that local government is responsive to their needs and demands</p> <p>(Data disaggregated by geographical location)</p> <p>R4 Reported</p>	<p>Definition citizen opinion regarding the responsiveness of local government is determined by the respondent if he/she answers as follows 1) states that the quality provision of services and the treatment of constituents at the Districtal Council and the Provincial Council are good or very good and 2) has a high degree of confidence in district and provincial municipalities (scores > =5 on a confidence scale of 1 7 where 7 is the highest) and 3) perceives that the municipality best addressed community needs</p> <p>Unit Percent</p>	<p><i>Baseline Study on Citizen s Participation in Democratic Processes</i> a national level survey conducted by the APOYO Institute under USAID guidance</p>	<p>This indicator is derived from questions 13 5 13 6 18 19 21 22 and 23 (B22 B23 SGL1d SGL2d SGL1p SGL2p LGL1) of the USAID national democracy survey (Refer to indicator notes for more detail on the derivation of this indicator)</p>	<p>Annually in December</p>	<p>SO1</p>	<p>R4</p>	<p>SO 1 & PDP</p>

5

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS & REPORTING	
				SCHEDULE/ FREQUENCY	RESPONSIBLE/ COSTS	SCHEDULE BY REPORT	RESPONSIBLE TEAM/OFFICE
<p>2 Percent of citizens who have a high degree of confidence in local governments</p> <p>(Data disaggregated by geographical location)</p>	<p>Definition A respondent is defined as having a high degree of confidence in local governments if he/she scored on a 1 7 point confidence scale (where 7 is the highest) at least 5 on each of the two confidence questions referred to districtal municipality and provincial municipality</p> <p>Unit Percent</p>	<p><i>Baseline Study on Citizen s Participation in Democratic Processes</i> a national level survey conducted by the APOYO Institute under USAID guidance</p>	<p>This indicator is derived from questions 13 5 and 13 6 (B22 B23) of the USAID national democracy survey (Refer to indicator notes for more detail on the derivation of this indicator)</p>	<p>Annually in December</p>	<p>SO1</p>	<p>R4</p>	<p>SO 1 & PDP</p>
<p>3 Number of local governments that have formal plans and budgets and have consulted on the content and priorities of these plans and budgets with the community</p> <p>[Activity based]</p>	<p>Definition A local government is defined as having formal plans and budgets in place if they have a program of activities with objectives and targets an implementation schedule the commitment of organizations responsible for implementation and the necessary human financial and material resources Consultation with the community is determined by the level of involvement of grassroots community organizations in developing and reviewing plans and budgets (consultation mechanisms include popular assemblies open council sessions fora/debates and coordination working group meetings</p> <p>Unit Number (percent based on number of targeted municipalities)</p>	<p><i>Local Government Development Project Survey</i> a targeted regional survey conducted by the APOYO Institute under USAID guidance</p> <p>Verified with project records</p>	<p>A survey of 800 residents and 76 leaders from a sample of municipalities that are participating in the LGD project Five LGD municipalities were randomly selected from each of eight departments Twenty residents and two leaders were in turn randomly selected from each municipality to be interviewed The method used was a structured interview Institutional survey of municipalities</p>	<p>Survey based annually in October</p> <p>Project records Semiannually July January</p>	<p>RP3 or LGD</p> <p>Survey costs US\$15 000</p>	<p>R4</p>	<p>SO 1 & PDP</p>
<p>4 Number of local governments regularly using formally established mechanisms to invite community participation in the decision making process</p> <p>[Activity based]</p>	<p>Definition Formally established mechanisms refer to vehicles for community participation that are established by the decree of the relevant local government Such mechanisms might include community assemblies committees town meetings and neighborhood committees Regular use is defined as utilizing one or more formal mechanisms at least twice a year</p> <p>Unit Number (percent based on number of targeted municipalities)</p>	<p><i>Local Government Development Project Survey</i> a targeted regional survey conducted by the APOYO Institute under USAID guidance</p> <p>Verified with INADE LGD project records</p>	<p>A survey of 800 residents and 76 leaders from a sample of municipalities that are participating in the LGD project Five LGD municipalities were randomly selected from each of eight departments Twenty residents and two leaders were in turn randomly selected from each municipality to be interviewed The method used was a structured interview Institutional survey of municipalities</p>	<p>Same as above</p>	<p>Same as above</p>	<p>R4</p>	<p>SO 1 & PDP</p>
COMMENTS/NOTES							

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS & REPORTING	
				SCHEDULE/ FREQUENCY	RESPONSIBLE/ COSTS	SCHEDULE BY REPORT	RESPONSIBLE TEAM/OFFICE
Intermediate Result 1.4 Citizens Better Prepared to Exercise Rights and Responsibilities							
1 Percent of citizens who know where to go to protect their rights (Data analyzed by type of mistreatment and by socio economic and geographical variables)	Definition Appropriate knowledge in this case is defined as follows for physical mistreatment a person should go to the District Attorney a private lawyer the police station the community patrol or the local level central government rep for bad service a person should go to the District Attorney a private lawyer his/her supervisor or the Office of the Ombudsman If respondents identified any of the appropriate offices/persons they are considered as knowing where to go to protect their rights Unit Percent	<i>Baseline Study on Citizen s Participation in Democratic Processes</i> a national level survey conducted by the APOYO Institute under USAID guidance	This indicator is derived from questions 31 and 32 (DC10 DC11) of the USAID national democracy survey (Refer to indicator notes for more detail on the derivation of this indicator)	Annually in December	SO1	R4	SO 1 & PDP
2 Percentage of citizens from disadvantaged groups who know their basic rights and responsibilities (Data analyzed by socio economic geographic variables rights and responsibilities) R4 Reported	Definition People that have high degree of knowledge in both areas rights and responsibilities Knowledge of rights is determined by a person s knowledge of (1) whether each of a set of seven fundamental rights is included in the Constitution and (2) the details of two more specific rights If an individual has knowledge of at least five of these nine rights he/she is defined as having "high level of knowledge " Knowledge of responsibilities is based on awareness of two basic responsibilities (participation and reporting corruption) If an individual has knowledge of both of these responsibilities he/she is defined as having "high level of knowledge " Disadvantaged groups are women indigenous and low education groups Unit Percent	<i>Baseline Study on Citizen s Participation in Democratic Processes</i> a national level survey conducted by the APOYO Institute under USAID guidance	This indicator is derived from questions 28 1 through 28 7 and 29 and 30 for rights and questions 33 and 35 for responsibilities (DC1 through DC9 RC1 and RC3) from the USAID national democracy survey (Refer to indicator notes for more detail on the derivation of this indicator) This indicator is derived from a subsample of women plus quechua/aymara speaking males	Annually in December	SO1	R4	SO1& PDP
COMMENTS/NOTES							

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B Performance Monitoring Plan (PMP) for SO 1

The majority of the performance indicators that have been defined for this strategic objective and its supporting intermediate results (IRs) are drawn from the national level survey on democracy conducted by the APOYO Institute, *Baseline Study on Citizen's Participation in Democratic Processes*. The PMP for SO1 includes indicators used by activity managers to manage for results. To facilitate the USAID/W review, only a selected number of indicators will be reported through the R4. These indicators are shown in bold.

Strategic Objective: Broader Citizen Participation in Democratic Processes

Performance indicators

- **Valid votes cast as a percent of registered voters in elections**
- **Percent of citizens who are active members of at least one civil society organization**
- **Percent of citizens who participate actively in resolving community problems**

Taken as a set, the three indicators capture a comprehensive perspective of "participation in democratic processes" - voting behavior and participation in political processes, strength of formal civil society, and participation in grassroots democratic processes at informal community organizations.

Intermediate Result 1.1: More Effective National Institutions

Indicators

- **Percent of people who have a high degree of confidence in national institutions**
- **Percent of citizens who believe that elections have been free and fair**
- **Number of financial and performance audits conducted and published by the Controller General that meet professional standards**

The first indicator is a proxy of effectiveness. Citizens usually have a sense of their own level of confidence in national institutions based on the performance of these institutions. Tracking confidence, however, is a potentially problematic proxy measure for actual institutional effectiveness for two principle reasons: (1) there is generally a time lag between public perceptions and actual institutional performance and (2) people often form opinions without any firsthand experience with the institution upon which they are commenting. Focusing on "high degree" of confidence assumes that those that have had direct experience will tend to provide more definitive answers. Confidence is also measured by each institution as an additional element of analysis.

The other two indicators try to measure a degree of effectiveness of the electoral institutions and the Controller General.

Intermediate Result 1.2: Greater Access to Justice

Indicators

- **Percent of citizens who believe that the Peruvian courts guarantee a fair trial**

- **Number of incarcerated citizens who are 'unjustly accused of terrorism'³**
- **Preliminary** an indicator focusing on the access to justice provided by legal clinics and/or conciliation centers

The first indicator, which is based on perceptions, is a proxy that intends to reflect the capability of the judiciary system to provide justice for all. The second indicator reflects one facet of the concept of access to justice, which focus on those who were denied a due process. The team is exploring the possibility of a third indicator that will complete the picture of access to justice in Peru. The preliminary indicator will focus on legal clinics or conciliation centers, which are new elements of the judiciary system and particularly directed to low income groups.

Intermediate Result 1.3 Local Governments More Responsive to Constituents

Indicators

- **Percent of citizens who believe that local government is responsive to their needs and demands**
- **Percent of citizens who have a high degree of confidence in local governments**
- **Number of local governments that have formal plans and budgets and have consulted on their contents and priorities with the community**
- **Number of local governments regularly using formally established mechanisms to invite community participation in the decision-making process**

The first indicator is a composite one based on several survey based questions. It tries to capture the concepts of provision of services and transparency. The second indicator suggests that higher confidence is a reflection of accountability. The third indicator captures the participation of citizens in decision-making at local level in targeted local governments. The fourth indicator records the number of targeted local governments that have institutionalized transparent processes. These last two indicators are activity-based.

Intermediate Result 1.4 Citizens Better Prepared to Exercise their Rights and Responsibilities

Indicators

- **Percent of citizens who know where to go to protect their rights**
- **Percent of citizens from disadvantaged groups who know their basic rights and responsibilities**

Based on the preliminary results of the democracy survey, the SO team decided to focus on those groups that demonstrated the least level of knowledge on rights and responsibilities.

Monitoring Issues

The most important monitoring issue is the comparatively heavy reliance on opinion or perception-based indicators to track progress toward SO1 and its supporting intermediate results. In some cases these indicators are either direct measures or strong proxies of the

³ The SO team is considering a reformulation of the term "unjustly" to avoid a prejudgment of the outcome of the process.

result they have been identified to measure. In other cases, the relationship between these indicators and the relevant result is less direct (e.g., IR 1.1). The SO team is considering developing a small number of more direct indicators to supplement the current set of indicators.

USAID/W/LAC Issues

In the 1996 Management Contract Cable (96 SECSTATE 106160, dated May 4, 1996), the LAC Bureau expressed concern that monitoring plans for SO 1 should include indicators that directly measure progress in protection of basic rights and access to justice. Examples of possible indicators were cited, such as

- 1 Length of time detainees are held incommunicado
- 2 Access to attorneys in the preliminary stages of detention
- 3 Incidence of torture
- 4 Trial of civilians in civilian rather than military courts
- 5 Growth of the influence of Ombudsman and Judicial Council

The Mission considered these indicators during the performance monitoring plan (PMP) development, but only the one related to the Ombudsman has been included in the PMP. The other indicators were not included either because they were not direct measures of our program, or there were no reliable, valid and cost-effective data available. During the 1997 R4 review, the LAC Bureau again expressed interest in these indicators. The Mission could satisfy both LAC concerns and PMP requirements by tracking and reporting them separately, to the extent possible as follows:

- 1 **Length of time detainees are held incommunicado** The time the detainees can be held incommunicado is established by the Constitution (art. 2, inc. 24, f). Accordingly, the detainees normally cannot be held incommunicado more than 24 hours. In cases of terrorism, narcotrafficking or espionage, however, detention can last up to fifteen days. This period of preventive detention is used by the authorities to undertake the investigation and present the case to the judge.

USAID/Peru does not use this indicator to measure the performance of its democracy program because this indicator is not directly related to our program and activities. We are not working with the judiciary or with the institutions directly involved in the detention processes (Public Ministry, police and military). Moreover, there is no reliable, systematic information available to measure whether the authorities are complying with the law. Some limited information may be obtained from cases that are being reported to the Ombudsman, or from the NGOs that are working on behalf of those individuals considered "unjustly" accused of terrorism. This information, however, is not necessarily representative, and would not serve as a reliable measure.

- 2 **Access to attorneys in the preliminary stages of detention** By law, every person has the right of access to an attorney from the moment he/she has been summoned or detained by the authorities. The Ministry of Justice is legally obligated to provide free defense to low income people, however, it lacks the resources to provide quality and timely defense to all of these people.

USAID/Peru does not use this indicator because there is no reliable information available at the national level. Access to legal aid, however, is being considered as a possible

indicator, since it is related to some of our program activities (Ministry of Justice legal clinics) USAID is analyzing the possibility of developing an indicator measuring the number of legal aid offices or (public defenders) in relation to the number of poor population. At this point, however, information can only be obtained from those legal aid offices that USAID is supporting (14 located in Lima and Callao)

- 3 **Incidence of torture** The National Coordinator for Human Rights (CNDDHH) monitors torture cases. The US Embassy provides that information through the State Department Report on Human Rights. This indicator is not directly related to our program activities but is being reported in the overview section of the R4.
- 4 **Trial of civilians in civilian rather than military courts** Civilians⁴ can be tried by military courts only in the following three cases: a) war, b) treason related to grave acts of terrorism (*traicion a la patria por terrorismo agravado*), and c) evasion of military service. The major concern here is with respect to the trial of civilians under charges of "grave terrorism." As of June 1997, out of the 3,876 individuals incarcerated for terrorism, 764 civilians were sentenced by a military court with the charge of grave terrorism. Some of these cases are being reviewed by the Pardon Commission and/or are being handled the NGOs supported by USAID to provide legal aid to those "unjustly" incarcerated.

One of the PMP indicators is "the number of incarcerated citizens who are "unjustly"⁵ accused of terrorism, as identified by NGOs and others representing such people (1,048 such cases were identified as of December 1996). The Mission could disaggregate the information by type of process (military or civilian) and include a short discussion of this in the narrative section of the R4.

- 5 **Growth of the influence of Ombudsman and Judicial Council** USAID stays informed about the activities of these institutions and reports on them in the overview section of the R4. In addition, since the USAID program provides direct support to the Ombudsman, the PMP measures Peruvians' confidence in the Ombudsman (along with other key institutions) as a proxy indicator for demonstration of effectiveness. As reported in the R4, the democracy survey carried out in December 1996, showed that Peruvians have a high degree of confidence in the Ombudsman as compared to traditional institutions such as the Judiciary.

⁴ According to the Constitution, the military courts judge military only for offenses under military law (*delitos de funcion*). Retired military officers are civilians under the law. Judgment of retired military officers in military courts for cases different than function crimes is highly questionable.

⁵ During the R4 review, the democracy technical team raised some questions with respect to this indicator and the use of the term "unjustly." The Mission will review the wording of the indicator.

RESULTS TRACKING TABLES

Strategic Objective 1 and Related Intermediate Results

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	BASELINE		TARGETS					
			YEAR	VALUE	1997	1998	1999	2000	2001	
STRATEGIC OBJECTIVE 1 Broader Citizen Participation in Democratic Processes										
<p>1 Percent of citizens who are active members of at least one civil society organization</p> <p>(Data analyzed by socio economic geographical variables and type of organization)</p>	<p>Definition Civil society organizations are defined as any non government organization that is organized around a common interest of its members and that may have cause to interact with government institutions The APOYO survey from which this indicator is derived defined the following types of organizations as CSOs parents meetings women's associations/mother s clubs religious groups professional associations community associations/development committee unions and political groups (the survey also noted "other" groups that meet the definition of a CSO) A person is considered an active member if they determine their own participation in any one organization to be "frequent" (on a subjective 4 step scale ranging from "frequent" to "never")</p> <p>Unit Percent</p>	<p>Baseline Study on Citizen s Participation in Democratic Processes a national level survey conducted by the APOYO Institute under USAID guidance</p>	1996	46						58
<p>2 Valid votes cast as a percent of registered voters</p> <p>(Data analyzed by departments and valid null blank votes)</p> <p>R4 Reported</p>	<p>Definition A registered voter is defined as any person registered on the official voter rolls A valid vote is defined as any ballot other than a blank or null ballot</p> <p>M Municipal P Presidential C Congressional</p> <p>Unit Percent</p>	<p>National Electoral Processes Office (ONPE) Official election results</p>	1995	(P) 61 Ayacucho 40 Lima 67 (C) 36 Ayacucho 25 Lima 37 (M)*52	N/A	N/A	(M) TBD	(P) 70 (C) 55	N/A	
<p>3 Percentage of citizens who actively participate in resolving community problems</p> <p>(Data analyzed by socio economic and geographical variables)</p> <p>R4 Reported</p>	<p>Definition People who participate in 3 or more of the following activities 1) Worked or tried to resolve a community problem 2) Donated money or materials to help in any problem or community improvement 3) Provided his/her labor and 4) Assisted to meetings to resolve any community problem or to carry out any community improvements</p> <p>Unit Percent</p>	<p>Baseline Study on Citizen s Participation in Democratic Processes a national level survey conducted by the APOYO Institute under USAID guidance</p>	1996	32	34	36	39	43	48	
<p>COMMENTS/NOTES *Not an official estimate Socio economic variables include gender age education race mother language economic status Geographic variables include urban/rural Metropolitan Lima north/south coast north/central/south sierra jungle Targets for survey based indicators will be adjusted after completion of second survey and secondary analysis</p>										

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	BASELINE		TARGETS					
			YEAR	VALUE	1997	1998	1999	2000	2001	
Intermediate Result 1 1 More Effective National Institutions										
1 Percent of citizens who believe that elections have been free and fair (Data disaggregated by gender and economic status)	<p>Definition People who respond that last elections have been free and fair for all candidates</p> <p>Unit Percent</p>	<i>Informe de Opinion APOYO Opinion y Mercado monthly opinion polls</i>	1995	51	N/A	60	N/A	70	N/A	
2 Percent of people who have a high degree of confidence in national institutions (Data analyzed by institution socio economic and geographic variables)	<p>Definition National institutions are defined as Congress, Judiciary the Attorney General s Office the three electoral institutions (JNE ONPE IDENTIDAD) the Comptroller General and the Ombudsman s Office (<i>Oficina del Defensor del Pueblo</i>) A respondent is defined as having a high degree of confidence in key national institutions if he/she scored on a 1 7 point confidence scale (where 7 is the highest) for each of eight institutions a minimum of 36 points out of a maximum of 56 points 1/</p> <p>Unit Percent</p>	<p><i>Baseline Study on Citizen s Participation in Democratic Processes</i> a national level survey conducted by the APOYO Institute under USAID guidance</p>	1996	25		28		30	35	
R4 Reported				JNE ONPE RNIEC Ombuds Controller Attorn G Congress Judiciary	35 33 28 30 24 20 15 12					
3 Number of financial and performance audits conducted and published by the Controller General that meet professional standards [Activity based]	<p>Definitions Professional auditing standards are defined as those meeting the technical standards of government auditing as defined in the <i>Normas de Auditoria Gubernamental</i> (NAGU) of the Government of Peru The NAGU is based upon "Generally Accepted Auditing Standards" (GAAS) International Standards on Auditing (ISA) and the "Government Auditing Standards" issued by the International Organization of Supreme Audit Institutions (INTOSAI)</p> <p>Significant reviews not meeting technical definition of "audit" will be discussed in the narrative</p> <p>Unit Number of financial and performance audits conducted and issued</p>	Comptroller General reports provided to USAID	1996	3	9	16	22	35	45	
COMMENTS/ NOTES 1/ Results affected by number of respondents unfamiliar with some of the institutions Targets for survey based indicators will be adjusted after completion of second survey and secondary analysis										

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	BASELINE		TARGETS					
			YEAR	VALUE	1997	1998	1999	2000	2001	
Intermediate Result 1 2 Greater Access to Justice										
1 Percent of citizens who believe that the Peruvian courts guarantee a fair trial (Data analyzed by socio economic and geographical variables)	Definition An individual is defined as believing the courts guarantee a fair trial if she/he answered with a 5 6 or 7 (on a scale of 1 7 where 7 indicating the most positive) to a question directly parallel to the indicator statement Unit Percent	<i>Baseline Study on Citizen s Participation in Democratic Processes</i> a national level survey conducted by the APOYO Institute under USAID guidance	1996 Urban Rural Male Female	11 9 15 10 11						20
2 Number of incarcerated citizens who are unjustly accused of terrorism 2/ (Disaggregated by male female adults and minors and type of process) R4 Reported	Definition USAID/Peru relies on the human rights NGOs primarily those that are members of the Coordinadora Nacional de Derechos Humanos (CNDDHH) - to determine who is innocent of terrorism charges These NGOs consider a person to be innocent when it is clear that (1) the person does not belong to a terrorist organization and (2) has not voluntarily collaborated with any such organization This is based on an exhaustive analysis of information gathered through review of documents and interviews These NGOs provide representation to persons determined to be innocent The number of current cases (minus persons who have been liberated) serves as the baseline and targets Since the NGOs have not reviewed all existing cases of terrorism and additional cases will come into the system the number of confirmed innocents may continue to grow (or at least offset gains made through release of prisoners) Unit Number	<i>Informe Sobre la Situación de los Derechos Humanos</i> , an annual report on the human rights situation in Peru issued by CNDDHH USAID activity reports and information from other local human rights NGOs	1996 Male Female Minors Military P Civil P	1 048	950	825	675	425	250	
3 Preliminary consideration is being given to developing an indicator focusing on legal clinics and/or conciliation centers										
COMMENTS/NOTES 2/ Follow on USAID/W comments the SO team is considering a reformulation of the term unjustly to avoid a prejudgment of the outcome of the process Targets for survey based indicators will be adjusted after completion of second survey and secondary analysis										

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	BASFLINE		TARGETS				
			YEAR	VALUE	1997	1998	1999	2000	2001
Intermediate Result 1.3 Local Governments More Responsive to Constituents									
1 Percent of citizens who believe that local government is responsive to their needs and demands (Disaggregated by geographical location) R4 reported	Definition citizen opinion regarding the responsiveness of local government is determined by the respondent if he/she answers as follows 1) states that the quality provision of services and the treatment of constituents at the Districtal Council and the Provincial Council are good or very good and 2) has a high degree of confidence in district and provincial municipalities (scores >=5 on a confidence scale of 1-7, where 7 is the highest) and 3) states that among several institutions the municipality best addressed community needs Unit Percent	<i>Baseline Study on Citizen s Participation in Democratic Processes</i> a national level survey conducted by the APOYO Institute under USAID guidance	1996 Male Female A/B D	14 11 14 21 12	15	18	22	27	33
2 Percent of citizens who have high degree of confidence in local governments (Disaggregated by geographical location)	Definition A respondent is defined as having a high degree of confidence in local governments if he/she scored on a 1-7 point confidence scale (where 7 is the highest) at least 5 on each of the two confidence questions referred to districtal municipality and provincial municipality Unit Percent	<i>Baseline Study on Citizen s Participation in Democratic Processes</i> APOYO Institute	1996	29					43
3 Number of local governments that have formal plans and budgets and have consulted on the content and priorities of these plans and budgets with the community [Activity based]	Definition A local government is defined as having formal plans and budgets in place if they have a program of activities with objectives and targets an implementation schedule the commitment of organizations responsible for implementation and the necessary human financial and material resources Consultation with the community is determined by the level of involvement of grassroots community organizations in developing and reviewing plans and budgets (consultation mechanisms include popular assemblies open council sessions fora/debates and coordination working group meetings) Unit Number (percent based on number of targeted municipalities)	INADE LGD semi annual reports <i>Local Government Development Project Survey</i> a targeted regional survey conducted by the APOYO Institute under USAID guidance	1996	80	99	138	173	200	240
4 Number of local governments regularly using formally established mechanisms to invite community participation in the decision making process (Activity based)	Definition Formally established mechanisms refer to vehicles for community participation that are established by the decree of the relevant local government Such mechanisms might include community assemblies committees town meetings and neighborhood committees Regular use is defined as utilizing one or more formal mechanisms at least twice a year Unit Percent (percent based on number of targeted municipalities)	INADE LGD semi annual reports <i>Local Government Development Project Survey</i> a targeted regional survey conducted by the APOYO Institute under USAID guidance	1996	88	108	146	173	200	240
COMMENTS/NOTES Targets for survey based indicators will be adjusted after completion of second survey and secondary analysis Targets for activity based LGD indicators will be adjusted depending upon actual funding									

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	BASELINE		TARGETS					
			YEAR	VALUE	1997	1998	1999	2000	2001	
Intermediate Result 1.4 Citizens Better Prepared to Exercise Rights and Responsibilities										
<p>1 Percent of citizens who know where to go to protect their rights</p> <p>(Data analyzed by socio economic and geographic variables)</p>	<p>Definition Appropriate knowledge in this case is defined as follows for physical mistreatment a person should go to the District Attorney a private lawyer the police station the community patrol or the local level central government rep for bad service a person should go to the District Attorney a private lawyer his/her supervisor or the Office of the Ombudsman If respondents identified any of the appropriate offices/persons they are considered as knowing where to go to protect their rights</p> <p>Unit Percent</p>	<p><i>Baseline Study on Citizen s Participation in Democratic Processes</i> a national level survey conducted by the APOYO Institute under USAID guidance</p>	<p>1996</p> <p>Male</p> <p>Female</p> <p>Quechua</p> <p>Spanish</p>	<p>58</p> <p>73</p> <p>57</p>						74
<p>2 Percentage of citizens from disadvantaged groups who know their basic rights and responsibilities</p> <p>(Data analyzed by socio economic and geographic variables, rights and responsibilities)</p> <p>R4 reported</p>	<p>People that have "high degree of knowledge" in both areas rights and responsibilities Knowledge of rights is determined by a person s knowledge of (1) whether each of a set of seven fundamental rights is included in the Constitution and (2) the details of two more specific rights If an individual has knowledge of at least five of these nine rights he/she is defined as having "high level of knowledge " Knowledge of responsibilities is based on awareness of two basic responsibilities (participation and reporting corruption) If an individual has knowledge of both of these responsibilities, he/she is defined as having "high level of knowledge " Disadvantaged groups are women indigenous and low education groups</p> <p>Unit Percentage</p>	<p><i>Baseline Study on Citizen s Participation in Democratic Processes</i> a national level survey conducted by the APOYO Institute under USAID guidance</p>	<p>1996</p> <p>Male</p> <p>Female</p>	<p>19</p> <p>27</p> <p>18</p>	21	24	28	32	35	
COMMENTS/NOTES Targets for survey based indicators will be adjusted after completion of second survey and secondary analysis										

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C Results Tracking Tables (RTT) for SO1

Baselines were established for all the indicators defined in the PMP. Targets were estimated during the preparation of the FY96-99 R4, thus, assuming full funding of FY99 request levels. Given the uncertainty of funding levels for the next years, targets will be adjusted accordingly.

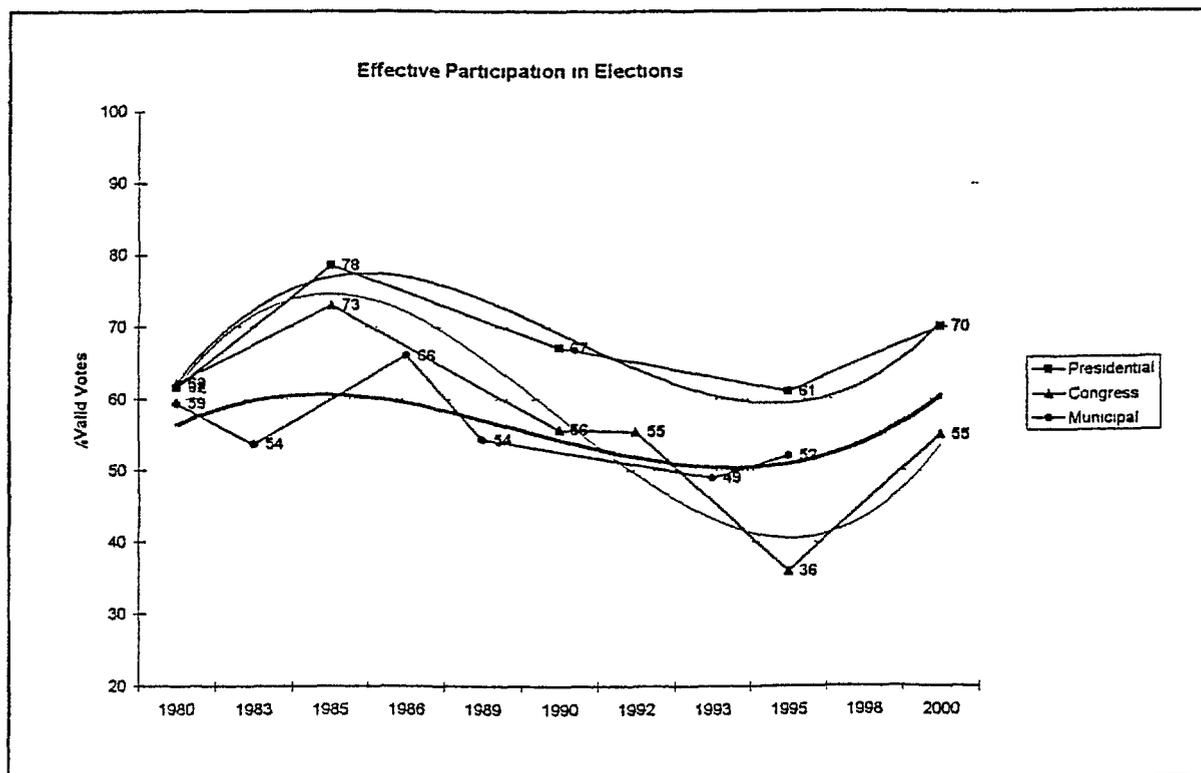
Rationale for Targets

Targets for the indicators based on the democracy survey were established using the variability of the indicator across the socio-demographic and geographic variables as a basis. The maximum potential trend of the indicator was assumed to be the value attained by the best group, and the lowest trend, by the baseline plus the standard error. The target was set assuming a potential intervention on the worst groups. The rationale for the target setting for indicators that followed a different methodology is summarized below.

Strategic Objective Indicators

Valid votes cast as a percent of registered voters

Targets were established based on historic data from the presidential, congressional and municipal elections taken place since 1980. The target is to obtain the maximum effective



participation in elections obtained in previous ones. USAID assistance to the electoral bodies will correct the difficulties presented in the last election, which was in part the cause for the high number of null ballots. Civic awareness campaigns will contribute to the reduction of blank ballots and the reduction of absenteeism.

Intermediate Result indicators

Percent of citizens who believe that elections have been free and fair

Targets were based on past trends and comparisons with other countries in Latinamerica

Number of financial and performance audits conducted and published by the Controller General that meet professional standards

Targets were established by the Controller General based on the results of its improved capacity

Number of incarcerated citizens who are "unjustly" accused of terrorism

Targets were based on historical data on the number of persons liberated after the revision of their cases by the NGOs supported by USAID. The final target for 2004 (last year of the life of SO1) is zero

Local government related indicators

Targets were based on experience gained with the Local Government Development activity and the potential of the activity to influence local governments performance

ANNEX I-1 DEMOCRACY SURVEY QUESTIONNAIRE

APOYO OPINIÓN Y MERCADO S A
Rep de Panama 6380 /Miraflores- Telf 469076

615-58-96

Buenos días Soy encuestador de APOYO OPINION Y MERCADO S A (MOSTRAR CREDENCIAL) Estamos haciendo una encuesta sobre la opinion de la poblacion sobre diferentes aspectos de la situacion nacional y quisteramos pedirle que colabore con nosotros dedicandonos una media hora de su tiempo Los datos que usted nos dara son confidenciales

1 (A4) En su opinion ¿cual es el problema mas serio que tiene el Peru? (ESPONTANEO, SOLO UNA RESPUESTA)

Bajos ingresos	01	Pobreza	08
Corrupcion	02	Situacion economica	09
Delincuencia comun	03	Terrorismo /violencia politica	10
Drogadiccion	04	Violacion de derechos humanos	11
Falta de empleo	05	No sabe	88
Medio ambiente	06	Otro especificar _____	—
Narcotrafico	07		(codigo en oficina)

2 Comenzaremos hablando de su (comunidad/barrio/vecindario)

EN ESTE ULTIMO AÑO	Sí	No	NS
2 1 (CP5) ¿Ha trabajado o tratado usted de resolver algun problema de su (comunidad/barrio/vecindario)	1	2	8
2 2 (CP5a) ¿Ha donado usted dinero o materiales para ayudar con algún problema o con alguna mejora en su (comunidad/barrio/vecindario)?	1	2	8
3 2 3 (CP5b) ¿Ha dado usted su propio trabajo o mano de obra?	1	2	8
2 4 (CP5c) ¿Ha asistido usted a reuniones para resolver algún problema o para hacer alguna mejora en su (comunidad/barrio/vecindario)?	1	2	8

3 Le voy a mencionar varios grupos y organizaciones Por favor, dígame si usted asiste a reuniones de ellas frecuentemente, de vez en cuando, casi nunca o nunca (SI NO CONTESTO NINGUNA DE LAS QUE MENCIONO, PREGÚNTELE SI PARTICIPA EN ALGÚN TIPO DE ORGANIZACION, CUÁL Y ESCRÍBALA EN OTRA)

	Frecuente-mente	De vez en cuando	Casi nunca	Nunca	NS
3 1 (CP7) Asociación de padres de familia	1	2	3	4	8
3 2 (CP16) Asociación o club deportivo	1	2	3	4	8
3 3 (CP13) Asociación de mujeres, club de madres, comedor popular, vaso de leche	1	2	3	4	8
3 4 (CP6) Comunidad parroquial católica o comunidad religiosa no católica	1	2	3	4	8
3 5 (CP9) Agrupaciones profesionales	1	2	3	4	8
3 6 (CP3) Organizaciones vecinales, comité de desarrollo, etc	1	2	3	4	8
3 7 (CP10) Sindicatos	1	2	3	4	8
3 8 (CP17) Agrupaciones o partidos politicos	1	2	3	4	8
3 9 (CP30) OTRA Especifique	1	2	3	4	8

4 (CP31) ¿Durante este último año ha ocupado algún cargo en la directiva de esa(s) organizacion(es)?

Sí, en una	1	No sabe	8
Sí, en dos o más	2	No aplica (no participa)	9
No	3		

5 (CP15a) ¿Cuanta influencia cree usted tener sobre lo que deciden las organizaciones o asociaciones de su (comunidad/barrio/vecindario) ¿Diría usted que tiene mucha influencia, poca o nada de influencia?

Mucha	1	No sabe	8
Poca	2	No aplica (no participa)	9
Nada	3		

6 (CP13a) ¿Existen organizaciones de mujeres en su comunidad?

Sí	1	No	2	No sabe	8
----	---	----	---	---------	---

7 (CP20) ¿Cree usted que desde que existen organizaciones de mujeres en su (comunidad/barrio/vecindario), las mujeres de su familia tienen mas influencia en los asuntos de la familia, tienen menos influencia o tienen la misma?

Más influencia	1	No sabe	8
Menos influencia	2	No aplica (no hay grupos de mujeres)	9
La misma	3		

8 A veces la gente y las comunidades tienen problemas que no pueden resolverse por sí solos Algunos tratan de resolver tales problemas pidiéndole ayuda a algún funcionario o agencia del gobierno

	Sí	No	NS
8 1 (CP2) ¿Alguna vez usted, solo o en grupo, ha pedido ayuda o cooperación de algún Congresista de la República?	1	2	8
8 2 (CP3d) ¿Alguna vez usted, solo o en grupo, ha pedido ayuda o cooperación de su Alcalde distrital?	1	2	8
8 3 (CP3p) ¿Alguna vez usted, solo o en grupo, ha pedido ayuda o cooperación de su Alcalde Provincial?	1	2	8
8 4 (CP4) ¿Alguna vez usted, solo o en grupo, ha pedido ayuda o cooperación de algún Ministerio u oficina del gobierno nacional?	1	2	8

9 (IT1) Hablando en general de la gente de su (vecindario, barrio o comunidad) ¿diría usted que la gente en general es muy confiable, algo confiable, poco confiable o nada confiable?

Muy confiable	1	Nada confiable	4
Algo confiable	2	No sabe	8
Poco confiable	3		

10 (IT2) ¿Cree usted que la mayoría de las veces la gente se preocupa solo por sí misma, o cree que la mayoría de las veces la gente trata de ayudar al prójimo?

Se preocupa por sí misma	1	Trata de ayudar al prójimo	2	No sabe	8
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11 (IT3) ¿Cree usted que la mayoría de la gente trataría de aprovecharse de usted si se les presentara la oportunidad, o cree que no se aprovecharían?

Sí se aprovecharían	1	No se aprovecharían	2	No sabe	8
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Ahora le voy a mostrar una tarjeta que contiene una escalera de 7 gradas (MOSTRAR TARJETA A) cada grada indica un puntaje que va de 1, que significa NADA hasta 7, que significa MUCHO Por ejemplo, si yo le preguntara hasta que punto le gusta ver television, si a usted no le gusta NADA, elegiria la grada numero 1, y si por el contrario le gusta MUCHO ver television escogeria la grada número 7 Si su opinión está entre NADA y MUCHO usted elegiría una de las gradas del medio Entonces ¿hasta qué punto le gusta ver televisión? Léame (señaleme) el numero (ASEGURESE QUE EL ENTREVISTADO ENTIENDA CORRECTAMENTE)

12 Nos gustaría hablar acerca del sistema político que tenemos en el Perú, es decir, del conjunto de instituciones como el Congreso, el Poder Judicial, la Presidencia, etc Le voy a leer una serie de preguntas y quisiera que me dijera en que punto se ubicaría usted en esta escala de 7 gradas que le estov mostrando (MOSTRAR TARJETA A)

	Nada						Mucho	NS
12 1 (B3) ¿Hasta que punto cree usted que los derechos basicos del ciudadano están bien protegidos por el sistema politico peruano?	1	2	3	4	5	6	7	8
12 2 (B4) ¿Hasta que punto se siente orgulloso de vivir bajo el sistema político peruano?	1	2	3	4	5	6	7	8
12 3 (B6) ¿Hasta qué punto piensa que se debe apoyar al sistema político peruano?	1	2	3	4	5	6	7	8
12 4 (B1) ¿Hasta qué punto cree que los juzgados peruanos garantizan un juicio justo?	1	2	3	4	5	6	7	8
12 5 (B2) ¿Hasta qué punto siente usted confianza en las instituciones políticas del Peru?	1	2	3	4	5	6	7	8

13 Ahora le voy a mencionar una serie de instituciones y quisiera que me dijera cuánta confianza tiene en ellas Continuaremos con la escalera de 7 gradas (MOSTRAR TARJETA A) y quisiera que me dijera en qué punto se ubica usted Si usted no confía nada en el Congreso escoja el número 1 y si el Congreso le inspira mucha confianza escoja el número 7

	Nada						Mucho	NS
13 1 (B13) Congreso	1	2	3	4	5	6	7	8
13 2 (B27) Poder Judicial	1	2	3	4	5	6	7	8
13 3 (B12) Fuerzas Armadas	1	2	3	4	5	6	7	8
13 4 (B18) Policía Nacional	1	2	3	4	5	6	7	8
13 5 (B22) Municipio Distrital	1	2	3	4	5	6	7	8
13 6 (B23) Municipio Provincial	1	2	3	4	5	6	7	8
13 7 (B20) Iglesia	1	2	3	4	5	6	7	8
13 8 (B21) Periodistas	1	2	3	4	5	6	7	8

14 Continuaremos trabajando con la misma tarjeta, sólo que ahora vamos a hablar de otras instituciones, algunas menos conocidas que otras ¿Usted ha oído hablar de la Fiscalía de la Nacion? (SI RESPONDE SI PREGUNTARLE CUÁNTA CONFIANZA TIENE EN ELLA) (CONTINUAR CON ESTE MISMO SISTEMA PARA TODAS LAS INSTITUCIONES QUE SIGUEN A CONTINUACION)

	Nada						Mucho	NS	No conoce
14 1 (B15) Fiscalía de la Nacion	1	2	3	4	5	6	7	8	9
14 2 (B11) Jurado Nacional de Elecciones (JNE)	1	2	3	4	5	6	7	8	9
14 3 (B17) Defensoria del Pueblo	1	2	3	4	5	6	7	8	9

14 4 (B28) Registro Nacional de Identificación y Estado Civil (IDENTIDAD)	1	2	3	4	5	6	7	8	9
14 5 (B11a) Oficina Nacional de Procesos Electorales (ONPE)	1	2	3	4	5	6	7	8	9
14 6 (B15) Contraloría General de la República	1	2	3	4	5	6	7	8	9

15 (M1) Hablando en general del actual gobierno, diría Ud que el trabajo que está realizando el presidente Fujimori es

Muy bueno	1	Malo	4
Bueno	2	Muy malo	5
Regular	3	No sabe	8

16 (M1a) ¿Estaría usted de acuerdo con que el presidente Fujimori fuera reelecto, es decir, que volviera a gobernar el país por un tercer período?

Sí	1	No	2	No sabe	8
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AHORA VAMOS A HABLAR SOBRE LA MUNICIPALIDAD DISTRITAL Y LA MUNICIPALIDAD PROVINCIAL

17 (NP1) ¿Ha tenido la oportunidad de asistir a un cabildo abierto, una sesión municipal o alguna reunión convocada por la alcaldía (distrital o provincial) durante el último año?

Sí	1	No	2	No sabe	8
----	---	----	---	---------	---

18 (SGL1d) Según usted, los servicios que la municipalidad DISTRITAL está dando a la comunidad son (MOSTRAR TARJETA B)

Muy buenos	1	Malos	4
Buenos	2	Muy malos	5
Regulares	3	No sabe	8

19 (SGL2d) ¿Cómo considera que le han tratado a usted o a sus vecinos cuando han ido a la municipalidad de su DISTRITO a hacer algún trámite? ¿Le han tratado muy bien, bien, regular, mal o muy mal? (MOSTRAR TARJETA C)

Muy bien	1	Mal	4
Bien	2	Muy mal	5
Regular	3	No sabe	8

20 (LGL3d) ¿Estaría dispuesto a pagar más impuestos a la Municipalidad DISTRITAL para que ésta pueda prestar mejores servicios municipales o cree usted que no vale la pena pagar más?

Más impuestos	1	No vale la pena pagar más	2	NS	8
---------------	---	---------------------------	---	----	---

21 (SGL1p) Según usted, los servicios que la Municipalidad PROVINCIAL está dando a la comunidad son (MOSTRAR TARJETA B)

Muy buenos	1	Malos	4
Buenos	2	Muy malos	5
Regulares	3	No sabe	8

22 (SGL2p) ¿Cómo considera que le han tratado a usted o a sus vecinos cuando han ido a la Municipalidad PROVINCIAL a hacer algún trámite? ¿Le han tratado muy bien, bien, regular, mal o muy mal? (MOSTRAR TARJETA C)

Muy bien	1	Mal	4
Bien	2	Muy mal	5
Regular	3	No sabe	8

23 (LGL1) Según usted, quién cree que ha solucionado mejor los problemas de su comunidad ¿el Gobierno Central? ¿el Congreso? ¿la Municipalidad? (ESPECIFICAR SI ES LA MUNICIPALIDAD DISTRITAL O LA MUNICIPALIDAD PROVINCIAL)

El municipio distrital	1	El gobierno central	5
El municipio provincial	2	Ninguno de ellos, otro	7
Ambas, municipio distrital y provincial	3	NS	8
El Congreso	4		

24 (LGL2) ¿Cree usted que el gobierno debe dar mas obligaciones y más dinero a las municipalidades distritales y provinciales o debemos dejar que el gobierno central asuma más obligaciones y servicios municipales?

Mas a la municipalidad (distrital o provincial)	1	Más a la municipalidad si dan mejores servicios	4
Mas al gobierno central	2	No sabe	8
No cambiar nada	3		

AHORA, PARA CAMBIAR DE TEMA, LE HABLARÉ DE ALGUNOS PROBLEMAS DE VIOLENCIA Y QUE HACE USTED PARA SOLUCIONARLOS

25 (AJ1) Cuando a usted o a sus vecinos les han robado o hecho algún daño ¿a quién han recurrido primero? (respuesta espontánea)

A la policía	01	A nuestros vecinos	06
Al serenazgo	02	A una organización de la comunidad (no ronda)	07
A la ronda	03	Otro	77
Al municipio	04	No sabe	88
Al juez de paz	05	No aplica, nunca han tenido problemas (PASAR A PREGUNTA 27)	99

26 (AJ2) Cuando usted o sus vecinos recurren a esa organización o institución, por lo general lo atienden muy bien, bien, regular, mal o muy mal (MOSTRAR TARJETA C)

Muy bien	1	Mal	4
Bien	2	Muy mal	5
Regular	3	No sabe	8

27 (AJ3) ¿Si usted tuviera problemas que resolver problemas como robos, agresión, etc ¿cuál piensa que es la mejor alternativa para solucionarlos? (LEER LAS ALTERNATIVAS)

Resolverlos con nuestras propias manos	1	Otro	7
Revolverlos a través de las organizaciones comunales	2	No sabe	8
Resolverlos a través de los juzgados	3		

28 Hablando de nuestros derechos como ciudadanos, a continuación le voy a leer varias frases y me gustaría saber dos cosas PRIMERO, SI CREE QUE EL DERECHO QUE YO LE MENCIONO ESTÁ EN NUESTRA CONSTITUCIÓN y, SEGUNDO, SI CREE QUE ESTE DERECHO ESTÁ PROTEGIDO EN EL PERÚ (HACER LAS DOS PREGUNTAS PARA CADA FRASE)

	¿Esta en la Constitución?			¿Está protegido en el Perú?				
		Sí	No	NS		Sí	No	NS
28 1 (DC1) El derecho de expresar públicamente sus ideas	DC1a	1	2	8	DC1b	1	2	8
28 2 (DC2) El derecho a la igualdad de oportunidades	DC2a	1	2	8	DC2b	1	2	8

28 3 (DC3) El derecho a no ser víctima de violencia moral, psíquica o física	DC3a	1	2	8	DC3b	1	2	8
28 4 (DC4) El derecho a que si ha sido detenido, la autoridad señale sin demora el lugar donde esta detenido	DC4a	1	2	8	DC4b	1	2	8
28 5 (DC5) El derecho a que cualquier entidad publica le de la información que usted solicite (salvo informaciones que afecten la seguridad nacional)	DC5a	1	2	8	DC5b	1	2	8
28 6 (DC6) El derecho a pedir el cambio de una autoridad si es que no cumple con sus funciones	DC6a	1	2	8	DC6b	1	2	8
28 7 (DC7) El derecho a que las autoridades informen de las acciones y gastos que hagan, a los ciudadanos que las eligieron	DC7a	1	2	8	DC7b	1	2	8

29 (DC8) Si usted solo o con sus vecinos hace alguna petición por escrito a la autoridad ¿Cree usted que esa autoridad está obligada o no está obligada a contestarle también por escrito dentro de un plazo razonable?
 Si está obligada 1 No está obligada 2 No sabe 8

30 (DC9) Si a usted lo apresaran por cualquier motivo que no sea problemas de narcotráfico, espionaje o terrorismo, sabe cuánto tiempo lo pueden detener sin una orden judicial?
 No más de 24 horas 1 Cualquier otra respuesta 2 No sabe 8

31 (DC10) ¿Si un servidor público (policía, funcionario público, etc) lo maltrata ¿sabe dónde podría ir a quejarse? (SOLO UNA RESPUESTA)

Fiscalía o juzgado de paz letrado	01	Ronda	06
Defensoría del Pueblo	02	Comisaría	07
Municipio	03	No me quejaría porque no me harían caso	08
Organización de derechos humanos	04	Otro (especifique) _____	77
Abogado particular	05	No sabe	88

32 (DC11) Puede decirme ¿en qué tipo de maltrato estuvo pensando usted cuando le hice la pregunta?
 En un maltrato físico (si estuvo pensando en golpes, tortura, etc) 1
 En una mala atención (si estuvo pensando en gritos, demora en los trámites, etc) 2
 Pensó en ambos tipos de maltrato 3
 No sabe 8

33 (RC1) Cree usted que participar en los asuntos del gobierno municipal es un deber de los ciudadanos o es algo que podemos hacer sólo si nos interesa

Es un deber	1	Otro	7
Sólo si nos interesa	2	No sabe	8
Participar es un deber y un derecho	3		

34 (RC2) Según usted, la mayoría de las personas votan en las elecciones sólo porque lo manda la ley o porque es una manera de participar en las decisiones del país

Sólo porque es obligatorio	1	Ninguna de las anteriores	3
Porque es una manera de participar	2	No sabe	8

35 (RC3) Hablando de los actos de corrupcion (por ejemplo que un servidor público pida coimas para hacer trámites mas rápidos), le voy a leer tres frases y quisiera que me dijera con cuál de ellas se identifica mas (SOLO LEER LAS TRES PRIMERAS)

Denunciaría el hecho porque tengo derecho a hacerlo	1		
Denunciaría el hecho porque es mi responsabilidad	2		
No lo denunciaría porque hacerlo es una perdida de tiempo	3	Otro	7
Denunciaría el hecho porque es mi derecho y mi responsabilidad	4	NS	8

36 (TR1) Si usted tuviera que ubicarse en algunas de estas razas ¿a cual de las siguientes diría que pertenece? (MOSTRAR TARJETA D)

Mestiza	1	Oriental	5
Blanca	2	Otro	7
Indígena	3	NS	8
Negra	4		

37 (TR2) ¿Alguna vez se ha sentido discriminado por su raza?

Sí	1	No	2	NS	8
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AHORA VAMOS A CAMBIAR A OTRA TARJETA ESTA NUEVA TARJETA TIENE UNA ESCALERA DE 10 GRADAS, QUE VAN DE 1 A 10 (MOSTRAR TARJETA E) SI USTED ESCOGE EL NUMERO 1 SIGNIFICA QUE DESAPRUEBA MUCHO LA AFIRMACION QUE LE LEO, SI USTED ESCOGE EL NÚMERO 10 SIGNIFICA QUE LA APRUEBA MUCHO

38 Existen personas que siempre hablan mal del sistema de gobierno peruano Ahora le voy a leer una serie de preguntas sobre algunas cosas que estas personas pueden hacer y quisiera que me dijera hasta que punto aprobaria o desaprobaria que dichas personas tengan el DERECHO de realizar estas acciones (MOSTRAR TARJETA E) Si desaprueba mucho escoja el número 1 y si aprueba mucho escoja el número 10

	Desa- prueba Mucho										Aprue- ba Mucho	NS
38 1 (D1) ¿Hasta qué punto aprueba o desaprueba que estas personas que sólo hablan mal de la forma de gobierno peruano tengan DERECHO a votar?	1	2	3	4	5	6	7	8	9	10		88
38 2 (D2) Pensando siempre en estas personas ¿Hasta qué punto aprueba o desaprueba que ellas tengan DERECHO a realizar marchas o protestas pacíficas para expresar sus puntos de vista?	1	2	3	4	5	6	7	8	9	10		88
38 3 (D3) ¿Hasta qué punto usted aprueba o desaprueba que estas personas también tengan DERECHO a postular a cargos públicos?	1	2	3	4	5	6	7	8	9	10		88
38 4 (D4) ¿Hasta qué punto usted aprueba o desaprueba que estas personas tengan el DERECHO DE SALIR en televisión para hacer un discurso que exprese sus puntos de vista?	1	2	3	4	5	6	7	8	9	10		88

39 Continuamos trabajando con la tarjeta de 10 gradas (MOSTRAR TARJETA E) A continuación le voy a leer una lista de algunas acciones o cosas que las personas pueden hacer Quisiera que me dijera hasta qué punto

aprobaría o desaprobaría que las personas participen en las acciones que le voy a leer a continuación (AHORA ESTAMOS HABLANDO DE LAS PERSONAS EN GENERAL Y YA NO DE LAS PERSONAS QUE SOLO HABLAN MAL DEL SISTEMA POLITICO PERUANO)

	Desa- prueba Mucho									Aprue- ba Mucho	NS
39 1 (E5) Que las personas participen en manifestaciones permitidas por la ley como una forma de protestar	1	2	3	4	5	6	7	8	9	10	88
39 2 (E15) Que las personas participen en un cierre o bloqueo de calles para conseguir un objetivo politico	1	2	3	4	5	6	7	8	9	10	88
39 3 (E14) Que las personas invadan propiedades privadas (casas o terrenos desocupados) para conseguir un objetivo politico	1	2	3	4	5	6	7	8	9	10	88

40 CAMBIANDO DE TEMA, ALGUNAS PERSONAS DICEN QUE BAJO CIERTAS CIRCUNSTANCIAS SE PUEDE JUSTIFICAR UN GOLPE MILITAR Y OTROS DICEN QUE NO SE JUSTIFICA EN NINGÚN CASO AHORA LE VOY A LEER UNA SERIE DE AFIRMACIONES, Y ME GUSTARÍA QUE ME DIJERA SI ESTÁ O NO DE ACUERDO CON ELLAS

40 1 (JC10) ¿Usted cree que se justificaría o no se justificaría un golpe militar para resolver mejor los problemas economicos del país?

Si justificaría 1 No justificaría 2 No sabe 8

40 2 (JC11) ¿Usted cree que se justificaría o que no se justificaría un golpe militar para resolver mejor los problemas de violencia del país?

Si justificaría 1 No justificaría 2 No sabe 8

40 3 (JC12) Aparte de las situaciones que le acabo de mencionar ¿usted cree que existen situaciones que justifiquen un golpe militar o no cree que exista ninguna razón para justificar un gobierno militar?

Si se puede justificar 1 No se justificaría en ningún caso 2 No sabe 8

41 (JC13) El Congreso fue cerrado el 5 de abril de 1992 ¿Estuvo usted de acuerdo o en desacuerdo con esa medida?

De acuerdo 1 En desacuerdo 2 No sabe 8

42 (JC14) Quisiera saber si ahora estaría usted de acuerdo con que el Presidente volviera a cerrar el Congreso si él lo cree necesario

De acuerdo 1 En desacuerdo 2 No sabe 8

43 Quisiera que me dijera si recuerda

	Resp Correcta	Resp Incorrecta	NS
43 1 (GI1) ¿Quién es el presidente de Estados Unidos? (Clinton)	1	2	8
43 2 (GI2) ¿Quién es el presidente de Argentina? (Menem)	1	2	8
43 3 (GI3) ¿Cuál es el numero de congresistas en el Perú? (120)	1	2	8
43 4 (GI4) ¿Existe una "Ley de violencia domestica" en el Perú? (Si)	1	2	8

44 (DP1) ¿Cuál cree que es la mejor alternativa de demarcación política para el Perú por departamentos o por regiones?

Por departamentos	1	Por regiones	2	No sabe	8
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45 (Vb2a3) ¿Quisiera que me dijera ¿por quien votó en las elecciones presidenciales de 1995?

Alberto Fujimori/C90-NM	01	Otros candidatos	07
Javier Pérez de Cuéllar/UPP	02	Blanco	77
Mercedes Cabanillas/APRA	03	Viciado	78
Alejandro Toledo/CODE	04	NS	88
Ricardo Belmont/OBRAS	05	No aplica, no votó	99
Raúl Díez Canseco/AP	06		

46 (Vb2a1) ¿Por cuál agrupación política votó usted para congresista en las elecciones de 1995?

Cambio 90 / Nueva Mayoría	01	Obras	09
Unión por el Perú	02	IU	10
APRA	03	Otro	11
FIM	04	Blanco	77
CODE / País Posible	05	Viciado	78
Acción Popular (AP)	06	No sabe	88
Partido Popular Cristiano	07	No aplica, no voto	99
Renovación	08		

DATOS DE CONTROL

(NC) NÚMERO DEL CUESTIONARIO (asignado en la oficina) _____

(REG) REGION (asignado en la oficina)

Costa Norte	1	Sierra Centro y Trapecio Andino	5
Lima	2	Sierra Sur	6
Costa Sur	3	Selva	7
Sierra Norte	4		

DPTO (departamento) _____ (asignado por el encuestador)

PROV (provincia) _____ (asignado por el encuestador)

DIST (distrito) _____ (asignado por el encuestador)

LOCAL (c p m) _____ (asignado por el encuestador)

POBDPTO (población del departamento) _____ (asignado en la oficina)

POBPROV (población de la provincia) _____ (asignado en la oficina)

POBDIST (población del distrito) _____ (asignado en la oficina)

POBLOC (población del C P M) _____ (asignado en la oficina)

ZONA (asignado en la oficina) Urbana 1 Rural 2

Muchas gracias por su colaboración, ahora con la finalidad de agrupar su opinión con la de otras personas como usted desearíamos saber

(SEXO) Hombre 1 Mujer 2

25

(EDAD) ¿Cuántos años tiene (cumplidos)? (ANOTAR EL NUMERO EXACTO, Y 88 EN CASO DE QUE NO RESPONDA)

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(EDU1) ¿Cuál es su grado de educación?

Ninguna / Primaria	1	Superior universitaria completa / postgrado	4
Secundaria completa	2	No sabe	8
Superior técnica / universitaria incompleta	3		

(EDU2) ¿Cuál fue el último año de educación que usted aprobó?

	0	1	2	3	4	5	6	7	8	9
Primaria	0	1	2	3	4	5	6			
Secundaria		7	8	9	10	11				
Superior		12	13	14	15	16	17	18	19	20

(LENGa) ¿Qué idioma ha hablado en su casa desde pequeño?

Castellano	1	Otro (nativo)	4
Quechua	2	Otro (extranjero)	5
Aymara	3	No sabe	8

(LENGb) ¿Además del castellano, habla usted otro idioma con su familia?

Sí	1	No (PASA A LA PREGUNTA Q3/RELIGIÓN)	2	No sabe	8
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(LENGc) ¿Cuál otro idioma?

Castellano	1	Otro (extranjero)	5
Quechua	2	No sabe	8
Aymara	3	No aplica (SÓLO HABLA CASTELLANO)	9
Otro (nativo)	4		

(Q3) ¿Cuál es su religión?

Católica	1	Otra	7
Evangélica	2	No sabe	8
Ninguna	4		

(Q11) ¿Cuál es su estado civil?

Soltero/a	1	Separado/a	5
Casado/a	2	Viudo/a	6
Conviviente	3	No sabe	8
Divorciado	4		

(Q12) ¿Cuántos hijos tiene ? (ANOTAR EL NUMERO EXACTO, 00 SI NO TIENE HIJOS Y 88 EN CASO DE QUE NO RESPONDA)

--	--

Como le dije, estas preguntas se hacen solamente para ayudarnos a dividir las entrevistas en grupos. Le voy a agradecer que me diga si tiene los siguientes artefactos

	SI	NO	NS
(R1) TV	1	2	8
(R3) Refrigeradora	1	2	8

(R4) Teléfono	1	2	8
(R5) Automóvil (de los últimos 5 años)	1	2	8
(R6) Lavadora	1	2	8

(NB1) Número de baños dentro de la vivienda	
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(EJH) Educación del jefe del hogar

Ninguna / Primaria	1	Superior universitaria completa / postgrado	4
Secundaria completa	2	No sabe	8
Superior técnica / universitaria incompleta	3		

Estas son características típicas por NSE Te ayudarán a marcar una letra de acuerdo a lo que determines por observación las características no se tienen que dar en su totalidad, se deben considerar como parámetros, mas no como únicos

Muy bajo	Vivienda sin terminar, piso de tierra
Bajo	Piso de cemento, pintura deteriorada
Medio	Acabados sencillos, piso terminado, pared sencilla
Alto	Acabado de lujo, lunas polarizadas, intercomunicador

Observación de vivienda 1 (D) 2 (C) 3 (B) 4 (A)

Transferecia del estimado de oficina 1 (D) 2 (C) 3 (B) 4 (A)

Finalmente, como tienen que supervisar mi trabajo y ver si realmente hice una encuesta en esta zona, desearía que me proporcione los siguientes datos

(DECIR AL ENCUESTADO QUE SU NOMBRE SÓLO ES NECESARIO PARA LA SUPERVISIÓN DE LA ENCUESTA Y QUE SI DESEA NO TIENE QUE DAR SU APELLIDO)

Distrito _____ Zona _____ Manzana _____
Nombre _____ Encuestador _____ Fecha _____
Dirección _____ Supervisor _____ Fecha _____

ANNEX I-2: METHODOLOGY FOR THE CONSTRUCTION OF SO1 SURVEY BASED INDICATORS

Metodología para la Construcción de Indicadores

El objetivo principal del presente estudio fue diseñar y conducir una encuesta de opinión a nivel nacional con el fin de obtener una base de datos sobre los indicadores propuestos por USAID/Peru para medir cuantitativamente la realización del objetivo estratégico (SO) sus resultados intermedios (IR)

SO1 MAYOR PARTICIPACION CIUDADANA EN PROCESOS DEMOCRATICOS

- a *Porcentaje de ciudadanos que son miembros activos de por lo menos una organizacion de la sociedad civil*
- b *Porcentaje de ciudadanos que participan activamente en resolver problemas de la comunidad*

IR1 1 *Instituciones nacionales mas efectivas*

- 1 *Porcentaje de ciudadanos que confia en instituciones nacionales clave*

IR1 2 *Mayor acceso a la justicia*

- 2 *Porcentaje de ciudadanos que cree que los juzgados peruanos garantizan un juicio justo*

IR1 3 *Gobiernos locales que responden mejor a sus constituyentes*

- 3 *Porcentaje de ciudadanos que cree que el gobierno local responde a sus necesidades y demandas*

IR1 4 *Ciudadanos mejor preparados para ejercer derechos y responsabilidades*

- 4 *Porcentaje de ciudadanos que sabe donde acudir para proteger sus derechos*
- 5 *Porcentaje de ciudadanos que conoce sus derechos basicos y responsabilidades*

CARACTERISTICAS SOCIOECONOMICAS

En comun acuerdo con USAID se ha elegido las siguientes variables para hacer los cruces de los indicadores en cuestion

SEXO

- 1 Hombre
- 2 Mujer

EDAD3 *Edad (reclasificada)*

- 1 18-24 años
- 2 25-39 años
- 3 40-54 años
- 4 55 y mas años

REG *Región*

Se ha tomado en cuenta seis regiones naturales, ademas de Lima

1 *Costa norte* La Libertad/ Lambayeque Tumbes / Piura

2 *Lima*

3 *Costa sur* Ica / Arequipa / Moquegua / Tacna

4 *Sierra norte* Cajamarca / Ancash

5 *Sierra centro/ T andino* Junin /Ayacucho / Pasco / Huanuco / Huancavelica

6 *Sierra sur* Cusco / Puno / Apurimac

7 *Selva* Loreto / Ucayali / San Martín / Madre de Dios / Amazonas

RREDU2 *Años de educación aprobados (rec)*

- 1 0-3 años
- 2 4-6 años
- 3 7-9 años
- 4 10-12 años
- 5 13-15 años
- 6 16 años y mas

NSEI *Nivel socioeconómico (rec)*

- 1 N socioeconómico A y B
- 2 N socioeconómico C
- 3 N socioeconómico D

ZONA

- 1 Urbana
- 2 Rural

RLENGA *Lengua materna (rec)*

- 0 Quechua Aymara
- 1 Castellano/extranj

TRI *Raza*

- 1 Mestiza
- 2 Blanca
- 3 Indígena
- 4 Negra
- 5 Oriental
- 7 Otro
- 8 No sabe

DEFINICION, CONSTRUCCION Y ANALISIS DE LOS INDICADORES

Consideraciones previas

En esta sección se presenta el trabajo realizado por el Instituto APOYO para la construcción de los indicadores propuestos por USAID/Perú de acuerdo con el objetivo principal y los resultados intermedios que persigue

A continuación se presenta la lista de los indicadores que quedó definida en coordinación entre USAID/Peru y el Instituto APOYO

Cabe señalar que con fines de llevar a cabo un análisis ordenado, se ha separado en el análisis las variables que sirvieron para construir y explicar el indicador de acuerdo con la definición de USAID/Peru, de aquellas variables que aportan adicionalmente al análisis pero que no han sido incorporadas como parte del indicador

A continuación se presenta la descripción de cada indicador, las preguntas que serán tomadas de la encuesta de opinión para su construcción y análisis y las preguntas que constituyen elementos adicionales útiles para el análisis

SO1 MAYOR PARTICIPACION CIUDADANA EN LOS PROCESOS DEMOCRATICOS

a *Porcentaje de ciudadanos que son miembros activos de por lo menos una organizacion de la sociedad civil*

Indicador

RMATI Miembro activo de por lo menos una organizacion de la sociedad civil

0 No es miembro activo (0) / 1 Es miembro activo (1-6)

Este indicador se construyo a partir de la siguiente serie de preguntas

(CP7) Participa en Asociacion de padres de familia

(CP13) Participa en Asociacion de mujeres

(CP6) Participa en Comunidad parroquial catolica o comunidad religiosa no catolica

(CP9) Participa en Agrupaciones profesionales

(CP3) Participa en Organizaciones vecinales

(CP10) Participa en Sindicatos

(CP17) Participa en Agrupaciones o partidos politicos

(CP30) OTRA Especifique

Se excluyo la pregunta referida a la participacion en clubes deportivos que formo parte de esta serie aplicada en el cuestionario

Cada una de estas preguntas incluta las siguientes categorias

1 Frecuentemente / 2 De vez en cuando / 3 Casi nunca / 4 Nunca / 8 No sabe

Se considero como miembros activos a aquellas personas que contestaron que asistian frecuentemente a cada una de las organizaciones mencionadas. Se recodifico las respuestas de cada una de las preguntas en dos valores

1 Es miembro activo / 0 No es miembro activo

Y se obtuvo las siguientes preguntas

(RCP7) Participa en Asociacion de padres de familia

(RCP13) Participa en Asociacion de mujeres

(RCP6) Participa en Comunidad parroquial catolica o comunidad religiosa no catolica

(RCP9) Participa en Agrupaciones profesionales

(RCP3) Participa en Organizaciones vecinales

(RCP10) Participa en Sindicatos

(RCP17) Participa en Agrupaciones o partidos politicos

(RCP30) OTRA Especifique

Posteriormente, se sumo todas estas nuevas variables y se creo

MATI Miembro activo de una organizacion (excluyendo participacion en clubes deportivos)

0 No participa en ninguna organizacion /

1 Participa en 1 organizacion / 2 Participa en 2 organizaciones

3 Participa en 3 organizaciones / 4 Participa en 4 organizaciones

5 Participa en 5 organizaciones / 6 Participa en 6 organizaciones

Esta se recodifico en dos respuestas (es miembro activo y no es miembro activo) y se creo la variable

Análisis adicional

Se ha relacionado la variable *RMATI* con la participacion en procesos de toma de decisiones, cruzando el indicador con las siguientes variables

(CP15a) ¿Cuanta influencia cree usted tener sobre lo que deciden las organizaciones o asociaciones de su (comunidad/barrio/vecindario) ¿Diría usted que tiene mucha influencia, poca o nada de influencia?

1 Mucha / 2 Poca / 3 Nada / 8 No sabe / 9 No aplica (no participa)

RCP15A *Influencia en sus organizaciones*

0 No tiene influencia (3-8) / 1 Tiene mucha influencia (1)

2 Tiene poca influencia (2)

Los valores 9 se tomaron como valores perdidos

La serie de preguntas de pedido de ayuda a autoridades

(CP2) ¿Alguna vez usted solo o en grupo ha pedido ayuda o cooperacion de algún Congresista de la Republica?

(CP3d) ¿Alguna vez usted solo o en grupo, ha pedido ayuda o cooperacion de su Alcalde distrital?

(CP3p) ¿Alguna vez usted, solo o en grupo, ha pedido ayuda o cooperacion de su Alcalde Provincial?

(CP4) ¿Alguna vez usted solo o en grupo ha pedido ayuda o cooperacion de algun Ministerio u oficina del gobierno nacional?

Cada una de estas preguntas tenia los siguientes valores

1 Si / 2 No / 8 No sabe

Se agrupo las categorias No y No sabe en una sola de la siguiente manera

0 No pidio ayuda / 1 Pidio ayuda

y se obtuvo las siguientes preguntas

RCP2 *Pedido de ayuda a congresista*

RCP3D *Pedido de ayuda al alcalde distrital*

RCP3P *Pedido de ayuda al M Provincial*

RCP4 *Pedido de ayuda al gobierno central*

Para poder hacer una comparacion de las diferentes instancias a las que se solicito ayuda se creo una variable adicional

CP3DP ¿Alguna vez usted solo o en grupo ha pedido ayuda o cooperacion de su Alcalde Distrital o Provincial?

que es la suma de las variables

RCP3D *Pedido de ayuda al alcalde distrital*

RCP3P *Pedido de ayuda al M Provincial*

Esta variable se recodifico en CP3DP *Pedido de ayuda al gobierno local* con las siguientes categorias

0 No ha pedido ayuda / 1 Si ha pedido ayuda

(NP1) ¿Ha tenido la oportunidad de asistir a un cabildo abierto, una sesion municipal o alguna reunion convocada por la alcaldia (distrital o provincial) durante el ultimo año?

1 Si / 2 No / 8 No sabe

(CP20) ¿Cree usted que desde que existen organizaciones de mujeres en su (comunidad/barrio/vecindario), las mujeres de su familia tienen mas influencia en los asuntos de la familia tienen menos influencia o tienen la misma?

1 Mas influencia / 2 Menos influencia / 3 La misma / 8 No sabe

9 No hay grupo de mujeres

Se agrupo las respuestas de la variable CP20 en dos categorias y se obtuvo la variable

RCP20 *Influencia de la mujer en la familia*

1 Ha aumentado (1) / 0 No ha aumentado (2-8)

Los valores 9 se tomaron como valores perdidos

b Porcentaje de ciudadanos que participan activamente en resolver problemas de la comunidad

Indicador

RCPI Participación comunal

0 Baja participacion (0-2) / 1 Participacion activa (3-4)

Este indicador se construyo con la siguiente serie de preguntas

(CP5) ¿Ha trabajado o tratado usted de resolver algun problema de su (comunidad/barrio/vecindario)

(CP5a) ¿Ha donado usted dinero o materiales para ayudar con algun problema o con alguna mejora en su (comunidad/barrio/vecindario)?

(CP5b) ¿Ha dado usted su propio trabajo o mano de obra?

(CP5c) ¿Ha asistido usted a reuniones para resolver algun problema o para hacer alguna mejora en su (comunidad/barrio/vecindario)?

Cada una de estas preguntas tenia tres categorias

1 Si / 2 No / 3 No sabe

Se agrupo en una misma categoria las respuestas No y No sabe, de esta manera, se redujo a dos categorias las respuestas a cada una de las preguntas descritas

(RCP5) ¿Ha trabajado o tratado usted de resolver algun problema de su (comunidad/barrio/vecindario)

(RCP5a) ¿Ha donado usted dinero o materiales para ayudar con algun problema o con alguna mejora en su (comunidad/barrio/vecindario)?

(RCP5b) ¿Ha dado usted su propio trabajo o mano de obra?

(RCP5c) ¿Ha asistido usted a reuniones para resolver algun problema o para hacer alguna mejora en su (comunidad/barrio/vecindario)?

Se hizo un analisis de cada una de estas preguntas por separado y, por otro lado, se sumo las nuevas variables recodificadas y se obtuvo la variable

CPI Participacion comunal

0 No participa / 1 Participa en 1 actividad /

2 Participa en 2 actividades / 3 Participa en 3 actividades /

4 Participa en todo

Se recodifico los valores de esta variable de la siguiente manera

RCPI Participacion comunal activa

0 Baja participacion (0-2) / 1 Participacion activa (3-4)

Análisis adicional

Adicionalmente, se analizo la relacion del indicador con las siguientes preguntas

(RC2) Segun usted la mayoria de las personas votan en las elecciones solo porque lo manda la ley o porque es una manera de participar en las decisiones del pais

1 Solo porque es obligatorio / 2 Porque es una manera de participar

3 Ninguna de las anteriores / 3 No sabe

Esta variable se recodifico de la siguiente manera

RRC2 Votacion en procesos electorales

0 Otro motivo (3-8) / 1 Es una manera de participar (2)

2 Es obligatorio (1)

(NPI) ¿Ha tenido la oportunidad de asistir a un cabildo abierto una sesion municipal o alguna reunion convocada por la alcaldia (distrital o provincial) durante el ultimo año?

1 Si / 2 No / 8 No sabe

Con la serie de confianza interpersonal

IT1 Confianza en la gente del barrio

1 Muy confiable / 2 Algo confiable / 3 Poco confiable /

4 Nada confiable / 8 No sabe

IT2 La gente se preocupa por si misma o por los demas?

1 Se preocupa por si misma / 2 Trata de ayudar al projimo

8 No sabe

IT3 Cree que la gente se aprovecharia de Ud ?

1 Si se aprovecharian / 2 No se aprovecharian / 8 No sabe

RRIT1 Confianza en la gente del barrio

0 No confia (3-4,8) / 1 Confia (1-2)

RRIT2 ¿La gente se preocupa por si misma o por los demas

0 Por si misma / 1 Por los demas

RRIT3 La gente se aprovecharia de usted

0 Si se aprovecharia / 1 No se aprovecharia

IRI 1 Instituciones Nacionales mas Efectivas

1 Porcentaje de ciudadanos que confian en instituciones nacionales clave

Indicador

RRKI4 Confianza en Instituciones

0 Baja confianza (8-35) / 1 Alta confianza (36-56)

Este indicador fue construido en base a las preguntas de confianza en las siguientes instituciones

(B13) Confianza en el Congreso

(B27) Confianza en el Poder Judicial

(B15) Confianza en la Fiscalia de la Nacion

(B17) Confianza en la Defensoria del Pueblo

(B11) Confianza en el Jurado Nacional de Elecciones (JNE)

(B11a) Confianza en la Oficina Nacional de Procesos Electorales (ONPE)

(B28) Confianza en el Registro Nacional de Identificacion y Estado Civil (IDENTIDAD)

(B15b) Confianza en la Contraloria General de la Republica

Cada una de esas preguntas se midio con una escala del 1 al 7, donde 1 significa nada de confianza y 7 mucha confianza. Los valores 8 (NS) se tomaron como valores perdidos

La variable KI4 mostro un rango de 8 a 56 y se recodifico estos valores en dos categorias, creandose así el indicador

RRKI4 Confianza en instituciones

0 Baja confianza (8-35) / 1 Alta confianza (36-56)

Analisis adicional

El analisis de la siguiente variable

K11 Confianza en instituciones clave 1
Creada a partir de la suma de las variables
RB13 Confianza en el Congreso
RB27 Confianza en el Poder Judicial

En esta variable se obtuvo un rango de 2 al 14 que se recodificó en dos categorías creando la variable RRK11, esta variable mostro un rango de 2 a 14 y se recodificó en dos categorías

RRK11 Confianza en el Congreso y Poder Judicial
0 Baja confianza (2 - 9) / 1 Alta confianza (10 - 14)

Se ha analizado cada una de las siguientes instituciones

- (B15) Confianza en la Fiscalía de la Nación*
- (B17) Confianza en la Defensoría del Pueblo*
- (B11) Confianza en el Jurado Nacional de Elecciones (JNE)*
- (B11a) Confianza en la Oficina Nacional de Procesos Electorales (ONPE)*
- (B28) Confianza en el Registro Nacional de Identificación y Estado Civil (IDENTIDAD)*
- (B15b) Confianza en la Contraloría General de la República*

Cada una de estas variables se midió en una escala de 1 a 7, presentando un valor 8 (No sabe) y un valor 9 (No conoce)

Se recodificó cada una en tres categorías

0 No confía (0-4) / 1 Si confía (5-7) / 2 No conoce

Los valores 8 se tomaron como valores perdidos

De esta manera se obtuvo las siguientes variables

- (R1B15) Fiscalía de la Nación*
- (R1B17) Defensoría del Pueblo*
- (R1B11) Jurado Nacional de Elecciones (JNE)*
- (R1B11a) Oficina Nacional de Procesos Electorales (ONPE)*
- (R1B28) Registro Nacional de Identificación y Estado Civil (IDENTIDAD)*
- (R1B15b) Contraloría General de la República*

Se ha efectuado un análisis de la relación de la variable RRK14 (Confianza en las instituciones) con cada una de las siguientes preguntas

- (B3) ¿Hasta que punto cree usted que los derechos básicos del ciudadano están bien protegidos por el sistema político peruano?*
- (B4) ¿Hasta que punto se siente orgulloso de vivir bajo el sistema político peruano?*
- (B6) ¿Hasta qué punto piensa que se debe apoyar al sistema político peruano?*
- (B1) ¿Hasta que punto cree que los juzgados peruanos garantizan un juicio justo?*
- (B2) ¿Hasta que punto siente usted confianza en las instituciones políticas del Perú?*

Cada una de estas variables fue recodificada en dos valores

0 No confía (0-4) / 1 Si confía (5-7)

Los valores 8 se tomaron como valores perdidos

Se obtuvo así las siguientes variables

- (RRB3) ¿Hasta que punto cree usted que los derechos básicos del ciudadano están bien protegidos por el sistema político peruano?*
- (RRB4) ¿Hasta que punto se siente orgulloso de vivir bajo el sistema político peruano?*
- (RRB6) ¿Hasta que punto piensa que se debe apoyar al sistema político peruano?*
- (RRB1) ¿Hasta que punto cree que los juzgados peruanos garantizan un juicio justo?*
- (RRB2) ¿Hasta que punto siente usted confianza en las instituciones políticas del Perú?*

Apoyo al sistema

Se ha examinado individualmente cada una de las preguntas que forman parte de esta serie, recodificadas como se explico lineas arriba

(RRB3) *¿Hasta que punto cree usted que los derechos basicos del ciudadano estan bien protegidos por el sistema politico peruano?*

(RRB4) *¿Hasta que punto se siente orgulloso de vivir bajo el sistema politico peruano?*

(RRB6) *¿Hasta que punto piensa que se debe apoyar al sistema politico peruano?*

(RRB1) *¿Hasta que punto cree que los juzgados peruanos garantizan un juicio justo?*

(RRB2) *¿Hasta que punto siente usted confianza en las instituciones politicas del Peru?*

IR1 2 Mayor Acceso a la Justicia

2 Porcentaje de ciudadanos que cree que los juzgados peruanos garantizan un juicio justo

Indicador

RRB1 ¿Hasta que punto cree que los juzgados peruanos garantizan un juicio justo?

0 Baja confianza (1 - 4) / 1 Alta confianza (5 - 7)

Esta pregunta se midio con una escala del 1 al 7, donde 1 significa nada de confianza y 7 mucha confianza. Los valores 8 (NS) se tomaron como valores perdidos. Para el analisis, se tomo en cuenta dos categorias

0 Baja confianza (1 - 4) / 1 Alta confianza (5 - 7)

Analisis adicional

Se ha considerado el cruce del indicador con las siguientes variables

RRB27 Confianza en el Poder Judicial

0 No confia / 1 Confia

(AJ1) Cuando a usted o a sus vecinos les han robado o hecho algun daño ¿a quién han recurrido primero? (respuesta espontanea)

Esta pregunta fue recodificada de la siguiente manera y se tomo los valores 99 (no ha tenido problemas de robo) como valores perdidos

RAJ1 A quien recurre en caso de robo

1 Policia / 2 Serenago / 3 Ronda / 4 Municipio / 5 Juez de paz

6 Gobernador / 7 Organismo de la comunidad / 8 Vecinos

77 Otro / 88 No sabe

AJ2 Atencion de esa Institucion (aj1)

1 Muy bien / 2 Bien / 3 Regular / 4 Mal / 5 Muy mal

8 No sabe / 9 No aplica

Esta variable se recodifico en tres categorias y se tomo los valores 9 como valores perdidos

RAJ2 Trato recibido por esa institucion (aj1)

0 Regular - malo / 1 Muy bueno - bueno / 8 No sabe

(AJ3) ¿Si usted tuviera problemas que resolver problemas como robos, agresion, etc ¿cual piensa que es la mejor alternativa para solucionarlos?

1 Con nuestras manos / 2 Con organismos comunales /

3 Con juzgados / 7 Otro / 8 No sabe

IR1 3 Gobiernos Locales que Responden Mejor a sus Constituyentes

3 Porcentaje de ciudadanos que cree que el gobierno local responde a sus necesidades y demandas

Indicador

RR3SGL Gobiernos locales 3

0 Incluye los valores de 0 a 3 / 1 Incluye los valores 4 a 7

Se ha creado el indicador a partir de las siguientes preguntas

Calidad y servicios de los gobiernos locales

(SGL1d) Según usted los servicios que la municipalidad DISTRITAL esta dando a la comunidad son

- 1 Muy buenos / 2 Buenos / 3 Regulares / 4 Malos /
- 5 Muy malos / 8 No sabe

(SGL2d) ¿Como considera que le han tratado a usted o a sus vecinos cuando han ido a la municipalidad de su DISTRITO a hacer algun tramite? ¿Le han tratado muy bien bien, regular, mal o muy mal?

- 1 Muy bien / 2 Bien / 3 Regular / 4 Mal / 5 Muy mal
- 8 No sabe

(SGL1p) Según usted, los servicios que la Municipalidad PROVINCIAL esta dando a la comunidad son

- 1 Muy buenos / 2 Buenos / 3 Regulares / 4 Malos /
- 5 Muy malos / 8 No sabe

(SGL2p) ¿Como considera que le han tratado a usted o a sus vecinos cuando han ido a la Municipalidad PROVINCIAL a hacer algun tramite? ¿Le han tratado muy bien bien regular, mal o muy mal?

- 1 Muy bien / 2 Bien / 3 Regular / 4 Mal / 5 Muy mal
- 8 No sabe

Estas cuatro preguntas se recodificaron en dos categorias

- 0 Regular - malo (valores 3 a 4) / 1 Muy bueno - bueno (valores 1 a 2)

Se perdio los valores 8 (No sabe) y se obtuvo las siguientes variables

RRSGL1D Calidad de los servicios de la municipalidad distrital

RRSGL2D Calidad del trato en el M distrital

RRSGL1P Calidad de los servicios de la M Provincial

RRSGL2P Calidad del trato de la M Provincial

Quien soluciona mejor los problemas de la comunidad

Por otro lado la pregunta

(LGL1) Según usted quien cree que ha solucionado mejor los problemas de su comunidad ¿el Gobierno Central? ¿el Congreso? ¿la Municipalidad?

- 1 Municipio distrital / 2 Municipio provincial /
- 3 Ambos Munic dist y prov / 4 El Congreso /
- 5 El gobierno central / 6 Ninguno de ellos / 8 No sabe

Esta pregunta se recodifico en la siguiente variable con dos categorias

RLGL1 Quien soluciona mejor los problemas de la comunidad

- 0 Otro (incluye No sabe) / 1 Gobierno local

Confianza en los gobiernos locales

Asimismo, se tomo en cuenta las preguntas de confianza en los gobiernos locales, cada una medida con una escala de 1 a 7, donde 8 es No sabe

B22 Confianza en el Municipio Distrital

B23 Confianza en el Municipio Provincial

Estas preguntas se recodificaron en dos categorías, se perdió los valores 8 (No sabe) y se obtuvo las siguientes variables

RRB22 Confianza en el Municipio Distrital
0 Baja confianza (1-4) / 1 Alta confianza (5-7)

RRB23 Confianza en el Municipio Provincial
0 Baja confianza (1-4) / 1 Alta confianza (5-7)

De esta manera se creó la variable *R3SGL Gobiernos locales 3* como la suma de las siguientes variables

RRSGL1D Calidad de los servicios de la municipalidad distrital

RRSGL2D Calidad del trato en el M distrital

RRSGL1P Calidad de los servicios de la M Provincial

RRSGL2P Calidad del trato de la M Provincial

RLGL1 Quien soluciona mejor los problemas de la comunidad

RRB22 Confianza en el Municipio Distrital

RRB23 Confianza en el Municipio Provincial

Esta variable mostró un rango de 0 a 7, se recodificó en dos categorías y se obtuvo el indicador *RR3SGL Gobiernos locales 3* (rec)

0 Incluye los valores de 0 a 3 / 1 Incluye los valores 4 a 7

Analisis adicional

Se ha analizado por separado cada una de las series que intervinieron en la formación del indicador *RR3SGL Gobiernos locales 3*

Calidad y servicios de los gobiernos locales representado por la variable *RR1SGL*. Se creó la variable *R1SGL* como la suma de las variables

RSGL1d Calidad de los servicios que brinda la Municipalidad Distrital

RSGL1p Calidad de los servicios que brinda la Municipalidad Provincial

RSGL2d Calidad del trato que brinda la Municipalidad Distrital

RSGL2p Calidad del trato que brinda la Municipalidad Provincial

Cada una de ellas incluía 5 valores (se perdió los valores 8)
1 Muy malo / 2 Malo / 3 Regular / 4 Bueno / 5 Muy bueno

Al sumar todas las variables se obtuvo un rango de 4 a 20

La variable *R1SGL* se recodificó en *RR1SGL*, donde

0 Incluye los valores de 4 a 12 / 1 Incluye los valores 13 a 20

Quien soluciona mejor los problemas de la comunidad

Se realizó el análisis individual de la pregunta cuya construcción fue explicada anteriormente

RLGL1 Quien soluciona mejor los problemas de la comunidad

0 Otro (incluye No sabe) / 1 Gobierno local

Confianza en los gobiernos locales

Se ha analizado la serie de confianza en los gobiernos locales cuya construcción fue explicada líneas arriba

RRB22 Confianza en el Municipio Distrital

0 Baja confianza (1-4) / 1 Alta confianza (5-7)

RRB23 Confianza en el Municipio Provincial

0 Baja confianza (1-4) / 1 Alta confianza (5-7)

Relacion del indicador con las siguientes variables

(NP1) ¿Ha tenido la oportunidad de asistir a un cabildo abierto una sesion municipal o alguna reunion convocada por la alcaldia (distrital o provincial) durante el ultimo año?

1 Si / 2 No / 8 No sabe

(RC1) ¿ Cree usted que participar en los asuntos del gobierno municipal es un deber de los ciudadanos o es algo que podemos hacer solo si nos interesa?

1 Es un deber / 2 Solo si nos interesa / 7 Otro / 8 No sabe

Esta variable se recodifico en

RRC1 Cree usted que participar en los asuntos del gobierno municipal es un deber de los ciudadanos o es algo que podemos hacer solo si nos interesa

0 Otra razon (0,2,7-8) / 1 Es un deber y un derecho (1 y 3)

(RRC2) Segun usted la mayoria de las personas votan en las elecciones solo porque lo manda la ley o porque es una manera de participar en las decisiones del pais

0 Otro motivo (3-8) / 1 Es una manera de participar (2) /

2 Es obligatorio (1)

(LGL3d) ¿Estaria dispuesto a pagar mas impuestos a la Municipalidad DISTRITAL para que esta pueda prestar mejores servicios municipales o cree usted que no vale la pena pagar mas?

1 Mas impuestos / 2 No vale la pena pagar / 8 No sabe

LGL2 Se debe otorgar mas dinero a municipios o gob central

1 Mas a los municipios / 2 Mas al gobierno central / 3 No cambiar nada

4 Mas a la municipalidad si dan mejores servicios / 8 No sabe

Esta variable fue recodificada de la siguiente manera

RLGL2 Se debe dar mas obligaciones a los municipios o al gobierno

1 Mas a los municipios / 2 Mas al gobierno / 3 No cambiar nada

8 No sabe

IR1 4 Ciudadanos mejor preparados para ejercer sus derechos y responsabilidades

4 Porcentaje de ciudadanos que sabe dónde acudir para proteger sus derechos

Indicador

R4DC10 Sabe donde acudir para proteger sus derechos

0 No sabe donde acudir / 1 Si sabe donde acudir

Se ha creado el indicador sobre la base de las siguientes variables

RR1DC10 Sabe donde acudir en caso de maltrato físico

RR2DC10 Sabe donde acudir en caso de mala atencion

RR3DC10 Sabe donde acudir para proteger sus derechos en ambos casos de maltrato

Para la elaboracion de dichas variables se utilizo las siguientes preguntas

(DC10) ¿Si un servidor publico (policia funcionario publico etc) lo maltrata ¿sabe donde podria ir a quejarse? (solo una respuesta)

1 F scalia o Juzgado de Paz / 2 Abogado particular / 3 Comisaria

4 Ronda / 5 A la Prefectura / 6 Defensoria del Pueblo /

7 A su superior / 8 Municipio / 9 Organizacion de DD HH

10 Es inutil quejarse / 11 Al Regimen Militar /

12 Ministerio del Interior / 77 Otro / 88 No sabe

Se diferencio aquellos casos en que el encuestado afirmo haber pensado en un maltrato fisico, de aquellos en los que manifesto haber pensado en una mala atencion y de aquellos en los que afirmo haber pensado en ambos tipos de maltrato Esta diferencia se obtuvo a partir de la siguiente pregunta

(DC11) Puede decirme ¿en que tipo de maltrato estuvo pensando usted cuando le hice la pregunta?

- 1 Maltrato fisico / 2 Mala atencion / 3 Ambos tipos de maltrato
- 8 No sabe

Se creo la variable *RRIDC10 Sabe donde acudir en caso de maltrato fisico*

Se considero como respuestas validas en la variable DC10 a
Fiscalia / Comisaria / Ronda / Abogado particular / Prefectura
Todos estos valores pasaron a formar parte de

- 1 Si sabe donde acudir
- El resto de valores, incluyendo el No sabe formaron parte de
- 0 No sabe donde acudir

RIDC10 Donde acude en caso de maltrato fisico

- 0 Otro y no sabe / 1 Fiscalia/juzgado de paz /
- 2 Abogado particular / 3 Comisaria / 4 Ronda / 5 Prefectura

Todos estos valores pasaron a formar parte de

- 1 Si sabe donde acudir
- El resto de valores, incluyendo el No sabe formaron parte de
- 0 No sabe donde acudir

RRIDC10 Sabe donde acudir en caso de maltrato fisico

- 0 No sabe donde acudir (0) / 1 Si sabe donde acudir (1-5)

Se construyo la variable *RR2DC10 Sabe donde acudir en caso de mala atencion*

Se considero como respuestas validas en la variable DC10 a
Fiscalia / Defensoria / Abogado particular / A su superior

R2DC10 Donde acude en caso de mala atencion

- 0 Otro y no sabe / 1 Fiscalia/juzgado de paz /
- 2 Abogado particular / 6 Defensoria del pueblo /
- 7 A su superior

Todos estos valores pasaron a formar parte de

- 1 Si sabe donde acudir
- El resto de valores, incluyendo el No sabe formaron parte de
- 0 No sabe donde acudir

RR2DC10 Sabe donde acudir en caso de mala atencion

- 0 No sabe donde acudir (0) / 1 Si sabe donde acudir (1-2,6-7)

Se construyo la variable *RR3DC10 Sabe donde acudir en ambos casos de maltrato*

Se considero como respuestas validas en la variable DC10 a
Fiscalia o juzgado de paz / Abogado particular / Comisaria
Ronda / Prefectura / Defensoria del pueblo / A un superior

Todos estos valores pasaron a formar parte de

- 1 Si sabe donde acudir
El resto de valores, incluyendo el No sabe formaron parte de
0 No sabe donde acudir

R3DC10 Donde acude para proteger sus derechos en ambos casos de maltrato

- 0 Otro y no sabe / 1 Fiscalía o juzgado de paz /
2 Abogado particular / 3 Comisaria / 4 Ronda / 5 Prefectura
6 Defensoria del pueblo / 7 Un superior

RR3DC10 Sabe donde acudir para proteger sus derechos en ambos casos de maltrato

- 0 No sabe donde acudir / 1 Si sabe donde acudir

5 Porcentaje de Ciudadanos que Conocen sus Derechos basicos y Responsabilidades Cívicas

Indicador

RCDR Conocimiento de derechos y responsabilidades cívicas

- 0 Bajo conocimiento (0-1) / 1 Alto conocimiento (2)

En primer lugar se utilizo la variable *CDI Conocimiento de derechos*, que es la suma de nueve preguntas sobre derechos

(DC1a) El derecho de expresar publicamente sus ideas ¿esta en la Constitucion?

(DC2a) El derecho a la igualdad de oportunidades ¿esta en la Constitucion?

(DC3a) El derecho a no ser victima de violencia moral psiquica o física ¿esta en la Constitucion?

(DC4a) El derecho a que si ha sido detenido la autoridad señale sin demora el lugar donde esta detenido ¿está en la Constitución?

(DC5a) El derecho a que cualquier entidad pública le de la informacion que usted solicite (salvo informaciones que afecten la seguridad nacional) ¿esta en la Constitucion?

(DC6a) El derecho a pedir el cambio de una autoridad si es que no cumple con sus funciones ¿esta en la Constitucion?

(DC7a) El derecho a que las autoridades informen de las acciones y gastos que hagan, a los ciudadanos que las eligieron ¿esta en la Constitucion?

DC8 Si usted solo o con sus vecinos hace alguna peticion por escrito a la autoridad ¿Cree usted que esa autoridad esta obligada o no esta obligada a contestarle tambien por escrito dentro de un plazo razonable?

DC9 Si a usted lo apresaran por cualquier motivo que no sea problemas de narcotráfico espionaje o terrorismo sabe cuanto tiempo lo pueden detener sin una orden judicial?

Cada una de las preguntas de la DC1a a la DC7a presentaba tres alternativas,

- 1 Si / 2 No / 8 No sabe

Las preguntas DC8 y DC9 tenian las siguientes alternativas de respuesta

DC8

- 1 Si esta obligada / 2 No esta obligada / 8 No sabe

DC9

- 1 No mas de 24 horas / 2 Cualquier otra respuesta / 8 No sabe

En todos los casos se redujo las respuestas a dos

- 0 No conoce el derecho / 1 Si conoce el derecho

Y se obtuvo las siguientes variables

RDC1a El derecho de expresar publicamente sus ideas ¿esta en la Constitucion?

RDC2a El derecho a la igualdad de oportunidades ¿esta en la Constitucion?

- RDC3a El derecho a no ser víctima de violencia moral psíquica o física ¿esta en la Constitución?
- RDC4a El derecho a que si ha sido detenido la autoridad señale sin demora el lugar donde esta detenido ¿esta en la Constitución?
- RDC5a El derecho a que cualquier entidad publica le de la informacion que usted solicite (salvo informaciones que afecten la seguridad nacional) ¿esta en la Constitución?
- RDC6a El derecho a pedir el cambio de una autoridad si es que no cumple con sus funciones ¿esta en la Constitución?
- RDC7a El derecho a que las autoridades informen de las acciones y gastos que hagan a los ciudadanos que las eligieron ¿esta en la Constitución?
- RDC8 Si usted solo o con sus vecinos hace alguna peticion por escrito a la autoridad ¿Cree usted que esa autoridad esta obligada o no esta obligada a contestarle tambien por escrito dentro de un plazo razonable?
- RDC9 Si a usted lo apresaran por cualquier motivo que no sea problemas de narcotrafico espionaje o terrorismo, sabe cuanto tiempo lo pueden detener sin una orden judicial?

La suma de estas variable mostro un rango de 0 a 9 y se redujo a dos valores obteniendose la variable *RRICD1 Conocimiento de derechos*

0 Bajo Conocimiento (0-6) / 1 Alto conocimiento (7-9)

En segundo lugar se creo la variable *CRI Conocimiento de responsabilidades* en funcion de las variables *RRC1* y *RRC3*

(RC1) Cree usted que participar en los asuntos del gobierno municipal es un deber de los ciudadanos o es algo que podemos hacer solo si nos interesa

- 1 Participar es un deber / 2 Solo si nos interesa
- 3 Participar es un deber y un derecho / 7 Otro / 8 No sabe

(RC3) Hablando de los actos de corrupcion (por ejemplo que un servidor publico pida coimas para hacer tramites mas rapidos) le voy a leer tres frases y quisiera que me dijera con cual de ellas se identifica mas (solo leer las tres primeras)

- 1 Denunciaría el hecho porque tengo derecho a hacerlo
- 2 Denunciaría el hecho porque es mi responsabilidad
- 3 No lo denunciaría porque hacerlo es una perdida de tiempo
- 4 Denunciaría el hecho porque es mi derecho y mi responsabilidad
- 7 Otro / 8 No sabe

Estas preguntas fueron recodificadas de la siguiente manera

RRC1 Cree usted que participar en los asuntos del gobierno municipal es un deber de los ciudadanos o es algo que podemos hacer solo si nos interesa

- 0 Otra razon (0,2,7-8) / 1 Es un deber y un derecho (1 y 3)

RRC3 ¿Denunciaría un acto de corrupcion?

- 0 No, no precisa (3, 7-8) / 1 Si porque es un deber y un derecho (1-2,4)

La variable *CR1 Conocimiento de responsabilidades* mostro tres valores

- 0 No conoce / 1 Conoce 1 responsabilidad /
- 2 Conoce 2 responsabilidades

Se recodifico esta variable en dos valores

- 0 Bajo conocimiento (0-1) / 1 Alto conocimiento (2)

Se obtuvo así la variable *RCR1 Conocimiento de responsabilidades*

Se sumo las variables RCD1 (Conocimiento de derechos) y RCR1 (Conocimiento de responsabilidades) para crear la variable *CDR Conocimiento de derechos y responsabilidades cívicas* esta variable mostro 3 valores, del 0 al 2 y se recodifico en

RCDR Conocimiento de derechos y responsabilidades cívicas

0 Bajo conocimiento (0-1) / 1 Alto conocimiento (2)

Analisis adicional

Analisis comparado del conocimiento de derechos con su proteccion por el sistema politico peruano

En la encuesta se diferencio el conocimiento de derechos de su cumplimiento Se construyo la variable variable *CD2 Conocimiento de derechos constitucionales* en base a la serie de preguntas que fueron recodificadas como se explico en el punto anterior

(RDC1a) El derecho de expresar publicamente sus ideas ¿esta en la Constitucion?

(RDC2a) El derecho a la igualdad de oportunidades ¿esta en la Constitucion?

(RDC3a) El derecho a no ser victima de violencia moral, psiquica o fisica ¿esta en la Constitucion?

(RDC4a) El derecho a que si ha sido detenido la autoridad señale sin demora el lugar donde esta detenido ¿esta en la Constitucion?

(RDC5a) El derecho a que cualquier entidad publica le de la informacion que usted solicite (salvo informaciones que afecten la seguridad nacional) ¿esta en la Constitucion?

(RDC6a) El derecho a pedir el cambio de una autoridad si es que no cumple con sus funciones ¿esta en la Constitucion?

(RDC7a) El derecho a que las autoridades informen de las acciones y gastos que hagan a los ciudadanos que las eligieron ¿esta en la Constitucion?

CD2 Conocimiento de derechos constitucionales

0 No conoce ningun derecho / 1 Conoce un derecho

2 Conoce 2 derechos / 3 Conoce 3 derechos / 4 Conoce 4 derechos

5 Conoce 6 derechos / 6 Conoce 6 derechos / 7 Conoce 7 derechos

Como el rango de valores va de 0 a 7, se dividio en dos categorias el conocimiento

0 Bajo conocimiento (0-4) / 1 Alto conocimiento (5-7)

Se obtuvo asi la variable *RDC2 Conocimiento de derechos constitucionales*

Con el fin de comparar el conocimiento de derechos con la percepcion de su cumplimiento por parte de los ciudadanos se creo la variable *PD1 Proteccion de derechos* a partir de la siguiente serie de preguntas

(DC1b) El derecho de expresar publicamente sus ideas ¿esta protegido en el Peru?

(DC2b) El derecho a la igualdad de oportunidades ¿esta protegido en el Peru?

(DC3b) El derecho a no ser victima de violencia moral psiquica o fisica ¿esta protegido en el Peru?

(DC4b) El derecho a que si ha sido detenido, la autoridad señale sin demora el lugar donde esta detenido ¿esta protegido en el Peru?

(DC5b) El derecho a que cualquier entidad publica le de la informacion que usted solicite (salvo informaciones que afecten la seguridad nacional) ¿esta protegido en el Peru?

(DC6b) El derecho a pedir el cambio de una autoridad si es que no cumple con sus funciones ¿está protegido en el Peru?

(DC7b) El derecho a que las autoridades informen de las acciones y gastos que hagan a los ciudadanos que las eligieron ¿esta protegido en el Peru?

Estas preguntas presentaban tres alternativas de respuesta

1 Si / 2 No / 8 No sabe

En todos los casos se redujo las respuestas a dos

0 No esta protegido (incluye no esta protegido y no sabe)

1 Esta protegido (1)

Obteniendose asi las siguientes variables

- (RDC1b) El derecho de expresar publicamente sus ideas ¿esta protegido en el Peru?
- (RDC2b) El derecho a la igualdad de oportunidades ¿esta protegido en el Peru?
- (RDC3b) El derecho a no ser victima de violencia moral psiquica o fisica ¿esta protegido en el Peru?
- (RDC4b) El derecho a que si ha sido detenido, la autoridad señale sin demora el lugar donde esta detenido ¿esta protegido en el Peru?
- (RDC5b) El derecho a que cualquier entidad publica le de la informacion que usted solicite (salvo informaciones que afecten la seguridad nacional) ¿esta protegido en el Peru?
- (RDC6b) El derecho a pedir el cambio de una autoridad si es que no cumple con sus funciones ¿esta protegido en el Peru?
- (RDC7b) El derecho a que las autoridades informen de las acciones y gastos que hagan, a los ciudadanos que las eligieron ¿esta protegido en el Peru?

Se obtuvo la variable *PD1 Proteccion de derechos*

- 0 Ningun derecho esta protegido / 1 Un derecho esta protegido
- 2 2 derechos estan protegidos / 3 3 derechos estan protegidos
- 4 4 derechos estan protegidos / 5 5 derechos estan protegidos
- 6 6 derechos estan protegidos / 7 7 derechos estan protegidos

El rango de valores de 0 a 7, se dividió en dos categorías

- 0 Baja proteccion (0-4) / 1 Alta proteccion (5-7)

Se creo así la variable *RPDI Proteccion de derechos*

Analisis del nivel de tolerancia

Se construyo un *Indice de Tolerancia*, denominado *TOLERA* sobre la base de las siguientes preguntas

- (D1) ¿Hasta que punto aprueba o desaprueba que estas personas que solo hablan mal de la forma de gobierno peruano tengan DERECHO a votar?
- (D2) Pensando siempre en estas personas ¿Hasta que punto aprueba o desaprueba que ellas tengan DERECHO a realizar marchas o protestas pacificas para expresar sus puntos de vista?
- (D3) ¿Hasta que punto usted aprueba o desaprueba que estas personas también tengan DERECHO a postular a cargos publicos?
- (D4) ¿Hasta que punto usted aprueba o desaprueba que estas personas tengan el DERECHO DE SALIR en television para hacer un discurso que exprese sus puntos de vista?

Todas estas preguntas se midieron con una escala de 1 a 10, el valor 88 representaba el No sabe o no precisa

Para crear el *Indice de Tolerancia* se tomo los valores 88 como valores perdidos Se sumo las 4 variables mencionadas Como es una escala de 1 a 10 el resultado de la suma la variable *Tolera*, presento un rango de 4 a 40, donde 4 es el minimo valor de tolerancia y 40 el maximo valor Se recodificó la variable *Tolera* en *Rtolera* y se agrupo los valores en dos categorías

- 0 Baja tolerancia (4-22) / 1 Alta tolerancia (23-40)

Para complementar el analisis se considero las respuestas a las siguientes preguntas

- (E5) Que las personas participen en manifestaciones permitidas por la ley como una forma de protestar
- (E15) Que las personas participen en un cierre o bloqueo de calles para conseguir un objetivo politico
- (E14) Que las personas invadan propiedades privadas (casas o terrenos desocupados) para conseguir un objetivo politico

Cada una de estas preguntas se midio con una escala de 1 a 10, siendo el valor 88 el correspondiente al No sabe

En este caso se tomo cada pregunta por separado Se recodifico cada variable en dos categorías

- 0 Desaprueba (1-5) / 1 Aprueba (6-10)

II STRATEGIC OBJECTIVE 2 INCREASED INCOMES OF THE POOR

A Overview of the Results Framework

This strategic objective reflects Mission commitment to productive economic expansion in support of the Government of Peru's recognition of the critical need to increase economic opportunities for the poor

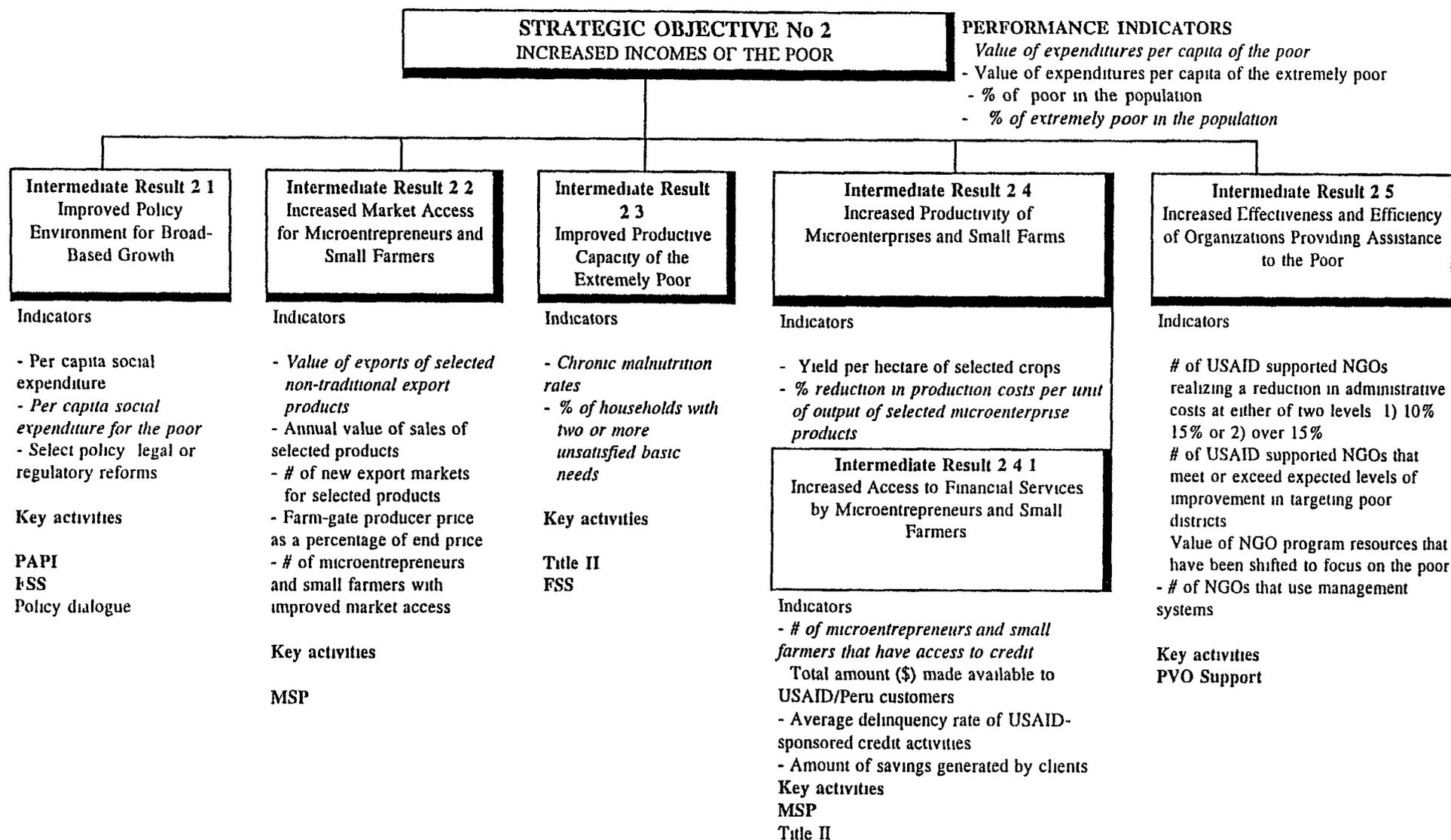
As in most developing countries, Peru's poor depend on income from labor -- from work on their own land, wages, or other self-employment, especially the informal economy of service provision. Poor households lack assets, particularly land, without which they must hire out their labor, usually unskilled. To remedy the general conditions, it is necessary to take a dual, but mutually reinforcing, development approach of encouraging broad-based rural development, focussed around agriculture and its forward and backward linkages, and stimulating urban employment through micro and small enterprises (which are the source of most job creation), thereby increasing returns to labor

USAID/Peru's Strategy for Broadly-Based, Sustainable Economic Growth in Peru and Food Security Strategy for Peru, identify a series of social and productive sector constraints to achieving reduced poverty and improved food security. Important productive sector constraints include i) poor economic infrastructure in rural areas, ii) limited use of agricultural technology, iii) inadequate water rights legislation, iv) lack of formal financing of agricultural activities, especially among small farmers, v) geographic isolation, and, vi) inadequate marketing systems. For the social sector, important constraints include i) insufficient coordination among social service providers, especially within the public sector, ii) lack of coordination required for implementing the food security strategy, iii) insufficient public sector financing of social services, particularly in health and education, and, iv) excessive reliance on food assistance

The Strategic Objective #2 (SO2), *Improved Incomes of the Poor*, directly addresses the root causes of poverty through five intermediate results: 1) *Improved Policy Environment for Broad-Based Growth*, 2) *Increased Market Access for Microentrepreneurs and Small Farmers*, 3) *Improved Productive Capacity of the Extremely Poor*, 4) *Increased Productivity of Microenterprises and Small Farmers*, and, 5) *Increased Effectiveness and Efficiency of Organizations providing Assistance to the Poor*

Key USAID activities supporting this SO are the Microenterprise and Small Producers Support (MSP), Food Security Support (FSS), PVO Support, Policy Analysis, Planning and Implementation (PAPI) activities and the PL-480 Title II program. Government of Peru (GOP) and other donor investments also contribute to the achievement of this SO

FIGURE 3



Note Indicators in italics are to be reported in the R4

PERFORMANCE MONITORING PLAN
Strategic Objective 2 and Related Intermediate Results

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS & REPORTING	
				SCHEDULE/ FREQUENCY	RESPONSIBLE TEAM/COSTS	SCHEDULE BY REPORT	RESPONSIBLE TEAM/OFFICE
Strategic Objective 2: Increased Incomes of the Poor							
1 Value of expenditures per capita of the poor (Data analyzed by socio economic and geographic variables) R4 Reported	Definition The poor are defined as households whose per capita expenditure is lower than the cost of the basic/minimum consumption basket which is the basic food nutritional basket plus the cost of other necessary goods and services At current prices (1996) a person is defined as poor if his/her average daily expenditure does not exceed \$1 75 Expenditures are expressed in constant dollars Unit US 1994 dollars	<i>The National Living Standards Survey</i> conducted by CUANTO SA	Data are available in published form In addition CUANTO will usually provide data to USAID upon request The survey is based on a national sample of 3 500 households Household expenditures divided by the average family size	Annually by December	SO 2 USAID annual contribution to the survey is \$50 000	R4	SO 2 & PDP
2 Value of expenditures per capita of the extremely poor (Data analyzed by socio economic and geographic variables)	Definition The extremely poor are defined as households whose per capita expenditure is lower than the cost of the basic food nutritional basket At current prices (1996) a person is defined as extremely poor if his/her average daily expenditure does not exceed \$1 00 Expenditures are expressed in constant dollars Unit US 1994 dollars	<i>The National Living Standards Survey</i> conducted by CUANTO SA	Data are available in published form In addition CUANTO will usually provide data to USAID upon request The survey is based on a national sample of 3 500 households Household expenditures divided by the average family size	Annually by December	SO 2	R4	SO 2 & PDP
3 Percent of poor in the population (Data analyzed by socio economic and geographic variables)	Definition The poor are defined as households whose per capita expenditure is lower than the cost of the basic/minimum consumption basket which is the basic food nutritional basket plus the cost of other necessary goods and services At current prices (1996) a person is defined as poor if his/her average daily expenditure does not exceed \$1 75 Unit Percent	<i>The National Living Standards Survey</i> conducted by CUANTO SA	Data are available in published form In addition CUANTO will usually provide data to USAID upon request	Annually, December	SO 2	R4	SO 2 & PDP

5/10

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS & REPORTING	
				SCHEDULE/FREQUENCY	RESPONSIBLE TEAM/COSTS	SCHEDULE BY REPORT	RESPONSIBLE TEAM/OFFICE
<p>4 Percent of the extremely poor in the population</p> <p>(Data analyzed by socio economic and geographic variables)</p> <p>R4 Reported</p>	<p>Definition the extremely poor a subset of the poor population are defined as households whose per capita expenditure is lower than the cost of the basic food nutritional basket that covers minimum nutritional requirements</p> <p>Unit Percent</p>	<p>The National Living Standards Survey conducted by CUANTO SA</p>	<p>Data are available in published form In addition CUANTO will usually provide data to USAID upon request</p>	<p>Annually December</p>	<p>SO 2</p>	<p>R4</p>	<p>SO 2 & PDP</p>
COMMENTS/NOTES							
Intermediate Result 2 1 Improved Policy Environment for Broad-Based Growth							
<p>1 Per capita social expenditure</p>	<p>Definition Total social expenditures of the central government (which includes some transfers to regional governments) expressed in per capita terms USAID uses the GOP definition of social expenditures which includes three broad categories of expenditures 1) basic 2) focused or urgent and 3) other The entire budgets of the Ministries of Education and Health the Basic Justice program as well as a large number of more targeted programs operated by other GOP ministries are included in the social expenditure calculation (see attached notes for detailed explanation) Expenditures are expressed in current U S dollars Total population of the country is used to derive the per capita figure</p> <p>Unit Current U S dollars</p>	<p>Expenditure data The Ministry of Economy and Finance data are drawn from two publications <i>Peru in Numbers (Peru en Numeros)</i> and <i>Annual Public Sector Budget (Presupuesto del Sector Publico)</i></p> <p>Population data National Institute of Statistics (INEI)</p>	<p>GS1(t)]1 = TP(t)</p> <p>GS1(t) total social expenditures of the GOP public expenditure budget for year t</p> <p>TP(t) total population for year t (GOP/INEI estimate)</p>	<p>Annually budget data in Feb/March and population data in Jan</p>	<p>SO 2 Policy RP requests information from GOP</p>	<p>R4 Annual review with Ministry of the Presidency (PRES)</p>	<p>SO 2 & PDP SO 2 & PDP</p>

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS & REPORTING	
				SCHEDULE/ FREQUENCY	RESPONSIBLE TEAM/COSTS	SCHEDULE BY REPORT	RESPONSIBLE TEAM/OFFICE
2 Per capita social expenditure for the poor R4 Reported	<p>Definition social expenditures for the poor are defined as all central government expenditures (which includes some transfers to regional governments) for GOP programs classified by the GOP as "urgent " There are currently 14 such programs (see attached notes for detailed explanation) Expenditures are expressed in current U S dollars An estimate of the poor population of the country is used to derive the per capita figure The poor are defined as households whose per capita expenditure is lower than the cost of the basic/minimum consumption basket which is the basic food nutritional basket plus the cost of other necessary goods and services At current prices (1996) a person is defined as poor if his/her average daily expenditure does not exceed \$1 75</p> <p>Unit Number of current US dollars</p>	<p>Expenditure data The Ministry of Economy and Finance data are drawn from two publications <i>Peru in Numbers (Peru en Numeros)</i> and <i>Annual Public Sector Budget (Presupuesto del Sector Publico)</i></p> <p>Population data CUANTO SA</p>	<p>GS(t) }2= -- -- PP(t)</p> <p>GS(t) total social expenditures by the GOP classified as "urgent "</p> <p>PP(t) total poor population for year t</p>	Annually budget data in Jan/Feb and population data in Jan	SO2 Policy RP requests information from GOP	R4 Annual review with Ministry of the Presidency (PRES)	SO 2 & PDP SO 2 & PDP
3 Select policy legal or regulatory reforms	<p>Definition N/A</p> <p>[NOTE specific policies to be identified by SO2 extended team based on additional analysis]</p> <p>Unit</p>	N/A	N/A				
<p>COMMENTS/ NOTES Social expenditures for the poor include</p> <p>1 Min of Economy and Finance Glass of Milk Program 2 FONCODES (development social fund) 3 PRONAA (food assistance) 4 COOPOP (community works) 5 INFES (Education & Health Infrastructure) 6 PAR (Displaced Persons Program 7 Ministry of Agriculture (a) Support to Emergency Areas and (b) Pronamachs (soil conservation) 8 Ministry of the Presidency Water and Sewage Program 9 Ministry of Education Scholar food and Education (breakfasts) 10 Ministry of Transp & Communications Rural Roads program 11 Ministry of Energy & Mining Social Electricity Development Program 12 Presidency of the Ministers Council Civic Action 13 Ministry of Health Family Planning and Emergency Fund to fight epidemic diseases 14 Min of Economics & Finance Social Support Program/PL 480</p>							

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PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS & REPORTING	
				SCHEDULE/ FREQUENCY	RESPONSIBLE TEAM/COSTS	SCHEDULE BY REPORT	RESPONSIBLE TEAM/OFFICE
Intermediate Result 2 2 Increased Market Access for Microentrepreneurs and Small Farmers							
1 Value of exports of selected non traditional export products R4 Reported	<p>Definition Non traditional exports are defined as either (1) products that were not exported by Peru prior to 1992 or (2) products that were once exported by Peru but have not been exported on a regular basis during the last 5 years The selected products represent goods produced mainly by small farmers or microenterprises</p> <p>Agricultural products new dry bean varieties - garlic yellow onions yellow potatoes key lime cochineal mangoes coffee</p> <p>Microenterprise products handicrafts shoes</p> <p>Unit Current U S dollars</p>	National customs data from the National Customs Superintendency	Data are provided upon USAID request The value of exports for each product is tracked separately and aggregated into one annual figure	Annually in March /April	SO 2 Market access RP	R4	SO 2 & PDP
2 Number of new export markets for selected products [activity based]	<p>Definition When a client group establishes itself as a regular source of supply for an export market which it did not previously supply a new market has been established A "regular" source of supply is defined as a minimum of one transaction annually for two consecutive years</p> <p>Selected products to date dry beans mangoes key lime sweet yellow onions garlic Andean grains yellow potatoes coffee cacao alpaca fiber meat and skins handicrafts wearing apparel and shoes</p> <p>Unit Number of new markets</p>	Semi annual reports from ADEX	Direct information from clients is gathered and provided to USAID by counterparts	Annually February	SO 2 Market access RP	R4 Semi annual mtng t review with ADEX	SO 2 & PDP SO 2

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS & REPORTING	
				SCHEDULE/FREQUENCY	RESPONSIBLE TEAM/COSTS	SCHEDULE BY REPORT	RESPONSIBLE TEAM/OFFICE
3 Annual value of sales of selected products [activity based]	Definition Sales is defined as the aggregate value of sales from all USAID sponsored clients (customers) working with the selected products Selected products to date dry beans, mangoes key lime sweet yellow onions garlic Andean grains yellow potatoes, coffee cacao alpaca fiber meat and skins handicrafts wearing apparel and shoes Unit Current U S dollars	Semi annual reports from ADEX	Direct information from clients is gathered and provided to USAID by counterparts Results at the client level are collected when harvest sales occur	Annually February	SO 2 Market access RP	R4 Semi annual meeting review with ADEX	SO 2 & PDP SO 2
4 Farm gate producer price as a percentage of end price	Definition Farm gate/producer price is defined as the price paid to small farmers or microentrepreneurs for their products End price is defined as either the export price (FOB free on board) or the domestic wholesale price Selected products coffee cacao dry beans potatoes Unit Percent	Export price data National customs data from the National Customs Superintendency Producer/wholesale price for agriculture products Ministry of Agriculture Monthly Bulletins	Indicator is derived from simple average of ratio for each product Prices are published annual prices	Annually May	SO 2 Market access RP	R4	SO 2 & PDP
5 Number of microentrepreneurs and small farmers with improved market access [activity based]	Definition equivalent to the number of clients in USAID sponsored programs Programs are structured to identify markets prior to identifying clients Therefore by definition a program client has improved market access Unit Number	Semi annual reports from ADEX	Direct information from clients is gathered and provided to USAID by counterparts	Annually February	SO 2 Market access RP	R4	SO 2 & PDP
COMMENTS/NOTES							
Intermediate Result 2.3 Improved Productive Capacity of the Extremely Poor							
1 Chronic malnutrition rates [National and activity based] R4 Reported	Definition Children under 60 months with a height for age more than two standard deviations below the National Center for Health Statistics(NCHS) benchmark Unit percent N National R Rural PL Title II	Demographic Health Survey PVO surveys undertaken by the cooperating sponsor agencies (ADRA CARE PRISMA and CARITAS)	National survey Sentinel community surveys undertaken by the PVO cooperating sponsor agencies	Every 5 years Every 2 years	SO 2 & SO3 USAID total contribution to DHS is \$1 000 000 SO2 Improved Capacity RP	R4	SO 2 & PDP

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS & REPORTING	
				SCHEDULE/ FREQUENCY	RESPONSIBLE TEAM/COSTS	SCHEDULE BY REPORT	RESPONSIBLE TEAM/OFFICE
<p>2 Percent of households with two or more unsatisfied basic needs</p> <p>[National and activity based]</p> <p>R4 Reported</p>	<p>Definition A household is defined as having unsatisfied basic needs if it demonstrates at least two or more of the following characteristics</p> <p>no sewage drainage or toilet system more than three people per bedroom temporary construction materials i.e. dirt floors straw mat walls etc head of family with incomplete primary school and more than three dependents per income earner children between the ages of 6 and 12 that do not attend school</p> <p>Unit percent N National PL Title II</p>	<p>National Household Survey INEI</p> <p>PVO surveys undertaken by the cooperating sponsor agencies (ADRA CARE PRISMA and CARITAS)</p>	<p>National survey</p> <p>Sentinel community surveys undertaken by the PVO cooperating sponsor agencies</p>	<p>Annually February</p>	<p>SO 2 acquires INEI data</p> <p>SO2 Improved capacity RP</p>	<p>R4</p>	<p>SO 2 & PDP</p>
<p>COMMENTS/NOTES A special Title II report will include also Number of children in Title II Nutrition and Growth Monitoring programs Children with complete immunizations under Title II programs Percent of children enrolled in Title II programs who show positive growth trends Average weight gains Number of children graduating from feeding programs Beneficiaries that have completed cycle of training events Number of families with access to new sanitary/health facilities Hectares and families served that are incorporated under improved production technologies under new or rehabilitated irrigation systems Hectares incorporated under improved soil conservation or agroforestry practices, Number of marketing infrastructural works Kilometers of access roads rehabilitated Value of microcredit loan portfolio Number of loans Delinquency rates Loan default rates Temporary employment generated under Title II Food for Work programs Families assisted in coca producing zones Project supervision</p>							
<p>Intermediate Result 2 4 Increased Productivity of Microenterprises and Small Farms</p>							
<p>1 Yields per hectare of selected small farmer crops</p>	<p>Definition average per hectare yield (output) of selected crops The selected crops are grown primarily by small farmers two are grown in the coastal region two are grown in the sierra region and two are grown in the selva region</p> <p>Coastal - dry beans sweet yellow onions</p> <p>Sierra yellow potatoes Andean grains</p> <p>Selva coffee cacao</p> <p>Unit Metric Tons/Ha</p>	<p>Ministry of Agriculture Office of Statistics</p>	<p>Data provided to USAID upon request</p>	<p>Annually May</p>	<p>SO 2 requests data from Customs</p>	<p>R4</p>	<p>SO 2 & PDP</p>

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS & REPORTING	
				SCHEDULE/ FREQUENCY	RESPONSIBLE TEAM/COSTS	SCHEDULE BY REPORT	RESPONSIBLE TEAM/OFFICE
2 Reduction in production costs per unit of output of selected microenterprise products [activity based] R4 Reported	Definition Average yearly percentage reduction of production costs Per unit production costs (as a measure of productivity) of microenterprises owned by clients of USAID supported activities Selected products are defined as handicrafts wearing apparel and shoes Unit Percent	Annual reports from ADRA CARE CARITAS and PRISMA Semi annual reports from ADEX	Direct information from clients is gathered and provided to USAID by counterparts	Annually March	SO 2 Market access RP	R4	SO 2 & PDP
3 Number of clients/customers using improved technologies [activity based]	Definition Number of direct clients of USAID projects that are using improved technologies introduced by USAID Improved technologies are those directed to improve management marketing and production skills In addition Number of non direct clients will be tracked Non-direct clients are those that are not receiving direct assistance from USAID but are part of the target groups Unit Number	Semi annual reports from ADEX Special studies	Direct information from clients is gathered and provided to USAID by counterparts Special studies conducted for each targeted product	Annually February Every two years	SO 2 Market access RP	R4	SO 2 & PDP
COMMENTS/NOTES							
Intermediate Result 2 4 1 Increased Availability of Financial Services by Microentrepreneurs and Small Farmers							
1 Number of microentrepreneurs and small farmers that have access to credit [activity based] R4 Reported	Definition Number of USAID microentrepreneurs and small farmers clients that have accessed USAID and non USAID credit sources and number of microentrepreneurs and small farmers clients of USAID assisted credit retailer NGO financial institutions USAID clients are defined as those receiving direct technical assistance or training USAID assisted credit retailers are those that receive technical assistance to improve their credit providing capacity Unit Number	Annual reports from ADRA CARE CARITAS and PRISMA Semi annual reports from ADEX	Direct information from clients is gathered and provided to USAID by counterparts	Annually February	SO 2 Market access RP	R4	SO 2 & PDP
2 Total amount in U S dollars made available to USAID/Peru clients	Definition Amount of U S dollars that USAID sponsored financial programs have made available to low income people Unit Thousands of U S dollars	Annual reports from ADRA CARE CARITAS and PRISMA Semi annual reports from ADEX	Direct information from clients is gathered and provided to USAID by counterparts	Annually February	SO 2 Market access RP	R4	SO 2 & PDP

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS & REPORTING	
				SCHEDULE/ FREQUENCY	RESPONSIBLE TEAM/COSTS	SCHEDULE BY REPORT	RESPONSIBLE TEAM/OFFICE
3 Average delinquency rate of USAID sponsored credit activities	<p>Definition Delinquency rates for each credit provider and average rate weighted by size of total portfolio</p> <p>Unit Average yearly rate</p>	Annual reports from ADRA CARE CARITAS and PRISMA Semi annual reports from ADEX	Direct information from clients is gathered and provided to USAID by counterparts	Annually February	SO 2 Market access RP	R4	SO 2 & PDP
COMMENTS/NOTES							
Intermediate Result 2 5 Increased Effectiveness and Efficiency of Organizations Providing Assistance to the Poor							
1 Number of USAID supported NGOs realizing a reduction in administrative costs at either of two levels 1) 10% 15% or 2) over 15% [Note defined as a measure of efficiency]	<p>Definition Administrative costs are defined as all expenditures that do not directly support NGO program or activities This is a cumulative indicator aggregating over time the number of NGOs that realize the specified administrative costs savings each year (USAID s program works with a "new" set of NGOs each year) Administrative costs are calculated as a percent of overall costs (administrative and program) when an NGO enters a USAID supported program The same calculation is made at the conclusion of the program period and compared to the initial figure The percent change determines whether an NGO is included in either of the two cost savings categories (For additional detail refer to attached explanatory notes)</p> <p>Unit Number of NGOs</p>	Accounting records of NGOs and PVOs participating in USAID supported programs relevant to SO 2 PVO Support Title II and MSP)	<p>Administrative costs for each NGO are calculated as follows</p> $\%AC = \frac{AC}{TC}$ <p>AC = admin costs TC = admin + program costs</p> <p>% change in admin costs is calculated as follows</p> $\%C = \frac{\%ACb - \%ACe}{\%ACb}$ <p>%ACb = admin costs at start of period %ACe = admin costs at end of period</p> <p>Cost data will be provided by each implementing org</p>	Annually in December	SO 2 Organizations RP requests and compiles information	R4	SO 2 & PDP

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS & REPORTING	
				SCHEDULE/ FREQUENCY	RESPONSIBLE TEAM/COSTS	SCHEDULE BY REPORT	RESPONSIBLE TEAM/OFFICE
2 Number of USAID supported NGOs that meet or exceed expected levels of improvement in targeting poor districts	<p>Definition Expected levels of improved targeting towards districts classified as "high priority poor" are defined as follows: NGOs that spend up to 33% of total program resources in poor districts are expected to improve targeting by at least 50% (for example moving from an initial level of 25% spending in poor districts to a level of 38%). NGOs that spend between 34% and 66% of program resources are expected to improve targeting by at least 25%, and NGOs that spend over 66% of program resources are expected to improve targeting by at least 12.5%. This is a cumulative indicator aggregating over time the number of NGOs that meet expected targeting levels (USAID's program works with a "new" set of NGOs each year).</p> <p>Unit: Number</p>	Reports of NGOs and PVOs that participate in programs or implement activities supported by USAID (PVO Support Title II and MSP)	<p>Ratio for targeting improvements are calculated as follows for each NGO:</p> $\%TI = \frac{EP}{TC}$ <p>EP = Expenditures in Poor districts TC = Total expenditures TI = Targeting ratio % change in targeting is calculated as follows:</p> $\%TC = \frac{\%Tib}{\%Tia}$ <p>%Tia = ratio at start of period %Tib = ratio at end of period</p>	Annually in December	SO 2 Organizations RP requests and compiles information	R4	SO 2 & PDP
3 Value of NGO program resources that have been shifted to focus on the poor	<p>Definition Value of resources that have been shifted from programs in districts not classified as poor to programs in districts classified as "high priority poor". The indicator is meant to capture an improved focus over a one-year period. This is a cumulative indicator aggregating over time the annual value of program resources that have been shifted to poor districts.</p> <p>Unit: US current dollars</p>	Reports of NGOs and PVOs that participate in programs or implement activities supported by USAID (PVO Support Title II and MSP)	<p>Derived from adding the EP for each NGO:</p> $EP_t - EP_{t-1}$ <p>t = the reporting period t-1 = the previous reporting period to period t</p>	Annually in December	SO 2 Organizations RP requests and compiles information	R4	SO 2 & PDP

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS & REPORTING	
				SCHEDULE/ FREQUENCY	RESPONSIBLE TEAM/COSTS	SCHEDULE BY REPORT	RESPONSIBLE TEAM/OFFICE
4 Number of organizations that use management systems	<p>Definition An organization qualifies as having management systems in place if it meets the following criteria (1) uses the logical framework methodology as a planning and management tool (2) has an operational monitoring and evaluation system in place and (3) has an effective accounting system in place (to meet this criterion an accounting system must be auditable be transparent and use standard accounting techniques and have an internal checking system)</p> <p>Unit Number</p>	Reports of NGOs and PVOs that participate in programs or implement activities supported by USAID (PVO Support Title II and MSP) as well as assessments conducted by USAID implementing agents (e g PACT)	Information provided to USAID by relevant NGOs PVOs and other organizations as part of their regular reporting procedures In addition information is collected via assessments by USAID implementing agents (e g PACT ADEX)	Annually in December	SO 2 Organizations RP requests and compiles information	R4	SO 2 & PDP
<p>COMMENTS/ NOTES High priority poor districts are those 419 districts classified by the Ministry of the Presidency (PRES) as of the highest priority for attention includes extremely poor districts</p>							

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October 28 1997

B Performance Monitoring Plan (PMP) for SO2

The PMP for SO2 includes the indicators needed by activity managers and the SO team (SOT) to manage for results. To facilitate the USAID/W review, a selected number of indicators will be reported annually through the R4 to measure achievement of the strategy. These indicators are shown in bold.

Strategic Objective: Increased Incomes of the Poor

Performance Indicators

- **Value of expenditures per capita of the poor**
- Value of expenditures per capita of the extremely poor
- Percentage of poor in the population
- **Percentage of extremely poor in the population**

Reliable measures of incomes are difficult to obtain. However, the SOT determined that two of the current indicators, *value of expenditures per capita of the poor* and *percent of poor and extremely poor in the population*, although indirect measures of income, are strong and objective proxies. In addition, the team decided to track the poor and extremely poor populations to better capture the dynamics of the poverty situation in Peru, i.e., to better understand and portray both the respective sizes of the poor and extremely poor populations and the movement of individuals between the two.

Intermediate Result 2.1: Improved Policy Environment for Broad-Based Growth

Indicators

- Per capita social expenditure
- **Per capita social expenditure for the poor**
- *Preliminary* Select policy, legal or regulatory reforms

Effective social policies will ensure an adequate policy environment for broad-based growth. The first two indicators will reflect budget policies and will measure the degree to which the GOP will commit itself to poverty alleviation. It will also reflect an increased efficiency and effectiveness of GOP social expenditures. The first indicator tracks general social program expenditures (overall budgets for health, education, justice, poverty alleviation), while the second one tracks specific programs directed to poverty alleviation.

The indicator for policy reform will be defined once the new policy related intervention is fully designed. A policy matrix that will track key policies by their respective stages of implementation and capture the extent of impact is envisioned.

Intermediate Result 2.2: Increased Market Access for Microentrepreneurs and Small Farmers

Indicators

- **Value of exports of selected non-traditional export products**
- Farm-gate producer price as a percentage of end price
- Annual value of sales of selected products

- Number of new export markets for selected products
- Number of microentrepreneurs and small farmers with improved market access

The indicators reflect results obtained from greater access to markets. The first two indicators are national level, which measure, respectively, the aggregate value of a set of selected non-traditional exports and the percent of end price which is earned by the producer (a measure of market efficiency and, by extension, access). Both of these indicators focus on a set of products which are closely associated with USAID-supported activities, but measure impact beyond direct USAID beneficiaries. The second indicator is also expected to reflect increased access to market information and increased market efficiency as a result of improved transportation and communications infrastructure. The third and fourth indicators, *annual value of sales of selected products* and *number of new export markets for selected products*, capture impact only upon direct project/activity beneficiaries. The last indicator, an output level indicator and not a proxy for IR 2.2, only provides additional activity level data directly related to the USAID/Peru program.

Intermediate Result 2.3 Improved Productive Capacity of the Extremely Poor

Indicators

- **Chronic malnutrition rates**
- **Percentage of households with two or more unsatisfied basic needs**

The extremely poor need to have minimum nutrition levels and access to the minimum basic services in order to have the capacity to fully enter into the economic development process. The first indicator captures the human capacity of the extremely poor to be more productive. The second indicator captures the capacity of the extremely poor to have access to basic services. The team is using the same GOP definition of "unsatisfied basic needs"⁶ (See PMP tables). Both indicators will be tracked at national and activity level. It is expected that the indicator in the areas directly related to the USAID program will show better performance.

In addition, the SOT accepted a recommendation of the USAID/W food security team to add a set of process level indicators (e.g., children exhibiting positive growth trends) as a means to more explicitly link Title II-sponsored activities to Intermediate Result 2.3. It was agreed that these indicators (see the special reporting for Title II section below) will be reported separately to USAID/W.

Intermediate Result 2.4 Increased Productivity of Microenterprises and Small Farms

Indicators

- Yields per hectare of selected small farmers crops

⁶ Another method to measure poverty used by the National Institute of Statistics is the method of Unsatisfied Basic Needs. This methodology identifies the population that do not have access to a set of basic family needs which are characteristics of poverty. These characteristics are: no sewage drainage or toilet system; more than three people per bedroom; temporary construction materials (i.e., dirt floors, straw mat walls, etc.); head of family with incomplete primary school; and more than three dependents per income earner (children between the ages of 6 and 12 that do not attend school). Families in extreme poverty usually present two or more of these characteristics or "unsatisfied basic needs."



- **Percentage reduction in production costs per unit of selected microenterprise products**

These indicators measure increased productivity on small farms and among microenterprises. The crop yields measure will focus on a set of crops which are closely associated with USAID-supported activities, but will measure impact beyond direct USAID beneficiaries. The microenterprise productivity indicator continues to track impact only upon direct activity/project beneficiaries, although the SOT is exploring options aimed at collecting productivity data on a broader scale.

Intermediate Result 2.4.1 Increased Access to Financial Services by Small Farmers and Microentrepreneurs

Indicators

- **Number of microentrepreneurs and small farmers that have access to credit**
- **Total amount in U.S. dollars made available to USAID/Peru clients**
- **Average delinquency rate of USAID-sponsored credit activities**
- **Total amount of savings generated by clients**

Intermediate Result 2.4.1 directly supports the achievement of IR 2.4 and, in turn, the achievement of SO2. It highlights the importance of credit to the development hypothesis which supports SO2 and the increased attention being paid by the Agency to issues related to the extension of credit to both microenterprises and small farmers. The first two indicators reflect access to credit, a result which similarly contributes to increased productivity (for example, credit permits the timely purchase of improved inputs and technologies). Repayment of loans on schedule is a proxy measure of increased management practices of men and women participants as well as effective use of credit. Good financial and administrative skills relate to good repayment rates.

Intermediate Result 2.5 Increased Effectiveness and Efficiency of Organizations Providing Assistance to the Poor

Indicators

- **Number of USAID-supported NGOs/PVOs realizing a reduction in administrative costs at either of two levels: 1) 10-15 percent or 2) over 15 percent**
- **Number of USAID-supported NGOs/PVOs that meet or exceed expected levels of improvement in targeting poor districts**
- **Value of NGO/PVO resources that have been shifted to focus on the poor**
- **Number of organizations that use management systems**

The indicators presented here reflect an attempt by the SOT to operationalize indicator concepts of organizational efficiency and effectiveness. The first indicator attempts to measure the efficiency of the organization. Institutional strengthening needs to be translated into a tangible benefit in economic terms for the disadvantaged populations, the financing institutions and the NGOs. Reduced administrative costs will increase the NGO funds available for programs, and therefore to the target populations. If NGOs can demonstrate that they have reasonable costs and are making efforts to improve, this will create a better climate for cooperation and increase the confidence of financial institutions, including the GOP. A transparent financial system can be a useful instrument to

demonstrate that the NGO has an efficient management capacity, increasing its competitiveness with respect to others, thereby fostering its sustainability

The targeting related indicators attempt to measure the effectiveness of the organizations. The SO2 team considers that an indicator that measures the increased focussing of resources to the areas of greatest need and the effort of NGOs to comply with their mission are pertinent indicators to measure their capacity. The hypothesis is that institutional strengthening facilitates NGOs to develop and put in practice their capacities to orient adequately the resources of national and international cooperation to locations where more disadvantaged people are and where the NGOs can be an alternative to the GOP or the only option. Moreover, it is assumed that a strong NGO should be capable of better carrying out its role of development promoter among the poorest.

These indicators are still preliminary. Collecting comparable data that have management utility is problematic. Willingness of the organizations to share their financial information is still an issue.

The indicator tracking organizations' use of management systems is considered as a proxy measure of the IR (that is, organizational capacity as a measure of organizational effectiveness).

Special Reporting for Title II

In order to fulfill BHR/FFP (Office of Food for Peace, Bureau for Humanitarian Response) information needs for Title II funded activities, and to have additional management information regarding the Title II program, the following annual indicators are compiled. These indicators are measured across the four Peru Cooperating Sponsor programs, and are disaggregated to permit comparative performance analyses.

Food Utilization

- 1 Children in Title II nutrition and growth monitoring programs
- 2 Children with completed immunizations under Title II programs
- 3 Beneficiaries that have completed cycle of training events
- 4 Children showing positive growth trends
- 5 Children graduating from feeding programs

The first four indicators are process indicators. The first one measures coverage through employment of improved targeting mechanisms (geographic and socio-economic screening filters) while the other three measure the actual results of the program on targeted households and specifically on the malnourished children of those households. The fifth indicator measures the effectiveness of the program, since, to graduate, children need to be fully rehabilitated as determined by a set of objective indicators that includes nutritional height/weight/age statistics, immunizations and caretakers attending a minimum cycle of health and nutrition training events.

Food access

- 6 Number of hectares under improved soil conservation/agroforestry practices
- 7 Hectares incorporated under improved production technologies
- 8 Hectares incorporated under new or rehabilitated irrigation systems

These indicators are intended to register program efforts to increase on-farm production of food and saleable commodities. It is important to measure overall area since farmers often adopt a step-wise fashion in employing new technologies and practices on only a small portion of the overall holding. In addition, the program will track the number of families adopting such improved practices.

9 Kilometers of access roads rehabilitated

10 Number of marketing infrastructure facilities constructed

These two indicators will track program efforts to reduce food costs and increase food access. The number of families served will also be tracked.

11 Number of sanitary/health infrastructure works constructed or installed

This indicator will measure program efforts to enhance food utilization. Sanitary/health infrastructure works include health posts, potable water/sewerage systems, latrines, etc. The program also tracks the number of families served.

12 Temporary employment generated under Title II Food for Work programs

This indicator will measure one of the key activities of the Title II program. The program will quantify both the number of families who had access to temporary employment, as well as the number of person/months (wages) generated. The indicator is less concerned with sustainability than with the safety net dimension of the food program, however, many of the investments in environment, transport, and schools, for example, will have long-term benefits, some of which will contribute to long-term employment opportunities.

13 Value of micro-credit loan portfolio

14 Number of loans

15 Delinquency rates

16 Loan default rates

This group of indicators monitor the efficiency of micro-credit program activities.

17 Families assisted in coca producing zones

18 Project Supervision

The first indicator will show the program contribution to the Misison's Alternative Development Special Objective, and the second will fulfill auditing requirements.



RESULTS TRACKING TABLES

Strategic Objective Two Increased Incomes of the Poor

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	BASELINE DATA		TARGETS				
			YEAR	VALUE	1997	1998	1999	2000	2001
STRATEGIC OBJECTIVE 2 INCREASED INCOMES OF THE POOR									
<p>1 Value of Expenditures per capita of the Poor</p> <p>(Data analyzed by socio economic and geographic variables)</p> <p>R4 Reported</p>	<p>Definition The poor are defined as household whose per capita expenditure is lower than the cost of the basic/minimum consumption basket which is the basic food nutritional basket plus the cost of other necessary goods and services At current prices (1996) a person is defined as poor if his/her average daily expenditure does not exceed \$1 75</p> <p>Assumptions (a) U S \$2 2 for 1994 and devaluation effects incorporated every year thereafter (b) 1 7% annual population growth rate and (c) average of six members per household/year</p> <p>Unit U S 1994 dollars/capita/year</p>	<p><i>The National Living Standards Survey</i> conducted by CUANTO SA</p>	<p>1994</p> <p>Lima</p> <p>Rural Sierra</p>	<p>447</p> <p>568</p> <p>340</p>	510	529	549	570	592
<p>2 Value of Expenditures per capita of the extremely Poor</p> <p>(Data analyzed by socio economic and geographic variables)</p>	<p>Definition The extremely poor are defined as household whose per capita expenditure is lower than the cost of the basic food nutritional basket At current prices (1996) a person is defined as extremely poor if his/her average daily expenditure does not exceed \$1 00</p> <p>Assumptions (a) U S \$2 2 for 1994 and devaluation effects incorporated every year thereafter (b) 1 7% annual population growth rate and (c) average of seven members per household/year</p> <p>Unit U S 1994 dollars/capita/year</p>	<p><i>The National Living Standards Survey</i> conducted by CUANTO SA</p>	<p>1994</p> <p>Lima</p> <p>Rural Sierra</p>	<p>257</p> <p>320</p> <p>270</p>	287	298	310	321	334
<p>3 Percentage of Poor in the Population</p> <p>(Data analyzed by socio economic and geographic variables)</p>	<p>Definition The poor are defined as household whose per capita expenditure is lower than the cost of the basic/minimum consumption basket which is the basic food nutritional basket plus the cost of other necessary goods and services At current prices (1996) a person is defined as poor if his/her average daily expenditure does not exceed \$1 75</p> <p>Unit Percent</p>	<p><i>The National Living Standards Survey</i> conducted by CUANTO, SA</p>	1996	51	48	44	41	38	35

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	BASELINE DATA		TARGETS				
			YEAR	VALUE	1997	1998	1999	2000	2001
4 Percentage of Extremely Poor in the Population (Data analyzed by socio-economic and geographic variables) R4 Reported	Definition The extremely poor a subset of the poor population are defined as household whose per capita expenditure is lower than the cost of the basic food nutritional basket that covers minimum nutritional requirements Unit Percentage	<i>The National Living Standards Survey</i> conducted by CUANTO SA	1996	18.9	17.0	15.3	13.8	12.5	11.2
COMMENTS Socio economic variables include Sex, education age Geographic variables urban, rural, Lima coast Sierra Jungle									
Intermediate Result 2.1 Improved Policy Environment for Broad-Based Growth									
1 Per capita social expenditure	Definition Total social expenditures of the central government (which includes some transfers to regional governments) expressed in per capita terms USAID uses the GOP definition of social expenditures which includes three broad categories of expenditures 1) basic 2) focused or urgent and 3) other The entire budgets of the Ministries of Education and Health the Basic Justice program as well as a large number of more targeted programs operated by other GOP ministries are included in the social expenditure calculation (see attached notes for detailed explanation) Expenditures are expressed in current U S dollars Total population of the country is used to derive the per capita figure Unit Current U S dollars	Expenditure data The Ministry of Economy and Finance data are drawn from two publications <i>Peru in Numbers (Peru en Numeros)</i> and <i>Annual Public Sector Budget (Presupuesto del Sector Publico)</i> Population data National Institute of Statistics (INEI)	1996	158					180

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	BASELINE DATA		TARGETS				
			YEAR	VALUE	1997	1998	1999	2000	2001
2 Per Capita Social Expenditure for the Poor R4 Reported	<p>Definition Social expenditures for the poor are defined as all central government expenditures (which includes some transfers to regional governments) for GOP programs classified by the GOP as urgent. There are currently 14 such programs. An estimate of the poor population of the country is used to derive the per capita figure. The poor are defined as households whose percapita expenditure is lower than the cost of the basic/minimum consumption basket which is the basic food nutritional basket plus the cost of other necessary goods and services. At current prices (1996) a person is defined as poor if his/her average daily expenditure does not exceed \$1.75</p> <p>Unit 1996 U S dollars</p>	<p>Expenditure data The Ministry of Economy and Finance data are drawn from two publications <i>Peru in Numbers (Peru en Numeros)</i> and <i>Annual Public Sector Budget (Presupuesto del Sector Publico)</i></p> <p>Population data Cuanto S A Living Standard Survey</p>	1996	69	75	82	90	103111	
3 Select policy legal or regulatory reforms	<p>Definition N/A</p> <p>[NOTE specific policies to be identified by the SO2 extended team based on additional analysis]</p> <p>Unit</p>	N/A							
<p>COMMENTS/NOTES Social expenditures for the poor include</p> <p>1 Min of Economy and Finance Glass of Milk Program, 2 FONCODES (development social fund) 3 PRONAA (food assistance) 4 COOPOP (community works) 5 INFES (Education & Health Infrastructure) 6 PAR (Displaced Persons Program 7 Ministry of Agriculture (a) Support to Emergency Areas and (b) Pronamachs (soil conservation) 8 Ministry of the Presidency Water and Sewage Program 9 Ministry of Education Scholar food and Education (breakfasts) 10 Ministry of Transp & Communications Rural Roads program 11 Ministry of Energy & Mining Social Electricity Development Program 12 Presidency of the Ministers Council Civic Action 13 Ministry of Health Family Planning and Emergency Fund to fight epidemic diseases 14 Min of Economics & Finance Social Support Program/PL 480</p>									

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	BASELINE DATA		TARGETS				
			YEAR	VALUE	1997	1998	1999	2000	2001
Intermediate Result 2.2 Increased Market Access for Microentrepreneurs and Small Farmers									
1 Value of exports of selected non traditional export products R4 Reported	<p>Definition Non traditional exports are defined as either (a) products that were not exported by Peru prior to 1992 or (b) products that have not been exported on a regular basis during the last 5 years. The FOB value of exports of each selected product is aggregated to produce this indicator. Selected products represent goods produced mainly by small farmers and microenterprises. The value of exports for each product is tracked separately and is aggregated into one annual figure.</p> <p>Agricultural products: new dry bean varieties, garlic, yellow onions, yellow potatoes, key lime, grapes, cochineal, coffee.</p> <p>Microenterprise products: handicrafts, shoes.</p> <p>Unit: Thousands of current U.S. dollars.</p>	National Customs Administration (SUNAD) Annual Reports	1995	354 512	422 887	495 281	580 125	680 745	800 568
2 Number of new export markets for selected clients [Activity based]	<p>Definition A new market has been established when a client group establishes itself as a regular source of supply for an export market which it did not previously supply. A regular source of supply is defined as a minimum of one transaction annually for two consecutive years.</p> <p>Selected products to date: dry beans, mangoes, key lime, sweet yellow onions, garlic, Andean grains, yellow potatoes, coffee, cacao, alpaca fiber, meat and skins, handicrafts (ceramics, rugs, painted wood products, knitwear), wearing apparel and shoes.</p> <p>Unit: Number of new markets in the given year.</p>	Semi annual reports ADEX	1995	15	10	10	10	10	10
3 Annual value of sales of selected products [Activity based]	<p>Definition Aggregate value of sales of USAID's customers working with selected products.</p> <p>Selected products to date: dry beans, mangoes, key lime, sweet yellow onions, garlic, Andean grains, yellow potatoes, coffee, cacao, alpaca fiber, meat and skins, handicrafts, wearing apparel and shoes.</p> <p>Unit: Current U.S. dollars.</p>	ADEX	1995	7 174	36 832	56 832	81 141	108 793	143 901

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	BASELINE DATA		TARGETS				
			YEAR	VALUE	1997	1998	1999	2000	2001
4 Farm gate or producer price as a percentage of end prices	<p>Definition Farm gate/producer price is defined as the price paid to small farmers or microentrepreneurs for their products. Each price is defined as either the export price (FOB) or the domestic wholesale price.</p> <p>Selected products coffee cacao dry beans potatoes Wearing apparel</p> <p>Unit Percentage</p>	Ministry of Agriculture Monthly Bulletin	1995	30	40	45	50	50	50
5 Number of microentrepreneurs and small farmers with improved market access [activity based]	<p>Definition equivalent to the number of clients in USAID sponsored programs. Programs are structured to identify markets prior to identifying clients. Therefore by definition a program client has improved market access.</p> <p>Unit Number</p>	Semi annual reports from ADEX	1996						
COMMENTS/NOTES									

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	BASELINE DATA		TARGETS					
			YEAR	VALUE	1997	1998	1999	2000	2001	
Intermediate Result 2 3 Improved Productive Capacity of the Extremely Poor										
1 Chronic Malnutrition Rates [National and Title II activity based] (Data analyzed by geographical characteristics) R4 Reported	Definition Children aged under 60 months with a height for age more than two standard deviations below the National Center for Health Statistics (NCHS) benchmarks Unit Percentage N National R Rural PL Title II	Demographic Health Survey (DHS) undertaken by the National Statistics Institute (INEI) PVO surveys undertaken by the cooperating sponsor agencies (ADRA CARE PRISMA and CARITAS)	1996	27 N 42 R						24 N 36 R
2 Percent of households with two or more unsatisfied basic needs (Data analyzed by socio economic and geographic variables) [National and Title II activity based] R4 Reported	Definition A household is defined as having unsatisfied basic needs if it demonstrates at least two or more of the following characteristics no sewage drainage or toilet system more than three people per bedroom temporary construction materials i.e dirt floors straw mat walls etc head of family with incomplete primary school and more than three dependents per income earner children between the ages of 6 and 12 that do not attend school Unit Percentage N National PL Title II	National Household Survey INEI PVO surveys undertaken by the cooperating sponsor (ADRA CARE PRISMA and CARITAS)	1995 (N)	14.4	13.7	13.0	12.3	11.7	11.1	
COMMENTS/NOTES A special Title II report will include also Number of children in Title II Nutrition and Growth Monitoring programs Children with complete immunizations under Title II programs Percent of children enrolled in Title II programs who show positive growth trends Average weight gains Number of children graduating from feeding programs Beneficiaries that have completed cycle of training events Number of families with access to new sanitary/health facilities Hectares and families served that are incorporated under improved production technologies under new or rehabilitated irrigation systems Hectares incorporated under improved soil conservation or agroforestry practices Number of marketing infrastructural works kilometers of access roads rehabilitated Value of microcredit loan portfolio Number of loans Delinquency rates Loan default rates Temporary employment generated under Title II Food for Work programs Families assisted in coca producing zones Project supervision										

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	BASELINE DATA		TARGETS					
			YEAR	VALUE	1997	1998	1999	2000	2001	
Intermediate Result 2.4 Increased Productivity of Microenterprises and Small Farmers										
1 Yields per hectare of selected small farmer crops	<p>Definition Average percentage increase in yields (output) per hectare of selected crops Selected crops are grown mainly by small farmers</p> <p>Coastal products - dry beans sweet yellow onions</p> <p>Sierra products yellow potatoes Andean grains</p> <p>Selva products coffee cacao</p> <p>Unit Average yearly percentage of change</p>	Ministry of Agriculture Office of Statistics	1995	0%	29.5	15.0	15.0	15.0	15.0	
2 Reduction in production costs per unit of output of selected microenterprise products R4 Reported 1/	<p>Definition Average percentage reduction in production costs (as a measurement of productivity) of microenterprises owned by USAID customers Selected products are handicrafts wearing apparel and shoes</p> <p>Unit Average yearly percentage of change</p>	Annual reports from ADRA CARE CARITAS and PRISMA Semi annual reports from ADEX	1995	0	20	10	8	8	5	
3 Number of clients/customers using improved technologies [activity based]	<p>Definition Number of direct clients of USAID projects that are using improved technologies introduced by USAID Improved technologies are those directed to improve management marketing and production skills In addition Number of non-direct clients will be tracked Non direct clients are those that are not receiving direct assistance from USAID but are part of the target groups</p> <p>Unit Number</p>	Semi annual reports from ADEX Special studies								
<p>COMMENTS/NOTES 1/ Targets presented in the R4 FY97-FY99 considered a total 70 percent reduction by the year 2001 based on the results obtained by the activity in this area Following recommendations received during the R4 review targets were lowered down to a total 50 percent reduction by the year 2001</p>										

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	BASELINE DATA		TARGETS				
			YEAR	VALUE	1997	1998	1999	2000	2001
Intermediate Result 2 4 1 Increased Access to Financial Services by Microentrepreneurs and Small Farmers									
1 Number of microentrepreneurs and small farmers that have access to credit [activity based] R4 Reported	Definition Number of USAID microentrepreneurs and small farmers clients that have accessed USAID and non USAID credit sources, and number of microentrepreneurs and small farmers clients of USAID assisted credit retailer NGO financial institutions USAID clients are defined as those receiving direct technical assistance or training USAID assisted credit retailers are those that receive technical assistance to improve their credit providing capacity Unit Number	Annual reports from ADRA CARE CARITAS and PRISMA Semi annual reports from ADEX	1995	3 000	9 800	20 000	30 000	40 000	50 000
2 Total amount in U S dollars made available to USAID/Peru customers	Definition Amount of U S dollars that USAID sponsored financial programs have made available to low income people Unit Thousands of U S dollars	Annual reports from ADRA CARE CARITAS and PRISMA Semi annual reports from ADEX	1995	3 500	13 500	20 000	40 000	60 000	80 000
3 Average delinquency rate of USAID sponsored credit activities	Definition Delinquency rates for each credit provider and average rate weighted by size of total portfolio Unit Average yearly rate	Annual reports from ADRA CARE CARITAS and PRISMA Semi annual reports from ADEX	1995	12%	5%	3%	3%	3%	3%
COMMENTS/NOTES									

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	BASELINE DATA		TARGETS				
			YEAR	VALUE	1997	1998	1999	2000	2001
Intermediate Result 2 5 Increased Effectiveness and Efficiency of Organizations Providing Assistance to the Poor									
<p>1 Number of USAID supported NGOs realizing a reduction in administrative costs at either of two levels 1) 10% 15% or 2) over 15%</p> <p>[Note defined as a measure of efficiency]</p>	<p>Definition Administrative costs are defined as all expenditures that do not directly support NGO program or activities This is a cumulative indicator aggregating over time the number of NGOs that realize the specified administrative costs savings each year (USAID s program works with a "new" set of NGOs each year) Administrative costs are calculated as a percent of overall costs (administrative and program) when an NGO enters a USAID supported program The same calculation is made at the conclusion of the program period and compared to the initial figure The percent change determines whether an NGO is included in either of the two cost savings categories (For additional detail refer to attached explanatory notes)</p> <p>Unit Number of NGOs</p>	<p>Accounting records of NGOs and PVOs participating in USAID supported programs relevant to SO 2 PVO Support Title II and MSP)</p>							
<p>2 Number of USAID supported NGOs that meet or exceed expected levels of improvement in targeting poor districts</p>	<p>Definition Expected levels of improved targeting towards districts classified as "high priority poor districts are defined as follows NGOs that spend up to 33% of total program resources in poor districts are expected to improve targeting by at least 50 % (for example moving from an initial level of 25% spending in poor districts to a level of 38%) NGOs that spend between 34% and 66% of program resources are expected to improve targeting by at least 25% and NGOs that spend over 66% of program resources are expected to improve targeting by at least 12 5% This is a cumulative indicator aggregating over time the number of NGOs that meet expected targeting levels (USAID s program works with a "new" set of NGOs each year)</p> <p>Unit Number</p>	<p>Reports of NGOs and PVOs that participate in programs or implement activities supported by USAID (PVO Support Title II and MSP)</p>							

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	BASELINE DATA		TARGETS				
			YEAR	VALUE	1997	1998	1999	2000	2001
3 Value of NGO program resources that have been shifted to focus on the poor	<p>Definition Value of resources that have been shifted from programs in districts not classified as poor to programs in districts classified as high priority poor. The indicator is meant to capture an improved focus over a one year period. This is a cumulative indicator aggregating over time the annual value of program resources that have been shifted to "poor" districts.</p> <p>Unit US current dollars</p>	Reports of NGOs and PVOs that participate in programs or implement activities supported by USAID (PVO Support Title II and MSP)							
4 Number of organizations that use management systems	<p>Definition An organization qualifies as having management systems in place if it meets the following criteria (1) uses the logical framework methodology as a planning and management tool (2) has an operational monitoring and evaluation system in place and (3) has an effective accounting system in place (to meet this criterion an accounting system must be auditable be transparent and use standard accounting techniques and have an internal checking system)</p> <p>Unit Number</p>	Reports of NGOs and PVOs that participate in programs or implement activities supported by USAID (PVO Support Title II and MSP) as well as assessments conducted by USAID implementing agents (e.g. PACT)							
COMMENTS/ NOTES High priority poor districts are those 419 districts classified by the Ministry of the Presidency (PRES) as of the highest priority for attention includes extremely poor districts									

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C Results Tracking Tables (RTT) for SO2

Targets for SO2 indicators were developed assuming that the SOT will have enough resources to continue assisting the GOP to target its investments to the poor population, an improved targeting of Title II resources, and enough resources to continue with the development of selected products that will allow microentrepreneurs and small farmers to increase their access to markets. Targets will be revised annually, based on actual resource levels and past performance.

Rationale for Targets

Strategic Objective Level Increased Incomes of the Poor

Performance Indicators

Value of expenditures per capita of the poor

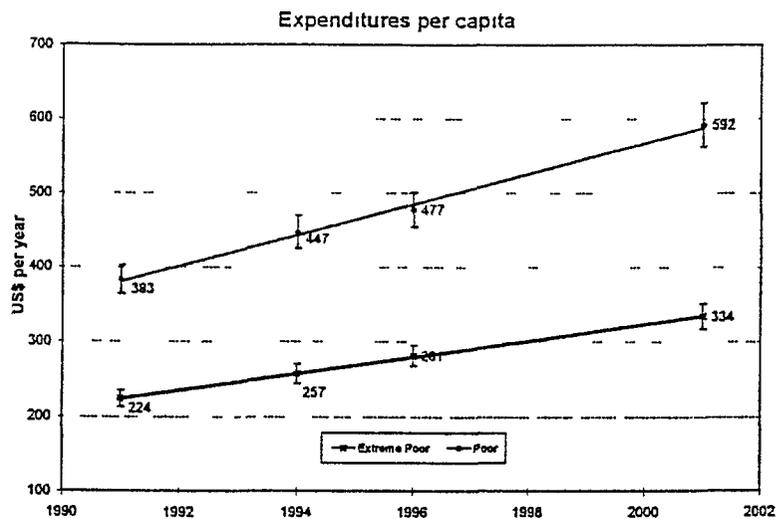
Baseline (1994) US\$ 447 per year Target (2001) US\$592

Value of expenditures per capita of the extremely poor

Baseline (1994) US\$ 257 per year Target (2001) US\$334

Percentage of poor in the population

Baseline (1994) 51 Target (2001) 35



Percentage of extremely poor in the population

Baseline (1996) 18.9 Target (2001) 11.2

The targets for these four indicators consider the strong GOP commitment to reduce extreme poverty and poverty by the year 2000, and use the model developed by Francke P (1996)⁷, based on the evolution of poverty and GDP in Peru during the last decade. The model estimates that under certain conditions and with an average GDP growth rate of 5.5 percent during 1997-2001, the GDP per capita growth rate will permit a reduction of poverty and extreme poverty at levels of 5.7 and 8.3 percent (per year) respectively.

⁷ Francke P (1996) "Tipos de Crecimiento y Pobreza: Una Aproximación" in Cómo Estamos?, Análisis de la Encuesta de Niveles de Vida (Moncada and Webb Ed) Instituto CUANTO UNICEF (1996). The model estimates the effect that a projected per capita GDP growth of 3.8% (annually for the period 1997-2001) will have on poverty and extreme poverty under the following assumptions:

Mining, construction and industry will be the leading sectors in the economy while agriculture and services will be the less dynamic economic sectors (1997-2001).

Inside each economic sector all households will have a homogeneous proportion of increased incomes (as a consequence of increased per capita GDP). Unemployed and economically non-active population also will increase its average income.

There will be a social policy in place that permits intersectoral income redistributions. This social policy basically will favor the poor and extremely poor populations.

IR 2 1 Improved Policy Environment for Broad-Based Economic Growth

Per capita social expenditure

Baseline (1996) US\$ 158 Target (2001) US\$180

Per capita social expenditure for the poor

Baseline (1996) US\$61 Target (2001) \$111

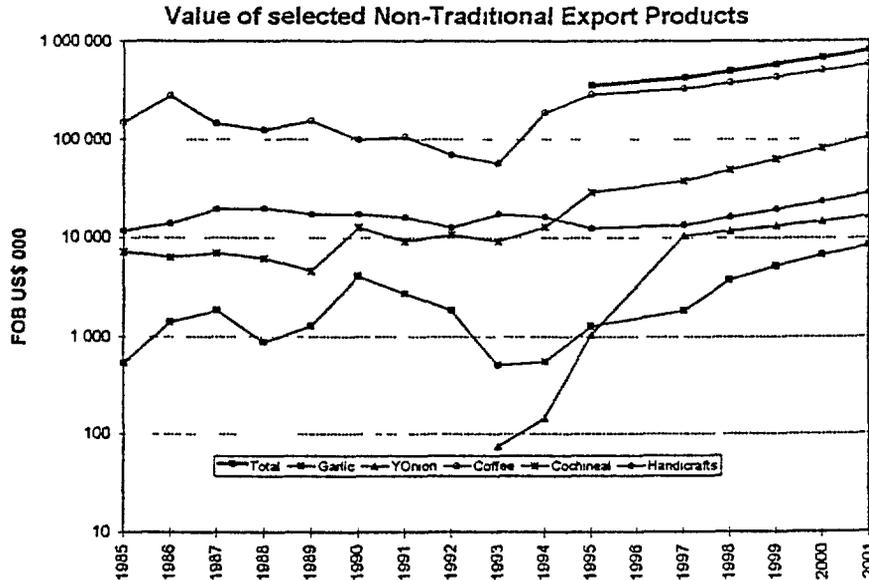
Targets for these two indicators were established based on historical information on this variable for the period 1990-1996 and GOP expected macroeconomic assumptions for the period 1997-2000 USAID interventions are expected to influence the effectiveness of social expenditures, particularly those directed to the poor and extremely poor populations

IR 2 2 Increased Market Access for Microentrepreneurs and Small Farmers

Value of exports of selected non-traditional export products

Baseline (1995) US\$ 354.5 million Target (2001) US\$ 800.6 million

The targets are based on historical trends of the selected products for the period 1985-1995. In addition, it has taken into account the value added of USAID interventions directed to increase market access for such products



Number of new export markets for selected products

Annual value of sales of selected products

Farm-gate or producer price as a percentage of end price

Number of microentrepreneurs and small farmers with improved market access

These indicators are activity based and their targets respond to the expected results of the activity

IR 2 3 Improved Capacity of the Extremely Poor

Chronic Malnutrition

During the past five years chronic malnutrition showed reductions nationwide and in rural areas. While the factors contributing to these reductions are numerous, one can point to effectiveness in improving the health status of vulnerable children and women of childbearing age, improvements in knowledge and practices, as well as improvements in food supply and purchasing power of extremely poor and food insecure people. These factors are expected to receive continued attention over the next several years, both from the standpoint of donor programs, as well as GOP and private sector projects. Increased attention to targeting rural areas and measures to increase the effectiveness of nutritional interventions will be important elements of strategies designed to lead to further reductions in malnutrition rates. The SOT estimates that overall rates can be reduced by 10 percent to 24.3 percent, and rural rates reduced by 15 percent to 35.7 percent by the year 2001.

Households with two or more of the following unsatisfied basic needs (UBN)

In 1993, 1,108 million households (National Population and Household Census, 1993) or 23.2 percent, had two UBN⁸ or more. The existence of two or more UBN qualifies the household in the lowest income group. In 1995, according to a household survey, the percentage of households with two or more UBN was reported to be 14.4. The USAID target of 10 percent reductions in the numbers of families with two or more UBN, 14.4 to 11 by 2000 is a conservative estimate relative to the GOP goal of reducing extreme poverty by 50 percent by the same year. The reason for such a conservative estimate is in part due to the fact that a trend, two or more data points, and the corresponding factor analysis, has yet to be established. Furthermore, UBNs, while income sensitive, will lag behind improvements in income enhancing infrastructure and purchasing power.

Nevertheless, the GOP and donors have committed substantial resources to improve basic economic and social infrastructure for the next several years, targeted primarily at the 1.1 million households at the lowest level. USAID will finance activities for 150,000-200,000 families in production/income generation programs per year. The targeted families are those with two or more UBN. If the targeting is efficient, and the interventions effective, then the combined impact of both USAID, GOP, and other donor programs should be significant. The targets for reductions can be revised once comparative data points can be established.

IR 2 4 Increased Productivity of Microenterprises and Small Farms

Yields per hectare of selected small farmer crops

Targets are based on historical trends for the period 1985-1995 and the expected improvements due to USAID efforts for the selected products.

⁸ The methodology of the INEI considers representative basic needs the following: no sewage drainage or toilet system; more than three people per bedroom; temporary construction materials (i.e. dirt floors, straw mat walls, etc.); head of family with incomplete primary school and more than three dependents per income earner; children between the ages of 6 and 12 that do not attend school.

Reduction in production costs per unit of output of selected microenterprise products

This indicator is focused on MSP clients only. The estimation of targets was based on the previous results obtained by MSP in the area of microenterprises.

IR 2.4.1 Financial Services Available for Microenterprises and Small Farmers

Estimation of targets is based on the analysis of past MSP experience and the expected amount of resources available for the micro-credit program.

IR 2.5 Increased Effectiveness and Efficiency of Organizations Providing Assistance to the Poor

Targets for indicators for this IR have not been established yet.

Special Reporting for Title II
Annual Progress Indicators

Performance Indicator	Indicator Definition and Unit of Measurement	PVO	Baseline 1996		Targets 1997		Targets 1998	
1 Children in Title II Nutrition and Growth Monitoring Programs	Definition Children under a) 36 and b) 60 months of age who are enrolled in child nutrition programs Unit Number	CARE CARITAS ADRA PRISMA TOTAL	a) < 36 mo	b) < 60 mo	a) < 36 mo	b) < 60 mo	a) < 36 mo	b) < 60 mo
			25 946	50 250	36 137	74 045	43 358	72 096
			57 542	92 693	44 480	84 725	50 835	84 800
			20 035	20 035	24 192	40 320	24 192	40 320
			<u>107,406</u>	<u>150,450</u>	<u>115,487</u>	<u>157,674</u>	<u>113,945</u>	<u>155,190</u>
			210 929	313 428	220 296	356 764	232 330	352 406
2 Children With Completed Immunizations Under Title II Programs	Definition a) Children under 12 months who have received the recommended immunizations b) Children aged 12 to 24 months with completed immunizations including the measles vaccine Unit Percent Note The Peruvian Ministry of Health recommends the measles vaccine after 12 months	CARE CARITAS ADRA PRISMA	a) < 12 mo	b) 12 24 mo	a) < 12 mo	b) 12 24 mo	a) < 12 mo	b) 12 24 mo
			65 0	72 0	70	75	70	72
			47 5	n/m	45	65	50	75
			60 0	83 0	70	80	70	80
			80 1	85 4	85	90	85	90
3 Children Showing Positive Growth Trends	Definition a) Malnourished children under 36 months of age showing gains of at least one standard deviation from normal weight/age on Ministry of Health charts b) Average weight gains as reflected in changes in the average standard deviation z scores of beneficiary weight/age from normal Unit a) Percent, b) average change of z from beginning to end of period	CARE CARITAS ADRA PRISMA	a)	b)	a)	b)	a)	b)
			47 0	N/m	35	N/p	43	N/p
			20 0	N/m	35	7	40	1 0
			36 0	N/m	40	N/p	40	N/p
			33 5	444	36	N/p	38	N/p
4 Children Graduating from Feeding Programs	Definition Children graduating from Title II nutrition programs during the period stop receiving supplementary feeding from the program Graduation is defined by the following minimum criteria positive weight gains over last three months completed immunizations and mothers attending the minimum cycle of health and nutrition training Unit Number	CARITAS ADRA PRISMA		N/m		68 830		73 500
				7 012		23 040		23 040
				94 783		103 002		100 407

Performance Indicator	Indicator Definition and Unit of Measurement	PVO	Baseline 1996		Targets 1997		Targets 1998	
5 Beneficiaries that have completed cycle of training events	Definition Number of beneficiaries that have completed the minimal cycle of training events provided by the PVO The standard minimal cycle includes training in acute respiratory and intestinal infections prenatal control immunizations family planning/responsible parenting (CARITAS) and nutrition and feeding practices Unit a) Number b) Percentage	CARE (* % of parents of assisted children) CARITAS ADRA PRISMA(** % of mothers)	N/m N/m N/m N/m		a) 57 480 23 040	b) 80 percent* 95 percent**	a) 56 498 23 040	b) 80 percent* 95 percent**
6 Number of Hectares under Improved Soil Conservation/Agroforestry Practices	Definition Hectares affected by one or more of the following contour planting terracing intercropping reforestation infiltration ditches and river defenses Unit a)Number of Hectares b) Families served	CARE CARITAS ADRA TOTAL	a) Hectares 5 469 1 932 480 7 881	b) Families 48 015 N/m N/m	a) Hectares 5 777 6 924 256 12 957	b) Families 51 390 24 119 7,290 82 799	a) Hectares 8 098 5 600 256 13 954	b) Families 64 800 19 600 7,290 91 690
7 Hectares incorporated under improved production technologies	Definition Hectares affected by one or more of the following the use of high yielding seed varieties proper use of fertilizer proper weeding and appropriate spacing Unit a) Number of Hectares b) Families served	CARE CARITAS ADRA PRISMA TOTAL	a) Hectares 1 200 198 662 785 2 845	b) Families 9 638 N/m N/m 974	a) Hectares 3 069 918 905 1,330 6 222	b) Families 10 395 8 387 7 241 1,008 27 031	a) Hectares 1 974 360 718 1,466 4 518	b) Families 22 213 5 200 5 745 1,336 34 494
8 Hectares incorporated under new or rehabilitated irrigation systems	Definition Hectares affected by one or more of the following construction or rehabilitation of canals reservoirs or wells Unit a) Number of Hectares b) Families served	CARITAS ADRA TOTAL	a) Hectares N/m 454	b) Families N/m N/m	a) Hectares 5 120 269 5 389	b) Families 20 482 3,645 24 127	a) Hectares 4 240 269 4 509	b) Families 16 960 3,645 20 605
9 Kilometers of access roads rehabilitated	Definition Rural roads * Includes new and rehabilitated Unit a) Number of Kilometers b) Families served	CARE CARITAS ADRA TOTAL	a) Kilometers 4 174 *428 721 5 323	b) Families 65 002 N/m N/m	a) Kilometers 2 338 1 663 600 4 601	b) Families 36 405 16 796 6,075 59 276	a) Kilometers 3 755 1 040 630 5 425	b) Families 67 590 10 560 6,075 84 225
10 Number of marketing infrastructure facilities constructed	Definition marketing and infrastructure facilities include warehouses or packing processing or marketing stalls Unit a) Number of facilities b) Families served	CARITAS ADRA TOTAL	a) Facilities 6 N/m	b)Families N/m N/m	a) Facilities 53 41 94	b)Families 2 476 6,150 8 626	a) Facilities 48 50 98	b)Families 2 248 7,500 9 748

Performance Indicator	Indicator Definition and Unit of Measurement	PVO	Baseline 1996		Targets 1997		Targets 1998					
			a) Works	b) Families	a) Works	b) Families	a) Works	b) Families				
11 Number of sanitary/health infrastructure works constructed or installed	Definition Sanitary/health infrastructure works include latrines sewage systems potable water systems wells and health posts Unit a) Number of works, b) Families served	CARE latrines	709	709	300	300	1 800	1 800				
		CARITAS latrines&public toilets	7 857	N/m	4 616	4 760	4 716	4 860				
		- community faucets	405	N/m	0	0	20	200				
		- domestic water connections	805	805	4 189	4 189	3 350	3 350				
		health posts	24	N/m	10	445	7	350				
		pharmacies	0	0	40	1 271	45	1 430				
		ADRA latrines	3 138	3 138	900	900						
		- water systems	16	2 880	8	1 200						
12 Temporary employment generated under Title II Food for Work programs	Definition Number of families employed with food for work wages to improve their productive or socio economic capacity Unit Number of families	CARE		31,500		36 495		64 800				
		CARITAS		64 448		56 000		54 500				
		ADRA		<u>21,566</u>		<u>24,300</u>		<u>24,300</u>				
		TOTAL		117 514		116 795		143 600				
13 Value of microcredit loan portfolio	Definition Value of outstanding loans made in cash and in-kind from PVOs or through rotating funds established by PVOs etc Unit US\$	CARE		167 000		328 300		374 000				
		ADRA		354 078		1 287 467		1 287 467				
		PRISMA		<u>392,448</u>		<u>646,743</u>		<u>900,000</u>				
		TOTAL		913 526		2 262 510		2 561 467				
14 Number of loans	Definition Number of loans made from the various sources of microcredit from PVO sources Unit a) Total number b) Loans to women	CARE	a) Total	4 080	b) Women	4 080	a) Total	4 080	b) Women	4 080		
		ADRA		404		160		3 150		2 880	8 625	8 310
		PRISMA		<u>1,824</u>		<u>657</u>		<u>2,308</u>		<u>900</u>	<u>3,169</u>	<u>1,250</u>
		TOTAL		6 308		4 897		8 658		6 980	15 874	13 640
15 Delinquency Rates	Definition Percent of loans made from various PVO sources that have not been repaid within 90 days beyond due dates i.e delinquent for more than 90 days Payments past due as a percent of the total loans outstanding Unit Percent	CARE		0 0		2 0		2 0				
		ADRA		5 0		4 0		4 0				
		PRISMA		3 6		4 0		4 0				
		TOTAL										

Performance Indicator	Indicator Definition and Unit of Measurement	PVO	Baseline 1996	Targets 1997	Targets 1998	
16 Loan Default Rates	Definition Total amount of loans past due one year or more as a percentage of the total unpaid loan balance Unit Percent	CARE	4 Women Inc Gen (WIG) Project 7 Microenterprise Project (MP)	3 WIG Project 10 MP	3 WIG Project	
		ADRA	7 Ag Inc Gen (AIG) Project	7 AIG Project	7 AIG Project 3 Infant Nutrition Project	
		PRISMA	4 9	4	4	
17 Families Assisted in Coca Producing Zones	Definition Numbers of families selected and participating in Title II nutrition and production activities who also are located in coca producing areas of Peru (provinces targeted by Alternative Development programs) Unit Number	CARITAS		N/m	957	957
		ADRA		N/m	2 286	2 286
		PRISMA		7 238	8,000	8,500
		TOTAL			11 243	11 743
18 Project Supervision	Definition Percentage of supervisory field visits by central office technical staff executed as a percent of visits planned for period Unit percent	CARE		N/m	90	90
		CARITAS		N/m	100	100
		ADRA		N/m	84	107
		PRISMA		N/m	100	100
Comments/Notes N/m Not measured yet N/p Not projected yet WIG Women s Income Generation Project AIG Agricultural Income Generation Project						

III STRATEGIC OBJECTIVE 3 IMPROVED HEALTH, INCLUDING FAMILY PLANNING, OF HIGH-RISK POPULATIONS

A Overview of the Results Framework

Despite recent accomplishments in health indicators at the national level, infant (children under 12 months) mortality, under-5 mortality and fertility remain unacceptably high among Peru's low-income populations in peri-urban and rural areas. The notification of AIDS cases is on the upswing and is increasingly characterized by infection at a younger age and more heterosexual transmission. Sexually-transmitted diseases are highly prevalent, with their treatment grossly inadequate. The Government of Peru (GOP) has embarked on a health sector reform that centers on equity, efficiency and quality. Improvements must be made in both the supply side of health services (access to and quality of care) and the demand side (acceptance of services), as well as in people's own self-care in the home and the community.

The Mission's Strategic Objective #3 (SO3) *Improved Health, including Family Planning, of High-risk Populations* is designed to help low-income Peruvians, particularly children and women, enjoy longer lives and a higher quality of life. SO3 recognizes the variability of health status in Peru across geographic regions and income groups, and is thus focused on high-risk populations in rural and peri-urban areas.

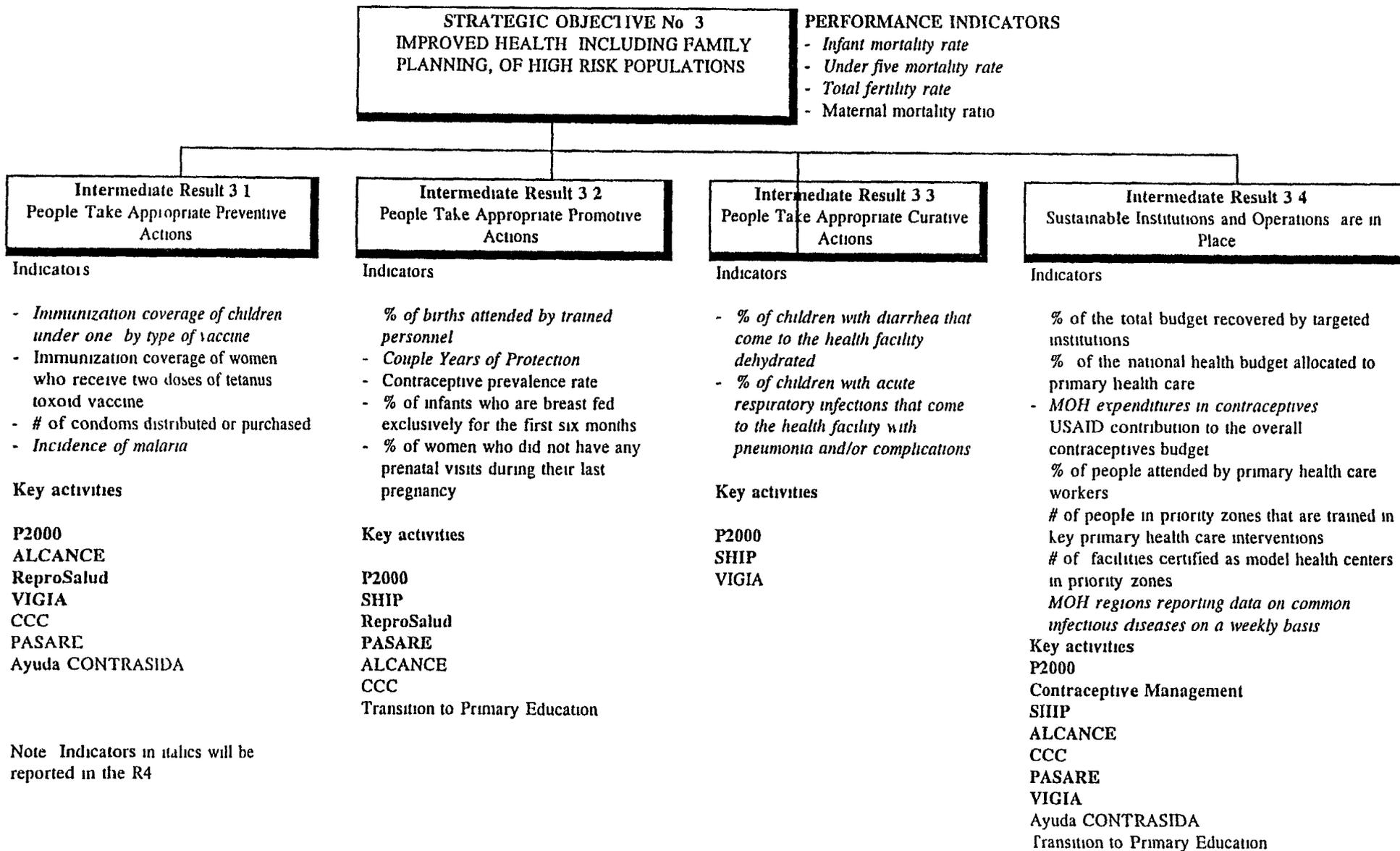
Within this large target group, USAID/Peru focuses on certain priority areas. On the one hand, this reflects a geographic division of labor with the large IBRD-financed health project --a division of labor that was requested by the Ministry of Health to rationalize donor investment. On the other hand, the Mission's SO3 portfolio has been designed in a complementary manner, so that the activities fit together logically in a given geographic area, each providing certain types of necessary inputs. Some 7.35 million people live in USAID's priority areas. These are the regions of Chavin, La Libertad, Los Libertadores-Wari, J. C. Mariategui, San Martin, Ucayali and Lima East. Other USAID projects have national scope. Nationwide, 2.6 million are children under age five, and some 6 million are women of reproductive age.

This SO addresses the needs of these populations through integrated approaches aimed at the related intermediate results: *people take appropriate preventive actions, people take appropriate promotive actions, people take appropriate curative actions, and sustainable institutions and operations are in place*. The SO is currently supported by the following activities: Strengthening Health Institutions (SHIP), Project 2000, Reproductive Health in the Community (ReproSalud), Family Planning Support (ALCANCE, Coverage with Quality (CCC) and Contraceptive Management), the Reproductive Health Assistance Plan, Addressing Threats of Emerging and Re-emerging Infectious Diseases (VIGIA) and AIDS Help (Ayuda CONTRASIDA). The SO also manages an activity in basic education known as Transition to Primary Education.

Ongoing activities in health and education are aimed at (1) improving child survival and maternal health services (such as immunization, diarrheal control and prenatal care,) and (2) strengthening and expanding the participation of public and private sector entities in HIV/AIDS prevention. In family planning, activities with the NGO sector include efforts to (1) strengthen the capacity of NGOs to maximize the supply of all family planning methods in urban, peri-urban and rural areas, (2) increase the sustainability of the supply of

contraceptives, and (3) disseminate information on family planning methods and services
USAID's support for the public sector is aimed at helping extend family planning programs
in a quality manner

RESULTS FRAMEWORK FOR SO3



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PERFORMANCE MONITORING PLAN
Strategic Objective 3 and Related Intermediate Results

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION	DATA ACQUISITION BY MISSION		ANALYSIS & REPORTING	
				SCHEDULE/ FREQUENCY	RESPONSIBLE TEAM/COSTS	SCHEDULE BY REPORT	RESPONSIBLE TEAM
STRATEGIC OBJECTIVE 3 IMPROVED HEALTH, INCLUDING FAMILY PLANNING USE, OF HIGH-RISK POPULATIONS							
1 Infant Mortality Rate R4 Reported	<p>Definition The estimated number of deaths in infants (children under age one) per 1 000 live births in that same year</p> <p>Unit of measure Deaths per 1 000 live births</p>	<i>The Demographic Health Survey (DHS)</i> conducted by the National Institute of Statistics (INEI)	<ul style="list-style-type: none"> Population based survey Rates will be given both nationally and disaggregated by high risk populations 	Direct source every 5 years indirect sources (Unicef) for intervening years	SO3 USAID contribution for DHS is \$1 million	R4 or 6 months after data collection	SO3 & PDP INEI/Macro
2 Under five Mortality Rate R4 Reported	<p>Definition The estimated number of deaths per 1 000 children under age five in a given period</p> <p>Unit of measure Deaths per 1 000 children under age five</p>	DHS/INEI	<ul style="list-style-type: none"> Population based survey Rates will be given both nationally and disaggregated by high risk populations 	Direct source every 5 years indirect sources for intervening years	SO3	R4 or six months after data collection	SO3 & PDP INEI/Macro
3 Maternal Mortality Ratio	<p>Definition The estimated number of maternal deaths per 100 000 live births from conception through 42 days after childbirth</p> <p>Unit of Measure Maternal deaths per 100 000 live births</p>	DHS/INEI	<ul style="list-style-type: none"> Population based survey National ratio 	Every five years through indirect methodology	SO3	R4 or six months after data collection	SO3 & PDP INEI/Macro
4 Total Fertility Rate R4 Reported	<p>Definition The average number of children women will have at the end of their childbearing years if fertility patterns at the time of survey prevail calculated by summing the age specific fertility rates over all ages of the childbearing period as observed in a given year</p> <p>Unit of Measure Births per woman</p>	DHS/INEI	<ul style="list-style-type: none"> Population based survey Rates will be given both nationally and disaggregated by high risk populations 	Every five years from direct source	SO3	R4 or six months after data collection	SO3 & PDP INEI/Macro
<p>COMMENTS/ NOTLS Data analyzed by socio economic and geographic variables The 1996 DHS was a national survey of 33 498 randomly selected households 31 241 female members aged 15 49 and a sub sample of 2 942 male members aged 15 59 The DHS is conducted every five years for interim years indirect sources (UNICEF Annual Report) will be used for trend analysis</p>							

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION	DATA ACQUISITION BY MISSION		ANALYSIS & REPORTING	
				SCHEDULE/ FREQUENCY	RESPONSIBLE TEAM/COSTS	SCHEDULE BY REPORT	RESPONSIBLE TEAM
Intermediate Result 3 1 People Take Appropriate Preventive Actions							
1 Immunization coverage of children younger than one by type of vaccine R4 Reported	Definition An estimate of the proportion of living children under 12 months (DHS data for 12 23 months) vaccinated before their first birthday Types of vaccines are polio (3 doses) DPT (3 doses) and measles (1 dose) Unit of Measure Percent of children under one	DHS/INEI MOH/EPI	<ul style="list-style-type: none"> Population based survey Service statistics EPI quarterly report Rates will be given both nationally and disaggregated by high risk populations 	DHS survey every five years MOH/EPI data annually in January	SO3 Public Sector RP	R4 or 6 months after data collection for DHS data or 3 months after data collection for MOH data	SO3 &PDP INEI/Macro MOH/EPI
2 Immunization coverage of women who receive two doses of tetanus toxoid (TT) vaccine	Definition An estimate of the proportion of women aged 15-49 who received at least two doses of tetanus toxoid Unit of Measure Percent of reproductive age women	MOH	<ul style="list-style-type: none"> Service statistics EPI quarterly report Disaggregation by age and residence 	Annually in January	SO3 Public Sector RP	R4 or 6 months after data collection	SO3 MOH/EPI
3 Number of condoms distributed or purchased	Definition Number of condoms distributed or sold through USAID supported channels in a given period Unit of Measure Millions of condoms	MOH NGOs	MOH service statistics PRISMA APROPO	Annually in January	SO3 Facility Based FP compiles data	3 months after data collection	SO3 MOH NGOs
4 Incidence of malaria R4 Reported	Definition Number of malaria cases identified in a given period as a proportion of the total population per 100 000 Unit of Measure Number of cases per 100 000 inhabitants	MOH	<ul style="list-style-type: none"> Service statistics distribution records Disaggregation by health region 	Annually in January	SO3 Facility Based compiles data	R4 or 3 months after data collection	SO3&PDP MOH
COMMLNIS/ NOHS MOH Ministry of Health EPI Expanded Program on Immunization In the strategic plan this intermediate objective had included Couple Years of Protection (CYP) as one of its indicators Due to its higher relationship with promotive actions it was changed to the IR 3 2							

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PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION	DATA ACQUISITION BY MISSION		ANALYSIS & REPORTING	
				SCHEDULE/ FREQUENCY	RESPONSIBLE TEAM/COSTS	SCHEDULE BY REPORT	RESPONSIBLE TEAM
Intermediate Result 3 2 People Take Appropriate Promotive Actions							
1 Proportion of births attended by trained personnel R4 Reported	Definition Trained personnel refers to doctors midwives nurses nurse auxiliaries or trained technicians Unit of Measure Proportion of births	DHS/INEI National Household Survey (ENAHO) conducted by INEI	<ul style="list-style-type: none"> Population based survey Disaggregation by residence type of personnel mother s age 	Every 5 years for DHS Every two years for FNAHO	SO3	R4 or 6 months after data collection	SO3&PDP
2 Couple years of protection (CYP) R4 Reported	Definition Estimated protection from pregnancy provided by contraceptive methods during a one year period based upon the volume of all contraceptives sold or distributed to clients during that period Unit of Measure Millions of couple years of protection	MOH FPP PRISMA NGOs	<ul style="list-style-type: none"> Service statistics distribution records Disaggregation by type of contraceptive method 	Annually in January	SO3 Facility based RP compiles data	R4 or 3 months after data collection	SO3&PDP MOH NGOs
3 Contraceptive prevalence rate	Definition The percentage of women in union (or their partners) of reproductive age who are using a contraceptive method at a given point in time Includes all methods Unit of Measure Percent of women in union aged 15 49	DHS / INEI ENAHO	<ul style="list-style-type: none"> Population based survey Disaggregation by residence type of contraceptive method 	Every 5 years for DHS Annually for ENAHO	SO3 Facility based & Community based RPs	6 months after data collection	SO3 INFI/Macro
4 Percentage of infants who are breast fed exclusively for the first six months	Definition Exclusivity refers to non use of supplements like juices or other solid foods for children under six months Unit of Measure Percent of all breast fed infants	DHS / INEI ENAHO	<ul style="list-style-type: none"> Population based survey Disaggregation by residence parity mother s age 	Every 5 years for DHS Annually for FNAHO	SO3	6 months after data collection	SO3 INFI/Macro
5 Percentage of women who did not have any prenatal visits during their last pregnancy	Definition A prenatal care visit is defined as a meeting between a pregnant woman and a health care provider in which her and her fetus health status is discussed Health care provider is any person lay or professional who has been trained in the provision of prenatal care services Unit of Measure Percent	DHS / INEI ENAHO	<ul style="list-style-type: none"> Population based survey Disaggregation by residence age 	Every 5 years for DHS Annually for ENAHO	SO3 Public Sector & NGO Health RPs	6 months after data collection	SO3 INEI/Macro
COMMENTS/NOTES INEI source National Household Surveys (ENAHO) ENAHO is a national multipurpose survey of 20 000 randomly selected households A family planning module and a maternal health module are included alternatively every other year							

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION	DATA ACQUISITION BY MISSION		ANALYSIS & REPORTING	
				SCHEDULE/ FREQUENCY	RESPONSIBLE TEAM/COSTS	SCHEDULE BY REPORT	RESPONSIBLE TEAM
Intermediate Result 3 3 People Take Appropriate Curative Actions							
1 Percent of children with diarrhea that come to the health facility dehydrated R4 Reported	Definition The number of children aged 0 to 5 seen at health facilities within the public sector system (MOH) who have acute diarrheal disease with dehydration I III Unit of Measure Percent	MOH Program on Diarrheal Diseases	• Service statistics from the program on diarrheal diseases	Quarterly	SO3 Public Sector RP requests data from MOH	R4 and quarterly	SO3 PDP MOH CDD program division
2 Percent of children with acute respiratory infections that come to the health facility with pneumonia and/or complications R4 Reported	Definition The number of children 0 5 years old seen at health facilities within the public sector system (MOH) who have acute respiratory infections (ARI) of pneumonia Unit of Measure Percent	MOH Program on Acute Respiratory Infections	• Service Statistics from the program on acute respiratory infections	Quarterly	SO3 Public Sector RP requests data from MOH	R4 and quarterly	SO3 PDP MOH ARI program
COMMENTS/NOTES Health facilities are defined as all units of care (primary secondary and tertiary) within the public sector systems (MOH)							
Intermediate Result 3 4 Sustainable Institutions and Operations are in Place							
1 Percentage of the total budget recovered by targeted institutions [activity based]	Definition Average of the amount of total revenues generated in a given year as a proportion of the entire budget of USAID supported NGOs Unit of Measure Percent	Annual Financial Reports of NGOs	Revenues/incomes generated as a proportion of total operations budget excluding any investment	Annually	SO3 collects and compiles data	Annually	SO3 & PDP
2 Percentage of the national health budget allocated to primary care	Definition Percentage of the Ministry of Health budget allocated to preventive and promotive activities Unit of Measure Percent	MOH Annual Budget Congress/ Budget Commission	Budget allocated to the programs of <i>Atencion Primaria Salud Basica Planificacion Familiar Epidemias</i>	Annually	SO3	Annually	SO3 & PDP
3 MOH expenditure in contraceptives R4 Reported	Definition Total amount of dollars spent by the Ministry of Health in contraceptives in a given year Unit of Measure 1997 dollars	MOH	Quarterly reports	Annually	SO3 requests data from MOH	R4	SO3 & PDP
4 USAID contribution to the overall contraceptives budget R4 Reported	Definition Total value of USAID contributions in contraceptives as a proportion of the total contraceptives budget in a given year Unit of Measure Percent	MOH USAID records	Value of USAID donated contraceptives as a proportion of the value of contraceptives distributed by the public sector in a given year at USAID prices	Annually	SO3 requests data from MOH	R4	SO3 & PDP

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION	DATA ACQUISITION BY MISSION		ANALYSIS & REPORTING	
				SCHEDULE/FREQUENCY	RESPONSIBLE TEAM/COSTS	SCHEDULE BY REPORT	RESPONSIBLE TEAM
5 Percent of people attended by primary health care workers [activity based]	<p>Definition Primary health care workers include health professionals technicians and promoters Key primary health care interventions are defined above</p> <p>Unit of Measure Percent</p>	Project 2000 PASARE	<ul style="list-style-type: none"> Project 2000 quarterly report PASARE quarterly report 	Annually	SO3 Project 2000	Quarterly	SO3 Pathfinder CARE/ESAN Project 2000
6 Number of people in priority zones that are trained in key primary health care interventions [activity based]	<p>Definition Key primary health care interventions are defined above</p> <p>Unit of Measure Number of people</p>	Project 2000 PASARE	<ul style="list-style-type: none"> Project 2000 quarterly report PASARE quarterly report 	Annually	SO3	Quarterly	SO3
7 Number of facilities certified as model health centers in priority zones R4 Reported	<p>Definition Number of health facilities certified as model centers in priority zones The health facilities to be certified are national hospitals regional hospitals and health centers The criteria for certification by MOH/P2000/PCMI are a) the use of MOH standard protocol for maternal and child health services b) correct data collection through the Perinatal Information System and the Child Information System c) compliance with at least minimum quality of service standards and d) community outreach activities with the participation of community health agents</p> <p>Unit of Measure Number</p>	Project 2000	<ul style="list-style-type: none"> Project 2000 quarterly report 	Annually	SO3 Project 2000	R4 and Quarterly	SO3& PDP Pathfinder CARE/ESAN Project 2000
8 MOH regions reporting data on common infectious diseases on a weekly basis R4 Reported	<p>Definition Number of health regions as a proportion of the total 33 regions that report on common infectious diseases on a weekly basis</p> <p>Unit of Measure Percent</p>	VIGIA records	<ul style="list-style-type: none"> VIGIA quarterly report 	Annually	SO3 VIGIA	R4 and Quarterly	SO3& PDP MOH
<p>COMMENTS/NOTES Sustainability is defined as an organization's financial institutional and social abilities to implement its activity or program without excessive assistance from donor institutions and in a way that enables community ownership Indicator #5 may need adjustment in wording and/or definition</p>							

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November 11 1997

B Performance Monitoring Plan (PMP) for SO3

The PMP for SO3 includes indicators for which data are based on the Demographic and Health Survey (DHS) and therefore will only be available every five years. For DHS interim years, data will be available only for discrete geographical areas. To facilitate USAID/W review, a selected number of indicators will be reported annually through the R4 to measure progress towards achievement of the strategy. These indicators are shown in bold.

Strategic Objective Improved Health, including Family Planning, of High-Risk Populations

Performance Indicators

- **Infant mortality rate**
- **Under-five mortality rate**
- **Maternal mortality ratio**
- **Total fertility rate**

Indicators of SO achievement will be disaggregated to provide information specifically on rural and peri-urban populations, which are the high-risk populations targeted by this SO. The peri-urban breakdown is a new dimension that has been taken into account in the third DHS, conducted in 1996.

Intermediate Result 3 1 People Take Appropriate Preventive Actions

Indicators

- **Immunization coverage of children under one, by type of vaccine**
- **Immunization coverage of women who receive two doses of tetanus-toxoid vaccine**
- **Incidence of malaria**
- **Number of condoms distributed or purchased**

The first three indicators are direct, objective and practical measures of preventive practices. The indicator *number of condoms distributed or purchased* is based on only those condoms that are distributed or sold through USAID-supported channels. Given USAID/Peru's predominant role in the Peruvian condom "market," USAID-supported channels move over 60% of all condoms distributed in Peru, approximately 95% of public distribution and 25% of private distribution. Accordingly, the indicator is appropriate and useful.

Intermediate Result 3 2 People Take Appropriate Promotive Actions

Indicators

- **Proportion of births attended by trained personnel**
- **Couple-years of protection**
- **Contraceptive prevalence rate**
- **Proportion of infants who are breast-fed exclusively for the first six months**
- **Percentage of women who did not have any prenatal visits during their last pregnancy**

Proportion of births by trained personnel reflects the appropriate intervention of primary health care workers. The indicator *couple-years of protection* may overestimate increased reproductive awareness because an increase in modern methods contributes disproportionately to the indicator, it is included here because of the wide utilization of this indicator. The indicator *percentage of infants who are breast-fed exclusively* has adopted the definition of "exclusive breast-feeding" as per the DHS surveys¹

The indicator on absence of prenatal visits measures risk of perinatal complications more appropriately, and the diminishing number of women that never have prenatal care works directly toward that objective

Intermediate Result 3 3 People Take Appropriate Curative Actions

Indicators

- **Percentage of children with diarrhea that come to the health facility dehydrated**
- **Percentage of children with acute respiratory infections that come to the health facility with pneumonia and/or complications**

The chosen indicators are a more direct measure of the propensity of people to take curative actions. After reviewing many data sets, it was noted that the percent of children that come to the health facility dehydrated would measure the knowledge of curative actions, especially when the parents realize that the child needs medical attention. The faster the parents realize the danger for the child, the less dehydration is going to show up at the initial physical exam. This particular measure is not confounded by the actions taken by the health care provider. The same could be said about acute respiratory infections. If the parents realize the danger earlier, because the appropriate curative knowledge is present, the more likely it is that the child is going to arrive at the clinic with no overt pneumonia and/or complications.

Intermediate Result 3 4 Sustainable Institutions and Operations Are in Place

Indicators

- **MOH regions reporting data on common infectious diseases on a weekly basis**
- **% of the total budget recovered by targeted institutions**
- **% of the national health budget allocated to primary health care**
- **MOH expenditures in contraceptives**
- **USAID contribution to the overall contraceptives budget**
- **Number of people in priority zones that are trained in key primary health care interventions**
- **% of people attended by primary health care workers**
- **Number of facilities certified as model health centers in priority zones**

Sustainability is defined *as an organization's financial, institutional and social abilities to implement its activity or program without excessive assistance from donor institutions and in a way that enables community ownership*

¹ No juices or solid supplements

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The first indicator conveys the institutionalization of a sustainable epidemiological reporting system. The second indicator reflects improved financial management of targeted private institutions. The third and fourth indicators reflect the commitment of the GOP to those programs, thus ensuring sustainability. The last two indicators reflect institutional sustainability.

RESULTS TRACKING TABLE FOR STRATEGIC OBJECTIVE THREE
Improved Health, Including Family Planning, of High-Risk Populations

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	BASELINE DATA		TARGETS				
			YEAR	VALUE	1997	1998	1999	2000	2001
STRATEGIC OBJECTIVE 3 IMPROVED HEALTH, INCLUDING FAMILY PLANNING, OF HIGH-RISK POPULATIONS									
1 Infant Mortality Rate R4 Reported	Definition The estimated number of deaths in infants (children under age one) per 1 000 live births in that same year Unit of measure Deaths per 1 000 live births	DHS/ INEI	1996 Rural	43 62	42.5	41.7	41	40	39
2 Under five Mortality Rate R4 reported	Definition The estimated number of deaths per 1 000 children under age five in a given period Unit of measure Deaths per 1 000 children under age five	DHS/ INEI	1996 Rural	59 86	56.7	54.5	52.7	50	48
3 Maternal Mortality Ratio	Definition The estimated number of maternal deaths per 100 000 live births from conception through 42 days after childbirth Unit of measure Maternal deaths per 100 000 live births	DHS/ INEI	1996	265	230	220	210	200	TBD
3 Total Fertility Rate R4 Reported	Definition The average number of children women will have at the end of their childbearing years if fertility patterns at the time of survey prevail calculated by summing the age specific fertility rates over all ages of the childbearing period as observed in a given year Unit of Measure Births per woman	DHS/ INEI	1996 Rural	3.5 5.6	3.4	3.3	3.2	3.1	3.0
Comments/Notes DHS Demographic Health Survey INEI National Institute of Statistics Data analyzed by socio economic and geographic variables									
Intermediate Result 3.1 People Take Appropriate Preventive Actions									
1 Immunization coverage of children younger than one by type of vaccine R4 Reported	Definition An estimate of the proportion of living children under 12 months (DHS data for 12-23 months) vaccinated before their first birthday Types of vaccines are polio (3 doses) DPT (3 doses) and measles (1 dose) Unit of Measure Percent of children under one	MOH/EPI	1996	95	95	95	95	95	95
2 Immunization coverage of women who receive two doses of tetanus toxoid (TT) vaccine	Definition An estimate of the proportion of women aged 15-49 who received at least two doses of tetanus toxoid Unit of Measure Percent of reproductive age women	MOH/EPI	1996	51	54	58	62	65	TBD
3 Number of condoms distributed or purchased	Definition Number of condoms distributed or sold through USAID supported channels in a given period Unit of Measure Millions of condoms	MOH FPP PRISMA NGOs	1996	12.2	18.5	24	29.5	35	TBD

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PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	BASELINE DATA		TARGETS					
			YEAR	VALUE	1997	1998	1999	2000	2001	
4 Incidence of malaria R4 Reported	Definition Number of malaria cases identified in a given period as a proportion of the total population per 100 000 Unit of Measure Number of cases per 100 000 inhabitants	MOH	1996							TBD
Comments/Notes MOH Ministry of Health EPI Expanded Program on Immunization Data analyzed by geographic variables										
Intermediate Result 3 2 People Take Appropriate Promotive Actions										
1 Proportion of births attended by trained personnel R4 Reported	Definition Trained personnel refers to doctors midwives nurse nurse s auxiliary or trained technician Unit of Measure Percentage	DHS/INEI	1996 Rural	56 4 21 5		60			64	TBD
2 Couple years of protection (CYP) R4 Reported	Definition Estimated protection from pregnancy provided by contraceptive methods during a one year period based upon the volume of all contraceptives sold or distributed to clients during that period Unit of Measure Million of couple years protection	MOH FPP PRISMA NGO s	1996	1 9	2 1	2 25	2 4	2 5	2 6	
3 Contraceptive prevalence rate (Analyzed by method)	Definition The percentage of women in union (or their partners) of reproductive age who are using a contraceptive method at a given point in time Includes all methods Unit of Measure Percent of women in union aged 15-49	DHS/INEI	1996 Modern	64 41	65 43	66 45	67 47	68 49		TBD
4 Percentage of infants who are breast fed exclusively for the first six months	Definition Exclusivity refers to non use of supplements like juices or other solid foods for children under six months Unit of Measure Percent of all breast fed infants	DHS/INEI	1996	49	50 5	52	53 5	55		TBD
5 Percentage of women who did not have any prenatal visits during their last pregnancy	Definition A prenatal care visit is defined as a meeting between a pregnant woman and a health care provider in which her and her fetus health status is discussed Health care provider is any person lay or professional who has been trained in the provision of prenatal care services Unit of Measure Percent	DHS/INEI	1996	32 5	30	29	27 5	25		TBD
Comments DHS Demographic Health Survey INEI National Institute of Statistics, MOH Ministry of Health Data analyzed by socio economic and geographic variables										

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	BASELINE DATA		TARGETS				
			YEAR	VALUE	1997	1998	1999	2000	2001
Intermediate Result 3 3 People Take Appropriate Curative Actions									
1 Percent of children with diarrhea that come to the health facility dehydrated R4 Reported	Definition The number of children aged 0 to 5 seen at health facilities within the public sector system (MOH) who have acute diarrheal disease with dehydration I III Unit of Measure Percent	MOH Program on Diarrheal Diseases	1996	28	25	21	18	16	12
2 Percent of children with acute respiratory infections that come to the health facility with pneumonia and/or complications R4 reported	Definition The number of children 0 5 years old seen at health facilities within the public sector system (MOH) who have acute respiratory infections (ARI) of pneumonia Unit of Measure Percent	MOH Program on Acute Respiratory Infections	1996	14	13	12	11	10	8
Comments									
Intermediate Result 3 4 Sustainable Institutions and Operations are in Place									
1 Percentage of total budget recovered by targeted institutions [activity based] R4 Reported	Definition Average of the amount of total revenues generated in a given year as a proportion of the entire budget of USAID supported NGOs Unit of Measure Percent	NGO reports	1996	10	17 5	25	32 5	40	40
2 Percentage of the national health budget allocated to primary care	Definition Percentage of the Ministry of Health budget allocated to reventive and promotive activities Unit of Measure Percent	MOH	1996		TBD				
3 MOH expenditure in Contraceptives R4 Reported	Definition Total amount of dollars spent by the Ministry of Health in contraceptives in a given year Unit of Measure 1997 U S Dollars	MOH Family Planning Program annual expenditures report	1996 USAID	0	125 000	1 000 000	1 200 000	1 450 000	1 730 000
4 USAID contribution to the overall contraceptives budget R4 Reported	Definition Total value of USAID contributions in contraceptives as a proportion of the total contraceptives budget in a given year Unit of Measure Percent	MOH Family Planning Program annual expenditures report	1997 USAID	90	80			60	

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	BASELINE DATA		TARGETS				
			YEAR	VALUE	1997	1998	1999	2000	2001
5 Percentage of people attended by primary health workers [activity based]	Definition Primary health care workers include health professionals, technicians and promoters Key primary health care interventions are defined above Unit of Measure Percent	P2000 PASARE reports	1996	TBD					
6 Number of people in priority zones that are trained in key primary health care interventions [activity based]	Definition Key primary health care interventions are defined above Unit of Measure Number of people	P2000 PASARE reports	1996	8 100	9 500	11 500	13 500	15 000	TBD
7 Number of facilities certified as model health centers in priority zones R4 Reported	Definition Number of health facilities certified as model centers in priority zones The health facilities to be certified are national hospitals regional hospitals and health centers The criteria for certification by MOH/P2000/PCMI are a) the use of MOH standard protocol for maternal and child health services b) correct data collection through the Perinatal Information System and the Child Information System c) compliance with at least minimum quality of service standards and d) community outreach activities with the participation of community health agents Unit of Measure Cumulative number per year	MOH	1996	4	15	35	50	70	102
8 MOH regions reporting data on common infectious diseases on a weekly basis R4 Reported	Definition Number of health regions as a proportion of the total 33 regions that report on common infectious diseases on a weekly basis Unit of Measure Percent	VIGIA reports	1997	75					88
Comments/Notes Targets for indicators with TBD baseline data will be established once the baseline data become available									

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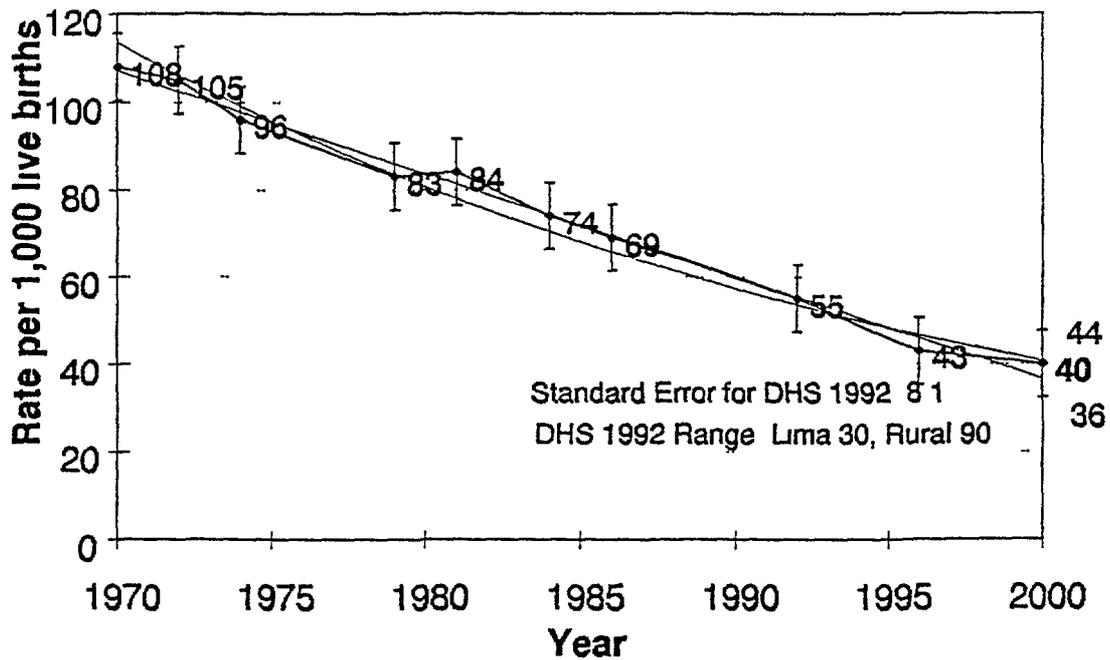
C Results Tracking Tables (RTT) for SO3

Baselines and targets were established for most indicators for SO3. Since USAID interventions in this sector date back to the 70s, most targets have been set using the trend approach. Targets based on DHS trends may be adjusted once final analysis of DHS 1996 is completed. Likewise, disaggregated data for some indicators (rural, peri-urban) based on the DHS will be established after completion of DHS analysis²

Indicators at the Strategic Objective Level

Infant Mortality Rate

SO3: Infant Mortality Rate

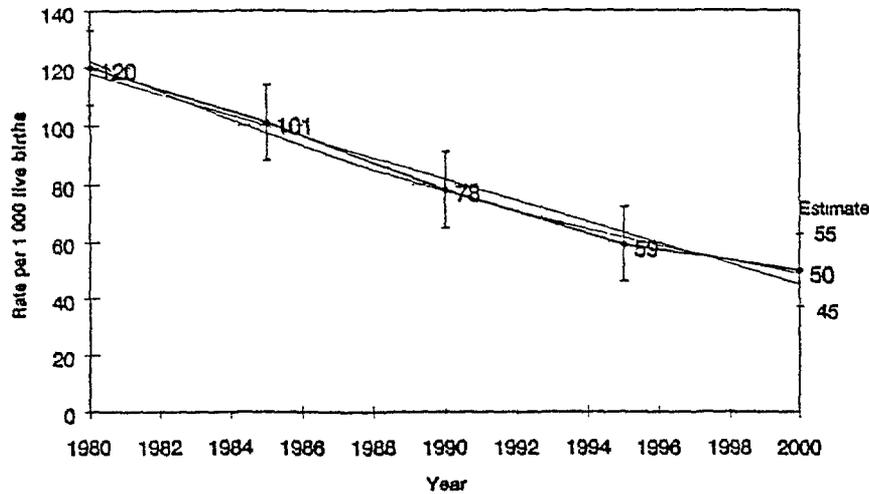


The Infant Mortality Rate has been decreasing by approximately two deaths annually per 1,000 live births since the early 70s. This trend has accelerated and decelerated over the years, with a stabilization of the decline in the period between the last two national surveys (DHS II 1992 and DHS III 1996). The team expects that the trend should level off somewhat, due to the inherent nature of death rates to follow a "bathtub" shape (sharp decline at high levels and diminished decline at lower levels of the rate). Therefore, a conservative estimate of 40 deaths per 1,000 live births has been selected, with a confidence band of four units on each side (44 and 36).

² DHS III has several noteworthy and innovative features. Its sample size at over 33,000 roughly doubles that of DHS II. In contrast to DHS II, no part of the country was excluded *a priori* for reasons of terrorism or inclement weather, and results are generalizable to the level of the department, which makes findings much more programmatically relevant. In addition, a sub-survey of men was conducted for the first time in Peru, content was reproductive health with special emphasis on HIV/AIDS. And for the second time in DHS worldwide history, a sub-sample of women and children was tested for anemia, with results and relevant counseling given to participants at the moment of testing, since results were read on-site.

Under - 5 Mortality Rate

S03 Under Five Mortality Rate

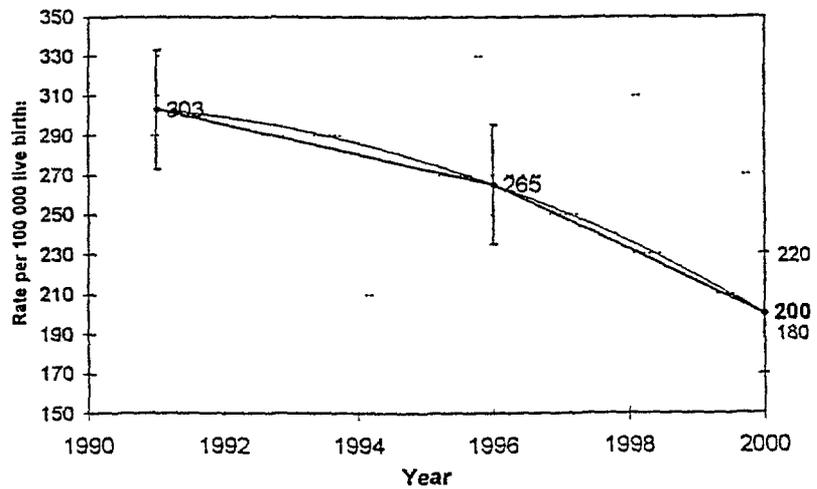


This rate has also been following a close to linear decline over the years, with a slope of 4 deaths per 1,000 live births per year between 1980 and 1990, and 3.6 deaths per year between 1992 and 1996. The decrease is significant but is showing signs of leveling off. Thus, the team selected a target of 50 deaths per 1,000 live births for the year 2000, with a high of 55 and a low of 45.

Maternal Mortality Ratio

The data for this indicator are not as good as the two previous mortality indicators, and the variability is much higher among regions of the country. The estimate of this ratio for 1991 was 303 deaths per 100,000 live births, and for 1996 the estimate is 265 deaths per 100,000 live births. The proposed projection for the year 2000 is 200 deaths per 100,000 live births, which takes into account the linear decline of the rate and the expected "bathtub" shape of the curve. See accompanying figure.

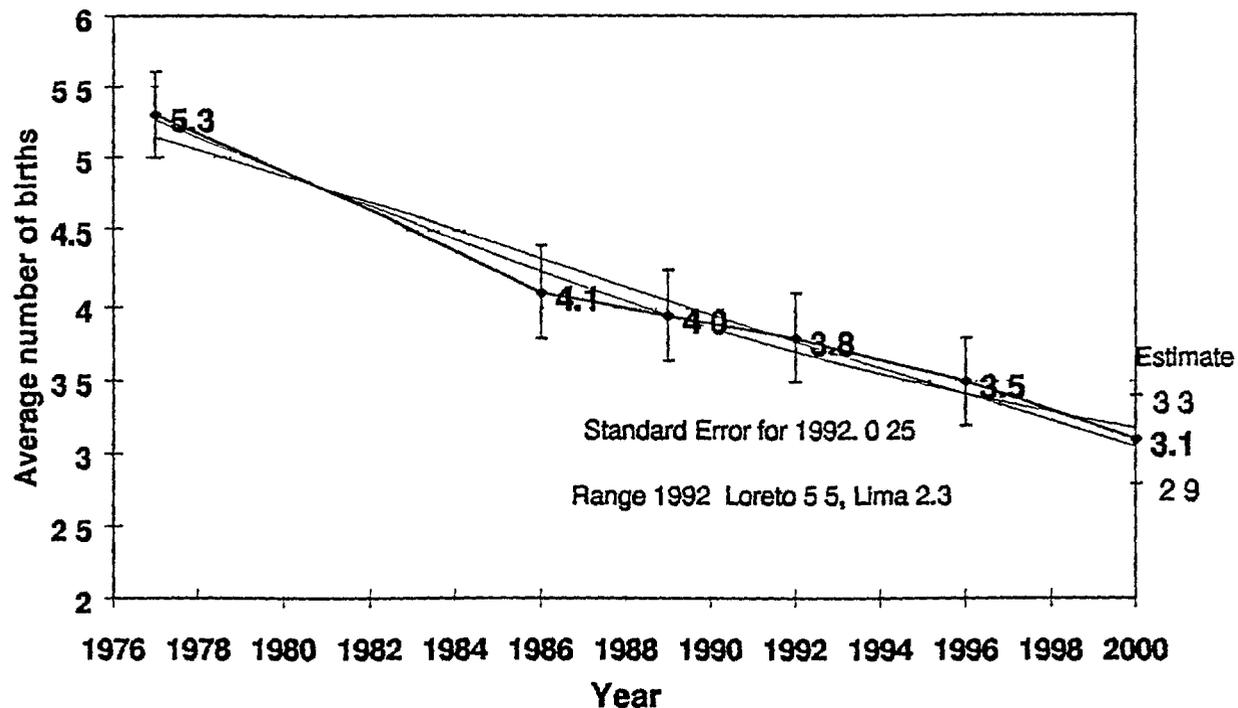
S03 Maternal Mortality Ratio



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Total Fertility Rate

SO3 Total Fertility Rate



This indicator shows a very interesting pattern over the years. The rate displays an initial steep decline from 1977 to 1986 (0.11 units per year), with a slow declining period between 1986 and 1992³ (0.05 units per year), and another period of faster decline (close to 0.1 units per year) between 1992 and 1996. The team expects that the trend for a decline of 0.1 units per year will continue, setting a target of 3.1 for the year 2000. The confidence band has been set according to the variability of the indicator over the years and the regional variability of 1992. The expected high is 3.3 and the low 2.9 average births in a woman's lifetime, if the conditions prevailing at the point the rate was estimated are maintained.

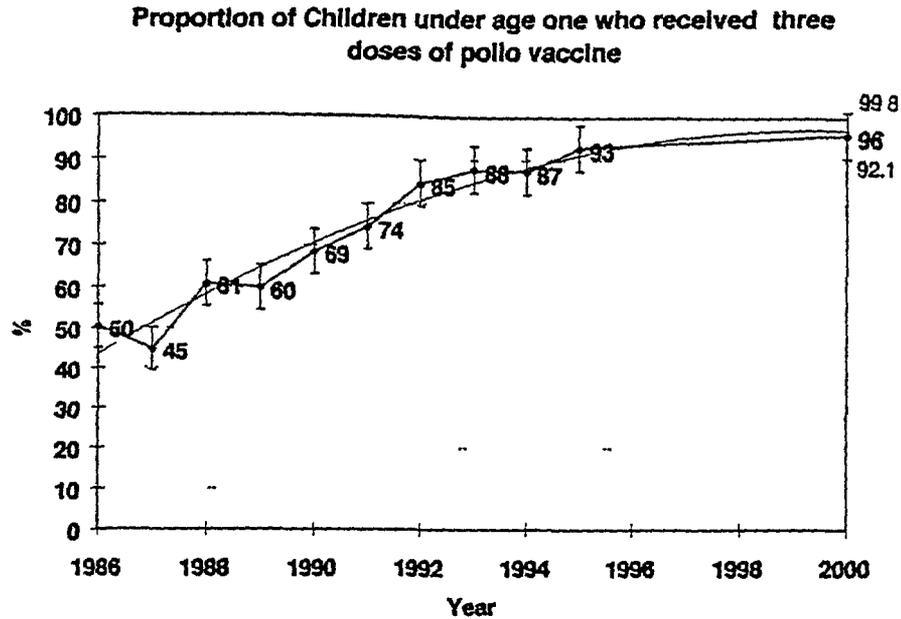
³ The published DHS II puts total fertility at 3.5. Because of conditions at the time of the survey, 5 percent of the national population and 16 percent of the rural population were excluded. DHS III with its much larger and more representative sample provides compellingly reliable data. In view of its finding of a current total fertility rate of 3.5, coupled with impressive increases in contraceptive prevalence and method mix, analysts revisited their work on DHS II. They now recognize a mistake in assigning weights to the previous data, namely in underestimating the proportion of the population that was rural and poor at that time, further, an uncharacteristically high proportion of women in Lima reported themselves as single in 1991-92, reducing the total fertility rate in Lima to virtually replacement level in the published report. Appropriate adjustments to DHS II data have now been made. Total fertility for 1991-92 has been adjusted from 3.5 to 3.8 births.

IR 3 1 People Take Appropriate Preventive Actions

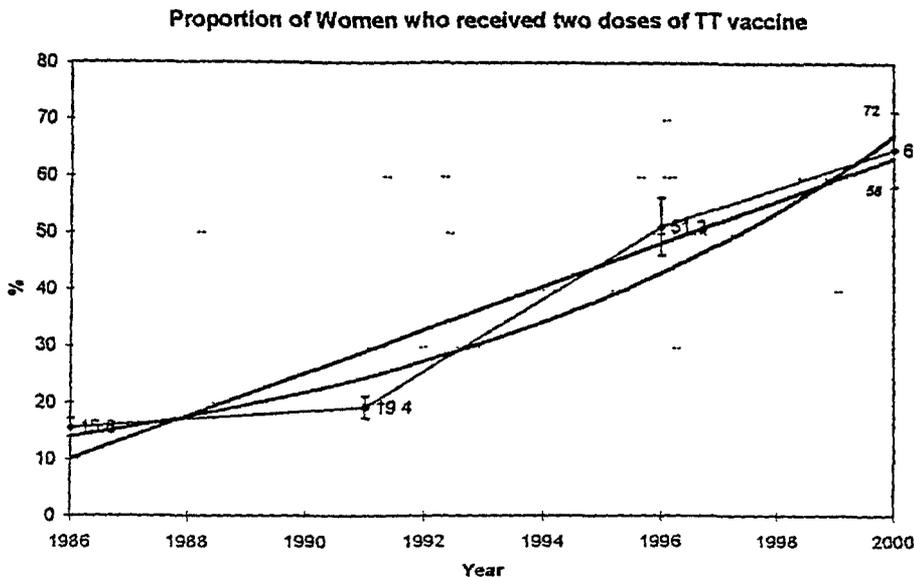
Immunization coverage of children younger than one, by type of vaccine

Successful vaccination campaigns in recent years have produced rates that hover around the 95 percent mark. The objective will be to maintain these excellent rates. The polio graph is shown.

Targets are 96 percent for the year 2000 for DPT and polio vaccines, and 90 percent for the measles vaccine, with a confidence band of four percent up and down in all three vaccine categories.



Immunization coverage of women who receive two doses of tetanus-toxoid vaccine



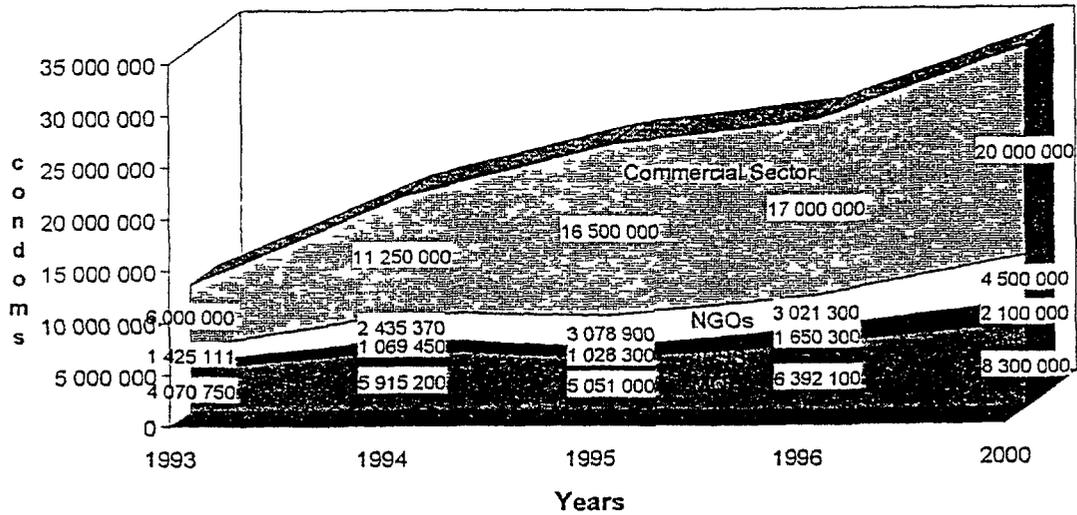
This rate has been very variable during the past ten years, going up and down from 15 percent in 1986 to 51 percent in 1996. A curvilinear trend that takes into account recent gains if maintained will project coverage close to the proposed rate for the year 2000.

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Target is 65 percent for the year 2000, with a high estimate of 72 and a low estimate of 58

Number of condoms distributed or purchased

Number of condoms distributed or purchased

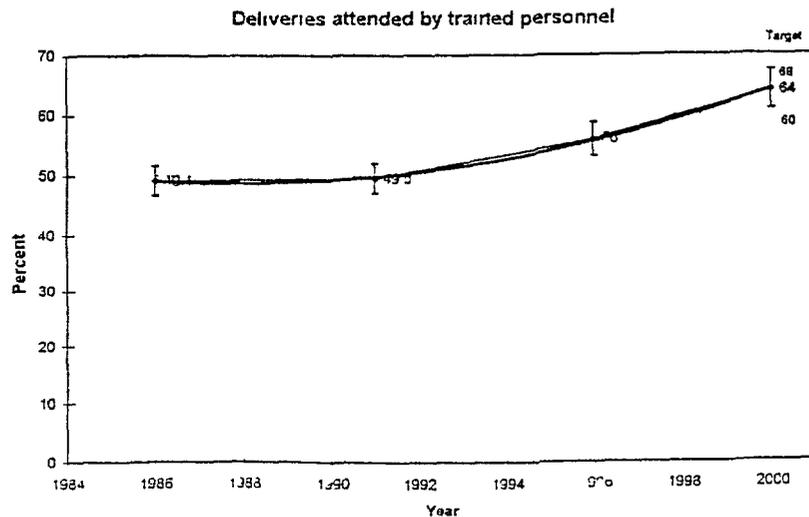


The target for this indicator has been selected merely following the linear increase in distribution from 1994 to 1996. If the same rate occurs from 1996 to year 2000, then the target would be 35 million condoms, with a high estimate of 40 million and a low estimate of 30 million.

IR 3.2 People Take Appropriate Promotive Actions

Proportion of births attended by trained personnel

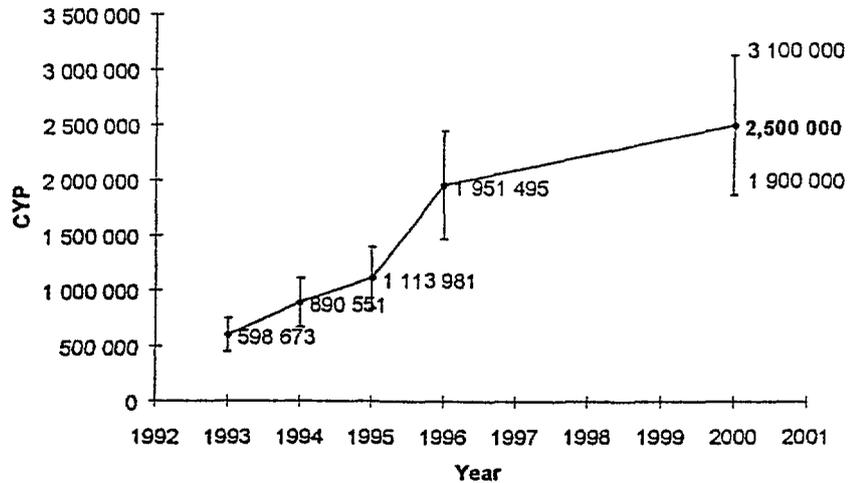
The target follows the linear trend computed for the three observations available. The confidence band will be +/- four percent. The target is 64 percent for the year 2000 with a high of 68 and a low of 60 percent.



Couple Years of Protection

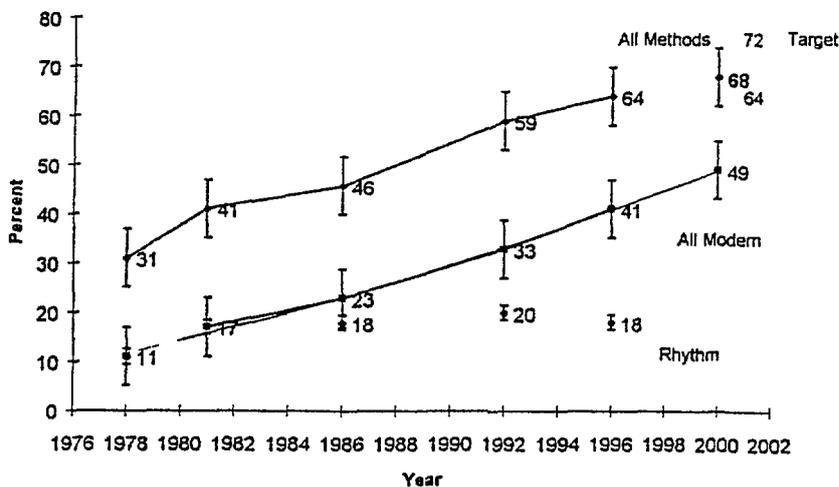
This rate shows two different trends, one between 1990 and 1994, and another between 1995 and 1996. The team has chosen to follow a linear trend taking into account the slower pace. The target selected is 2.5 million couple-years of protection for the year 2000, based on the two percent increase in total prevalence of contraceptives.

Couple Years Protection in the public and NGO Sectors



Contraceptive prevalence

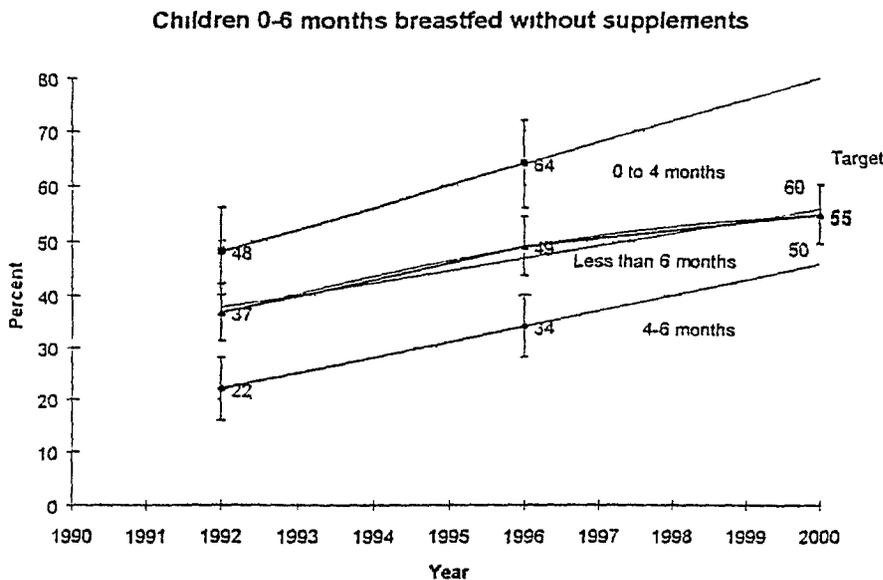
Contraceptive Use among women in union aged 15-49



The trend over the years is clear, with the caveat that the increasing percentage of use may start to slow down or stop completely above the 70 percent mark. Target is 68 percent for all methods, with a high of 72 and a low of 64 for the year 2000. Target for modern methods is 49. The team considered that the linear trend would slow down as more women had access to contraceptives and the 70 percent mark approached⁴.

⁴ Few countries in Latin America have a prevalence rate around 70%

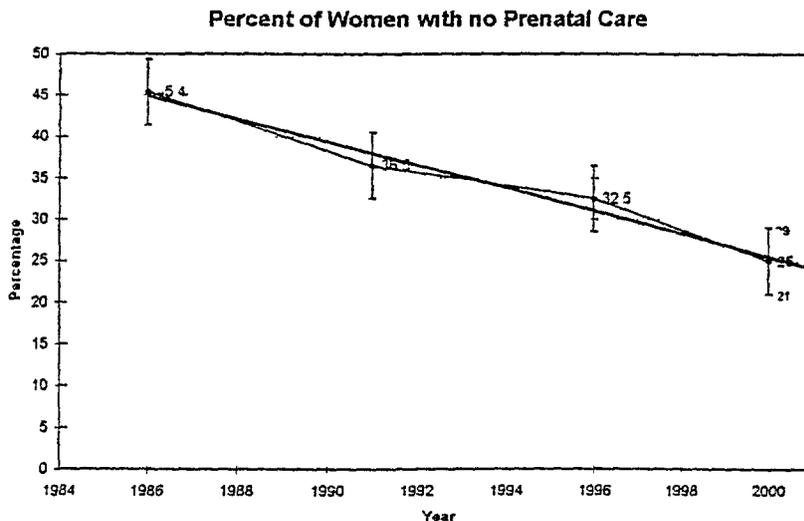
Percentage of infants who are breast-fed exclusively for the first six months



Thirty seven percent of breast-fed children less than six months received no supplements in 1992 (DHS II 1992), while that was the case for 49 percent of them in 1996. The target is 55 percent for year 2000, with a high of 60 and a low of 50. The team doubts that a linear trend will continue, but agrees that the value could increase to 55 percent by the year 2000. The variability is wide, depending on the

geographic area. That is the reason for a 5 percent spread for the high and the low expected values.

Percentage of women who did not have any prenatal visits during their last pregnancy



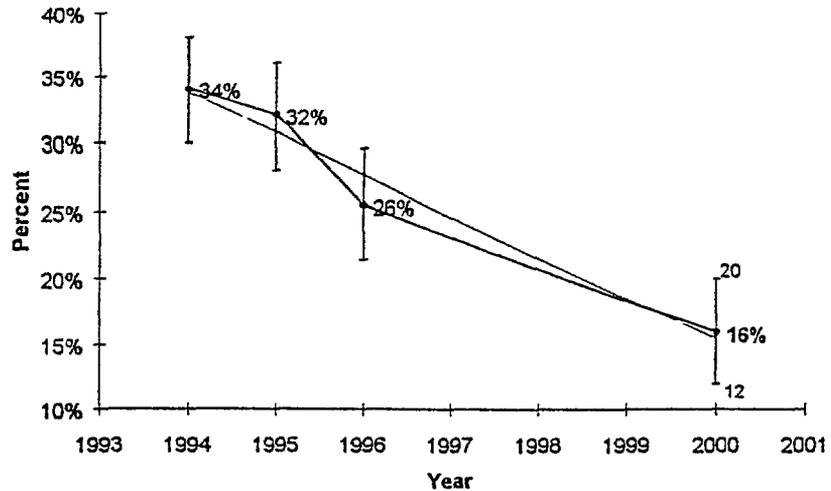
In 1996, 54 percent of women had at least four prenatal visits, while 32 percent did not have any, with a wide variation between Lima (12 percent) and rural areas (50 percent). This indicator has decreased from 45.4 percent in 1986 to 32.5 percent in 1996. Due to the expected impact of the interventions, the team assumes a linear decline to 25 percent in the year 2000, with a high estimate of 29 and a low estimate of 21 percent.

IR 3 3 People Take Appropriate Curative Actions

Percent of children with diarrhea that come to the health facility dehydrated

The team estimated that the drop between 1996 to 2000 will be more on the level of the change between 1994 and 1995. The variability is not very high, which gives an estimate that is consistent with the previous history. The target is 16 percent for the year 2000, with a high of 20 and a low of 12 percent.

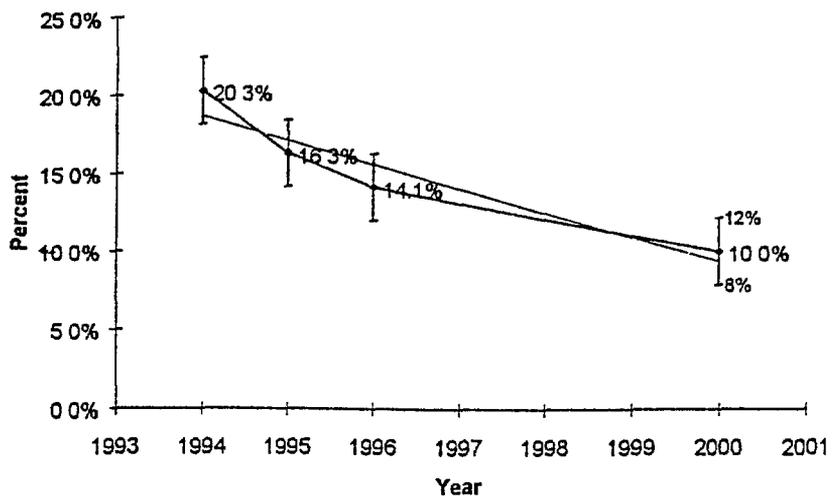
Percent of Children with Diarrhea that come to the Health Facility Dehydrated



Percent of children with acute respiratory infections that come to the health facility with pneumonia and/or complications

The decline between 1995 and 1996 is half the decline between 1994 and 1995, which suggests that there is a slowing down of the trend towards stabilization in the near future. The team proposed a target that will take into account the expected "bathtub" shape of the indicator. The variability among

Percent of Children with Acute Respiratory Infections that come to the Health Facility with complicated Pneumonia



regions of the country is not an important factor for this indicator. The linear trend in the graph goes just below 10 by the year 2000. The target is 10 percent for year 2000, with a high of 15 and a low of 5 percent.

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IR 3 4 Sustainable Institutions and Operations in Place

Percentage of the total budget recovered by targeted institutions

The baseline is 10 percent, and the estimated target is 40 percent (targeted urban NGOs) The expansion of the NGOs to rural areas has caused a drop in the recovered costs in recent years, however, the team expects this trend to reverse in the next four years

MOH expenditure in contraceptives

The MOH has planned to start buying contraceptives (there is a line item in the budget for contraceptives as of this writing) The baseline is zero, and the target for the year 2001 is \$1,730,000

USAID contribution to the overall contraceptives budget

Baseline (1997) 90 percent
Target for 2000 60 percent

Percentage of the national health budget allocated to primary care

The target will be set when baseline data are obtained

Percent of people attended by primary health care workers

The target will be set when baseline data are obtained (Definition may change due to data availability)

Number of facilities certified as model health centers in priority zones

The targets are based on current action plans of activities that support the public sector (e g , Project 2000) The total number of model health centers envisioned for the year 2001 is 102

MOH regions reporting data on common infectious diseases on a weekly basis

Baseline (1997) 75 percent
Target for 2000 88 percent

IV STRATEGIC OBJECTIVE 4 IMPROVED ENVIRONMENTAL MANAGEMENT OF TARGETED SECTORS

A Overview of the Results Framework

Peru's sustainable growth and environment are hampered by rapid, uncontrolled urbanization and widespread poverty which exerts destructive pressure on the country's resources. Lack of adequate environmental policies and environmental awareness exacerbates dealing effectively with environment problems. USAID's strategy to address these problems focuses on (1) improving the legal, policy, regulatory and normative environment and natural resource framework, (2) promoting pollution prevention in selected peri-urban and industrial settings, and (3) protecting natural resources including biological diversity and fragile eco-systems.

This SO will be achieved through five key inter-related intermediate results: the institutional capabilities of GOP and private sector organizations will be strengthened, aiming at mobilizing public support for environmental change, sound policies and effective legislation, and cost-effective practices.

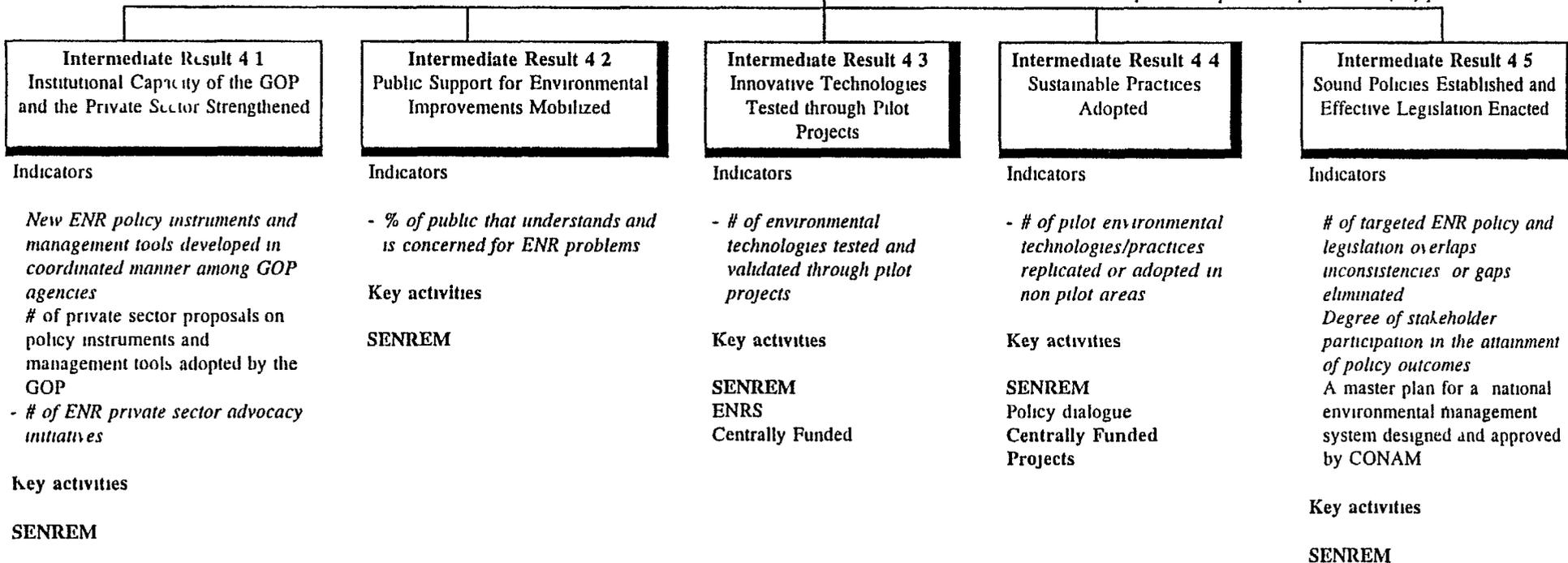
USAID's key activity supporting this strategic objective is the Sustainable Environment and Natural Resources Management (SENREM) activity, which provides support for participatory policy debate, policy research and analysis, information dissemination and training, and development of innovative sustainable technologies in the green, brown and blue areas of the environment. Other activities supporting this objective include the Alternative Development program in better land and water use management in former coca producing regions, centrally funded projects -- Parks in Peril, Biodiversity Support project, Title II selected activities in soil conservation, and participatory democracy initiatives. In addition, USAID strategy is supported by innovative, potentially replicable pilot activities in each of the key areas of environmental concern to the Mission:

- health hazards due especially to poor solid and hazardous waste processing in peri-urban areas,
- pollution resulting from inefficient production practices in selected industries such as fishing and mining,
- declining productive potential due to poor maintenance of soil and vegetative cover in fragile ecosystems, and
- loss and degradation of natural habitats especially in the Amazonian lowlands, wetlands and coastal zones

RESULTS FRAMEWORK FOR SO4

STRATEGIC OBJECTIVE No 4
IMPROVED ENVIRONMENTAL MANAGEMENT OF TARGETED SECTORS

- PERFORMANCE INDICATORS**
- Level of effectiveness of environmental and natural resources (ENR) actions as perceived by the public
 - # of biologically important national parks that have achieved management improvements
 - % of solid waste properly disposed of in sanitary landfills in Lima
 - % of industrial plants in targeted sectors that have adopted new pollution prevention (P2) practices



Note: Indicators in italics will be reported through the R4

PERFORMANCE MONITORING PLAN FOR STRATEGIC OBJECTIVE FOUR
Improved Environmental Management of Targeted Sectors

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/APPROACH OF DATA COLLECTION	DATA ACQUISITION BY MISSION		ANALYSIS & REPORTING	
				SCHEDULE/FREQUENCY	RESPONSIBLE TEAM/COSTS	SCHEDULE BY REPORT	RESPONSIBLE TEAM/OFFICE
STRATEGIC OBJECTIVE 4 IMPROVED ENVIRONMENTAL MANAGEMENT OF TARGETED SECTOR							
<p>1 Level of effectiveness of environmental and natural resources (ENR) actions as perceived by the public</p> <p>(Analyzed by socio economic variables and type of environmental problem)</p>	<p>Definition The amount of ENR actions that the general public over 18 years recognizes as being effective as a proportion of the total number of actions mentioned by respondents to the National Environmental Survey</p> <p>Unit Percentage</p>	National Environment Survey conducted by a private firm under USAID/ Peru guidance	Nationwide environmental survey using a random sample of 1 107 Peruvians over 18 years (See note 1 for additional information)	Annually January	SO4 Environment Survey Cost \$30 000 contracted in September	R4	SO4&PDP
<p>2 Number of biologically important national parks that have achieved management improvements</p> <p>R4 reported</p>	<p>Definition Improvements in management threshold level advances which reflect increases in performance capacity and use of human technical and financial resources directed towards the conservation of select national parks and reserves</p> <p>Threshold levels are not acceptable deficient acceptable with limitations good and excellent</p> <p>They are based on the status of the following areas legal status administration budget strategic planning level of community participation use of natural resources and management of conflicts and threats</p> <p>Unit Cumulative Number</p>	Performance Management Matrix updated by a private firm under USAID guidance	Survey of a sample of 14 protected areas (chosen for their ecological and geographic importance) evaluating 14 variables grouped in the following elements (a) legal status (b) administration (c) strategic planning (d) level of community participation (e) use of natural resources and (f) management of conflicts and threats(2) Special field trips will also be used by the above team to validate matrix scores Over 100 points scoring is as follows Not acceptable (0-20) deficient (21-40) acceptable with reservations (41-60) good (61-80) and excellent (81-100)	Annually January	SO4 Bio diversity RP Study costs \$8 000 Contracted in January	R4	SO4&PDP
<p>3 Percentage of solid waste properly disposed of in sanitary landfills in Lima (1)</p> <p>R4 reported</p>	<p>Definition Total metric tons of solid waste disposed of (as weighed and recorded by Relma and verified by SUMSEL) in landfills of Lima that meet the GOP technical norms for landfills as a proportion of total estimated metric tons of solid waste produced in Metropolitan Lima in a given year</p> <p>Unit Percentage</p>	Supervisory Municipal solid waste collection services (SUMSEL) Solid waste disposal records	Relma (4) furnishes SUMSEL with solid waste collection and landfill disposal data and the latter verifies it USAID has an agreement with SUMSEL to regularly receive copies of these reports In the event that other landfills begin to meet GOP norms they will be added as sources	Quarterly	SO4 requests reports from SUMSEL	R4	SO4 & PDP

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/APPROACH OF DATA COLLECTION	DATA ACQUISITION BY MISSION		ANALYSIS & REPORTING	
				SCHEDULE/FREQUENCY	RESPONSIBLE TEAM/COSTS	SCHEDULE BY REPORT	RESPONSIBLE TEAM/OFFICE
4 Percentage of industrial plants in targeted sectors that have adopted new pollution prevention (P2) practices R4 reported	Definition Plants in targeted sectors that have reduced or prevented pollution by 10 percent or more Plants in targeted sectors are those that have accessed P2 promotion activities (e.g. information training technical advice P2 audits technology transfers etc.)	CONAM (National Environmental Council) Management Information System (MIS)	Records maintained by the UEP other GOP and private organizations and the institution(s) responsible for the Clean Production Program Surveys conducted in and other special reports from those plants that have received USAID P2 TA	Quarterly	SO4	Quarterly	SO4&PDP
<p>COMMENTS/NOTES (1) The sample was stratified by regions and it used a probabilistic multistage sampling method by conglomerates self weighed and independent for each domain in which the household was the smallest cluster This indicator is derived from survey questions 7 2 7 3 and 7 4</p> <p>Q7 2 Do you know of any actions that have been undertaken to avoid or reduce the following problems? (a) water contamination and its inappropriate use (b) soil contamination and its inappropriate use (c) air pollution (d) inappropriate use of flora or fauna (e) lack of control of protected areas and (f) inadequate solid waste collection</p> <p>Q7 3 For those that respond yes to Q7 2 "What is the principal action that you know?"</p> <p>Q7 4 For those that respond yes to Q7 2 In your opinion was this action effective effective but insufficient marginally effective ineffective</p> <p>Socio economic variables include gender age education urban rural</p> <p>(2) In order to more easily describe results performance capacity threshold levels ranging from unacceptable to excellent have been assigned to each of the 14 protected areas based on their 1996 baseline matrix scores Progress or lack of progress will be measured by their ability or inability to reach higher threshold levels within this range</p> <p>(3) The SUMSEL office supervises solid waste collection for the Municipality of Lima</p> <p>(4) Relima is a private solid waste (garbage) collection firm under long term contract to Municipality of Lima</p> <p>(5) Definition of Pollution Prevention (P2) P2 practices are those which (a) reduce the amount of any hazardous substance pollutant or contaminant entering any waste stream or being released into the environment prior to recycling treatment or disposal and/or (b) replace toxic chemicals with less harmful chemicals (1) As efforts and resources are allocated in areas other than Lima this indicator will be expanded to incorporate such areas</p>							

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/APPROACH OF DATA COLLECTION	DATA ACQUISITION BY MISSION		ANALYSIS & REPORTING	
				SCHEDULE/FREQUENCY	RESPONSIBLE TEAM/COSTS	SCHEDULE BY REPORT	RESPONSIBLE TEAM/OFFICE
Intermediate Result 4 1 Institutional Capacity of the GOP and Private Sector Strengthened							
1 New environmental and natural resources (ENR) policy instruments and management tools developed in coordinated manner among GOP agencies (Analyzed by policy) R4 reported	Definition New ENR policy instruments and management tools include laws, supreme decrees ministerial and local/regional governments resolutions, strategies programs procedures and practices, intra government coordination, ENR information systems dispute resolution and other management tools GOP is defined as CONAM line Ministries Congress and local/regional governments Coordinated manner means developed by 2 or more units of the GOP Unit Number in a given year	CONAM (National Environmental Council) Management Information System (MIS)	Information system of the SENREM Project as managed by its implementation unit at CONAM	Quarterly	SO4 Institutional Framework RP	R4	SO4 & PDP
2 Number of private sector proposals on policy instruments and management tools adopted by the GOP (Analyzed by policy)	Definition Number of ENR policy instruments and management tools as confirmed by USAID/Peru that have a private sector institution position paper or proposal as a source Unit Number per year	Relevant reports of the Private Sector Coordinating Institution (PSCI)	Data to be collected from the PSCI information system	Quarterly	SO4 Institutional Framework RP	Annually in February	SO4
3 Number of ENR private sector advocacy initiatives (Analyzed by policy) R4 reported	Definition ENR initiatives are those that strengthen the private sector capacity to engage society on environmental issues such as policy research instruments sectoral fora data information systems including environmental monitoring systems and consensus building mechanisms Unit Number per year	USAID Sustainable Environmental and Natural Resources MIS	Data to be collected from the UCP/PSCI information system	Quarterly	SO4 Institutional Framework RP	R4	SO4 & PDP
COMMENTS/NOTES							

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/APPROACH OF DATA COLLECTION	DATA ACQUISITION BY MISSION		ANALYSIS & REPORTING	
				SCHEDULE/FREQUENCY	RESPONSIBLE TEAM/COSTS	SCHEDULE BY REPORT	RESPONSIBLE TEAM/OFFICE
Intermediate Result 4 2 Public Support for Environmental Improvements Mobilized							
1 Percentage of public that understands and is concerned for ENR problems (Disaggregated by socio economic and geographical variables and by environmental problem) R4 reported	Definition General public over 18 years that have an adequate level of recognition of the causes and effects of environmental problems in general and in the areas of water air soil flora and fauna protected areas solid waste and pollution prevention and management of natural resources concepts An individual has an adequate level of knowledge and concern if he/she scores 75% or higher of all the possible points assigned for all ideal/correct answers in the areas subject of the interview Unit Percentage	National Public Opinion Poll on Environment conducted by a private firm under USAID/Peru guidance	Same explanation of method and approach per SO level indicator (a) on page 1 See annexes for detailed methodology	Annually in January	SO4	R4	SO4 & PDP
COMMENTS/NOTES							
Intermediate Result 4 3 Innovative Technologies Tested Through Pilot Projects							
1 Environmental technologies tested and validated through pilot projects R4 reported	Definition Innovative feasible for wide spread adoption and economically viable environmental technologies/practices developed and validated through the attainment of the intended results Analyzed by technology Unit Annual number	USAID Sustainable Environment and Natural Resources MIS	SENRLM Project implementation unit at CONAM will keep permanent relevant track records which will be reported to Mission	Quarterly	SO4 Sustainable Practices RP	R4	SO4 & PDP
COMMENTS/NOTES							
Intermediate Result 4 4 Sustainable Practices Adopted							
1 Number of pilot environmental technologies/practices replicated or adopted in non pilot areas R4 reported	Definition Number of environmental technologies/practices replicated or adopted by public/private institutions with or without USAID support Analyzed by pilot project Unit Cumulative number	USAID Sustainable Environment and Natural Resource MIS	SENREM Project implementation unit at CONAM will keep permanent relevant track records which will be reported to Mission As part of its information system the PSCI will keep permanent relevant track records which will be reported to Mission	Quarterly	SO4 Sustainable Practices RP	R4	SO4 & PDP
COMMENTS/NOTES							

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/APPROACH OF DATA COLLECTION	DATA ACQUISITION BY MISSION		ANALYSIS & REPORTING	
				SCHEDULE/FREQUENCY	RESPONSIBLE TEAM/COSTS	SCHEDULE BY REPORT	RESPONSIBLE TEAM/OFFICE
Intermediate Result 4.5 Sound Policies Established and Effective Legislation Enacted							
1 Number of targeted ENR policy and legislation overlaps inconsistencies or gaps eliminated R4 reported	Definition Number of ENR policies and legislation approved which are directed to address 30 pre selected overlaps inconsistencies or gaps identified in year one by USAID and qualified by a panel of experts Unit Number	CONAM MIS	Annual updates of a Mission funded study to identify ENR policy and legislation overlaps inconsistencies or gaps in targeted sectors Special study of targeted sectors conducted by a private firm	Annually in January	SO4 Institutional Framework RP Cost \$8 000 contracted in January	R4	SO4 & PDP
2 Degree of stakeholders participation in the attainment of outcomes of indicator 5.1	Definition A panel of experts will determine whether any of the 5.1 overlaps inconsistencies or gaps were eliminated with civil society participation as established by a minimum threshold set up by the panel Unit Number	Special study above in 5.1 GOP institutions and the panel's own research	Annual updates to identify level of stakeholder participation	Annually in January	SO4 Institutional Framework RP	Annually in February	SO4
3 A master plan for a National Environmental Management System designed and approved by CONAM	Definition The master plan includes review procedures for Environmental Impact Assessments (EIAs) environmental norms design of a national environmental information system, and training and dissemination programs Unit yes/no	CONAM/UEP annual progress reports through the year 2000 A copy of the approved system in year 2000	CONAM/UEP will share with the Mission annual progress reports showing achievements in developing the system	Annually in January	SO4 Institutional Framework RP	Annually in February	SO4
COMMENTS/NOTES							

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November 14 1997

B Performance Monitoring Plan (PMP) for SO 4

The PMP for SO4 reflects an attempt of the SO Team to summarize in a quantitative manner the results expected with the different interventions under its key activity, SENREM. Given the scope of the SO and the nature of most of the results to be obtained (institutional capacity, policy, participatory process, technologies) it is important to note that behind the data portrayed by each indicator there is a great deal of qualitative analysis for each specific environmental targeted sector. Key information on the definition and methods of data collection is summarized in the attached SO4 PMP tables.

Strategic Objective Level: Improved Environmental Management of Targeted Sectors

Performance Indicators

- Level of effectiveness of environment and natural resources management actions as perceived by the public
- Number of biologically-important national parks that have achieved management improvements
- Percentage of solid waste properly disposed of in sanitary landfills in Lima
- Percentage of industrial plants in targeted sectors that have adopted new pollution prevention (P2) practices

The first indicator is a proxy to capture the level of general improvement in environmental management that might not be captured by the other three sector specific indicators. It also brings the perception of the customers into the process.

The second indicator, is based on a performance management matrix (see attached), and has been framed as a desk audit tool. The monitoring process using this tool will be enhanced with a random sample field audit. A protocol will be developed to check the validity of the desk audit information, determine the performance of park staff, and validate the desk audit as a proxy for performance. The auditor will rate the management capacity for each protected areas as falling into one of five categories from "unacceptable" to "excellent". The indicator measures how many of 14 the protected areas increased their capacity by at least one category.

The third indicator, the *percentage of solid waste properly disposed of in sanitary landfills in Lima*, is limited to Lima because it produces the majority of the trash in the country. Should the activity be replicated in areas outside of Lima, the Team will explore the possibility of expanding the indicator to a larger geographic area.

Indicator 4 on the *percentage of industrial plants in targeted sectors that have adopted new pollution prevention practices* will track the impact of pollution prevention promotion practices in targeted sectors⁵.

⁵ Five sectors will be targeted out of the eleven sectors that have been preliminary identified: Non-ferrous basic metals industry, Cement, limestone and plaster, Yarns, fabrics and finishing, Basic iron and steel industry, Beer and malt, Wood pulp, paper and cardboard, Synthetic resins, plastics material and artificial fibers, Clay products for construction, Fabrication and refining of sugar, Tanning, Non-alcoholic beverages. Final selection will be made once the Clean Production Program starts in 1998.

MATRIX FOR INDIRECT EVALUATION OF MANAGEMENT EFFECTIVENESS OF THE PERUVIAN PROTECTED AREA SYSTEM

MATRIX ELEMENTS	CAPACITY				ADMINISTRATION ATTITUDE								(A)	(B)	% Park Scores
	Physical/Legal Clearing	Personnel (2)	Infrastructure and Equipment	Financing	Management Plans (3)	Participative Planning	Participative Management	Extension Programs	Coordination with Private Sector	Ecological Monitoring	Conflicts with the use of the natural resources	Management of conflicts w/State Programs	Total Assigned to NPA	Total Max under Optimum Scenario (4)	
<i>Manu National Park (NP)</i>	1 00	6 78	6 72	8 40	10 00	3 00	1 00	3 00	4 00	4 95	9 00	3 90	61 75	95 00	65 00
<i>Huascarán NP</i>	1 00	6 12	1 92	10 64	7 50	4 00	1 00	1 95	4 00	6 30	5 85	3 90	54 18	95 00	57 03
<i>Cerros de Amotape NP</i>	3 00	3 90	1 92	8 40	8 25	3 00	1 00	3 00	4 00	5 85	9 00	3 00	54 32	95 00	57 18
<i>Río Abiseo NP</i>	3 00	5 75	6 72	8 40	8 75	3 00	1 00	3 00	4 00	4 50	9 00	3 90	61 02	95 00	64 23
<i>Yanachaga Chemillen NP</i>	2 00	5 05	4 80	8 40	8 25	1 80	0 00	1 95	4 00	4 95	0 00	3 00	44 20	95 00	46 53
<i>Bahuaja Sonene NI</i>	3 00	4 79	4 80	8 40	3 25	4 00	1 00	3 00	4 00	6 03	9 00	3 90	55 17	95 00	58 07
<i>Juin National Reserve (NR)</i>	2 00	3 18	0 00	12 32	3 25	0 00	0 00	0 00	0 00	6 30	0 00	0 00	27 05	95 00	28 47
<i>Paracas NR</i>	3 00	4 09	1 92	12 60	7 50	3 00	2 00	1 95	4 00	5 40	9 00	3 90	58 36	95 00	61 43
<i>Tincaca NR</i>	2 00	4 52	1 92	14 00	3 25	1 80	0 00	0 00	0 00	5 40	5 85	0 00	38 74	95 00	40 78
<i>Salinas y Aguada Blanca NR</i>	2 00	4 28	0 00	0 00	1 25	0 00	0 00	0 00	0 00	2 43	0 00	0 00	9 96	95 00	10 48
<i>Pacaya Samiria NR</i>	3 00	7 86	6 72	8 40	8 75	4 00	3 00	3 00	4 00	7 65	9 00	3 90	69 28	95 00	72 93
<i>Calpu National Sanctuary (NS)</i>	2 00	0 00	0 00	0 00	0 00	0 00	0 00	0 00	0 00	2 70	0 00	0 00	4 70	95 00	4 95
<i>Manglares de Tumbes NS</i>	3 00	3 10	6 72	7 00	10 00	3 00	0 00	3 00	4 00	8 10	5 85	3 90	57 67	95 00	60 71
<i>MacchuPicchu Historical Sanctuary</i>	1 00	4 84	1 92	11 20	3 25	0 00	0 00	0 00	0 00	4 95	0 00	3 90	31 06	95 00	32 69
Maximum Score Assignable to Each Element by NPA (1)	3 00	4 00	1 00	1 00	2 00	1 00	1 00	1 00	1 00	5 00	1 00	1 00			
Weight Factor for Each Element	2 00	3 50	12 00	14 00	5 00	4 00	4 00	3 00	4 00	1 80	9 00	6 00			
Maximum Weight Score for Each Element by NPA	6 00	14 00	12 00	14 00	10 00	4 00	4 00	3 00	4 00	9 00	9 00	6 00		95+5	
Ideal Score for Each Element in the sample (14 areas)	84 00	196 00	168 00	196 00	210 00	56 00	56 00	42 00	56 00	126 00	126 00	84 00		1 400	
Weight Score assigned to Each element (Nov 1996)	31 00	64 26	46 08	118 16	85 75	30 60	10 00	23 85	36 00	75 51	71 55	37 20	629 96		45 00
% of Ideal Score	36 90	32 79	27 43	60 29	40 83	54 64	17 86	56 79	64 29	59 93	56 79	44 29			

- (1) Score prior to weighting (2) Weighting factors to personnel element are applied by independent out way for each component (Chiefs Professionals Park rangers Administrative staff)
 (3) The Plan Director weight factor is used on the final score of the element (once in the sample) (4) A total of 95 points for each NPA was considered The Plan Director value is applied once for all the sample

Intermediate Result 4 1 Institutional Capacity of the GOP and Private Sector Strengthened

Indicators

- New ENR policy instruments and management tools developed in coordinated manner among GOP agencies
- Number of private sector proposals on policy instruments and management tools adopted by the GOP
- Number of ENR private sector advocacy initiatives

Public and private sector institutions need to develop capacity for consensus-building, problem identification and solving, and constructive policy dialogue in order to act effectively towards environmental management improvements. The indicators for this IR attempt to capture this capacity.

The first indicator, *New ENR policy instruments and management tools developed in a coordinated manner among GOP agencies*, will monitor the capacity of the public sector to develop coherent policy instruments for environmental management, such as legislation, norms, strategies, etc. The second indicator will track private sector collaboration with the GOP and public sector openness to civil society participation in the decision-making process. The third indicator will track the capacity of the private sector to develop ENR advocacy initiatives, such as policy research instruments, sectoral fora, data information systems, including environmental monitoring systems and consensus building mechanisms.

Intermediate Result 4 2 Public Support for Environmental Improvements Mobilized

Indicator

- Percentage of public that understands and is concerned for environmental and natural resources problems

Greater awareness for ENR problems will mobilize higher support for ENR improvements. This indicator is derived from a national survey on ENR. The analysis of the survey results provides information on specific environmental areas and target groups for better management for results.

Intermediate Result 4 3 Innovative Technologies Tested through Pilot Projects

Indicator

- Environmental technologies tested and validated through pilot projects

This indicator is based on the results of each pilot project. The definition states that validation means meeting the pilot project objectives, including demonstration of a high probability of expansion. Each pilot project will be monitored through specific indicators, including bio-physical indicators (i.e. emissions, water savings, etc.).

Intermediate Result 4 4 Sustainable Practices Adopted

Indicators

- Number of environmental technologies/practices replicated or adopted in non-pilot areas

The indicator attempts to capture the impact of the new technology development and promotion activities. It is based on the results of the pilot projects.

Intermediate Result 4 5 Sound Policies Established and Effective Legislation Enacted

Indicators

- Number of targeted ENR policy and legislation overlaps, inconsistencies, or gaps eliminated
- Degree of stakeholder participation in the attainment of outcomes of indicator 5 1
- A master plan for a National Environmental Management System designed and approved by CONAM

Indicators for this IR focus on specific key policies, and achievement is contingent upon successes in IRs related to strengthen the institutional capacity of the GOP and the private sector and to mobilize public support for environmental improvements. To be sound and effective, policies need to be developed in a public-private sector participatory manner and with a high degree of consensus.

The first indicator will measure improvements in the policy framework as qualified by a panel of experts. The second one, which is directly linked to the first, provides a reading on whether stakeholder interests are involved in those policy and legislative changes, thus facilitating the adoption and therefore the effectiveness of the policy. The third indicator is a key benchmark for the whole environmental policy framework.

RESULTS TRACKING TABLE FOR STRATEGIC OBJECTIVE FOUR
Improved Environmental Management of Targeted Sectors

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	BASELINE DATA		TARGETS				
			YEAR	VALUE	1997	1998	1999	2000	2001
STRATEGIC OBJECTIVE 4 IMPROVED ENVIRONMENTAL MANAGEMENT OF TARGETED SECTOR									
1 Level of effectiveness of environmental and natural resources (ENR) actions as perceived by the public	<p>Definition The amount of ENR actions that the general public over 18 years recognizes as being effective as a proportion of the total number of actions mentioned by respondents to the National Environmental Survey Analyzed by socio economic variables and type of environmental problem</p> <p>Unit 0 100</p>	National Environment Survey conducted by a private firm under USAID Peru guidance	1996	83	9	9	10	10	11
2 Number of biologically important national parks that have achieved management improvements 2/ R4 reported	<p>Definition Improvements are management threshold level advances which reflect increases in performance capacity and use of human technical and financial resources directed towards the conservation of select national parks and reserves Threshold levels are not acceptable deficient acceptable with limitations good and excellent They are based on the status of the following areas legal status administration budget strategic planning level of community participation use of natural resources and management of conflicts and threats</p> <p>Unit Cumulative Number</p>	Performance Management Matrix updated by a private firm under USAID guidance	1996	0	0	1	2	3	5
3 Percentage of solid waste properly disposed of in sanitary landfills in Lima (1) R4 reported	<p>Definition Total metric tons of solid waste disposed of (as weighed and recorded by Relima and verified by SUMSEL) in landfills of Lima that meet the GOP technical norms for landfills as a proportion of total estimated metric tons of solid waste produced in Metropolitan Lima in a given year</p> <p>Unit Percentage</p>	Supervisory Municipal solid waste collection services (SUMSEL) Solid waste disposal records	1996	24.4	38.9	42.1	47.0	53.0	58.0
4 Percentage of industrial plants in targeted sectors that have adopted new pollution prevention (P2) practices (analyzed by sector) R4 reported	<p>Definition Plants in targeted sectors that have reduced or prevented pollution by 10 percent or more Plants in targeted sectors are those that have accessed P2 promotion activities (e.g. information training technical advice P2 audits technology transfers etc.) 3/</p> <p>Unit Percentage</p>	CONAM records	1996	0	0	5	8	12	15

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	BASELINE DATA		TARGETS				
			YEAR	VALUE	1997	1998	1999	2000	2001
<p>COMMENTS/NOTES (1) As efforts and resources are allocated in areas other than Lima this indicator will be expanded to incorporate such areas (2) Parks considered are Manu Huscaran Cerros de Amotape Rio Abiseo Yanachaga Chemillen Bahuaja Sonene Junin Paracas Titicaca Salinas y Aguada Blanca Pacaya Samira Calpuy Manglares de Tumbes MacchuPichu (3) Definition of Pollution Prevention (P2) P2 practices are those which (a) reduce the amount of any hazardous substance pollutant or contaminant entering any waste stream or being released into the environment prior to recycling treatment or disposal and/or (b) replace toxic chemicals with less harmful chemicals</p>									
Intermediate Result 4.1 Institutional Capacity of the GOP and Private Sector Strengthened									
<p>1 New environmental and natural resources (ENR) policy instruments and management tools developed in coordinated manner among GOP agencies</p> <p>(Analyzed by type of policy)</p> <p>R4 reported</p>	<p>Definition New ENR policy instruments and management tools include laws supreme decrees ministerial and local/regional governments resolutions strategies programs procedures and practices, intra government coordination ENR information systems dispute resolution and other management tools GOP is defined as CONAM line Ministries Congress and local/regional governments Coordinated manner means developed by 2 or more units of the GOP</p> <p>Unit Number in a given year</p>	<p>CONAM (National Environmental Council) Management Information System (MIS)</p>	1996	0	2	2	3	3	3
<p>2 Number of private sector proposals on policy instruments and management tools adopted by the GOP</p> <p>(Analyzed by type of policy)</p>	<p>Definition Number of ENR policy instruments and management tools as confirmed by USAID/Peru that have a private sector institution position paper or proposal as a source</p> <p>Unit Number</p>	<p>Relevant reports of the Private Sector Coordinating Institution (PSCI)</p>	1996	0	0	1	1	1	1
<p>3 Number of ENR private sector advocacy initiatives</p> <p>(Analyzed by type of policy)</p> <p>R4 reported</p>	<p>Definition ENR initiatives are those that strengthen the private sector capacity to engage society on environmental issues such as policy research instruments sectoral fora data information systems including environmental monitoring systems and consensus building mechanisms</p> <p>Unit Number per year</p>	<p>USAID Sustainable Environmental and Natural Resources MIS</p>	1996	0	0	2	2	3	3
COMMENTS/NOTES									

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PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	BASELINE DATA		TARGETS				
			YEAR	VALUE	1997	1998	1999	2000	2001
Intermediate Result 4 2 Public Support for Environmental Improvements Mobilized									
1 Percentage of public that understands and is concerned for ENR problems R4 reported (Disaggregated by socio economic geographical variables and environmental problem)	Definition General public over 18 years that have an adequate level of recognition of the causes and effects of environmental problems in general and in the areas of water air soil flora and fauna protected areas solid waste and pollution prevention and management of natural resources concepts An individual has an adequate level of knowledge and concern if he/she scores 75% or higher of all the possible points assigned for all ideal/correct answers in the areas subject of the interview Unit Percentage	<i>National Public Opinion Poll on Environment</i> conducted by a private firm under USAID/Peru guidance	1996 Lima Rural	15 M 18 F 21 M 4 F 2	16	18	20	22	24
COMMENTS/NOTES M Male F Female									
Intermediate Result 4 3 Innovative Technologies Tested Through Pilot Projects									
1 Environmental technologies tested and validated through pilot projects R4 Reported	Definition Innovative feasible for wide spread adoption and economically viable environmental technologies/practices developed and validated through the attainment of the intended results Analyzed by technology Unit Annual number	USAID Sustainable Environment and Natural Resources MIS	1996	0	1	1	4	4	5
COMMENTS/NOTES									
Intermediate Result 4 4 Sustainable Practices Adopted									
1 Number of pilot environmental technologies/practices replicated or adopted in non pilot areas R4 Reported	Definition Number of environmental technologies/practices replicated or adopted by public/private institutions with or without USAID support Analyzed by technology Unit Cumulative number	USAID Sustainable Environment and Natural Resource MIS	1996	0	0	1	4	7	7
COMMENTS/NOTES									

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PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	BASELINE DATA		TARGETS				
			Y/FAR	VALUE	1997	1998	1999	2000	2001
Intermediate Result 4.5 Sound Policies Established and Effective Legislation Enacted									
1 Number of targeted FNR policy and legislation overlaps inconsistencies or gaps eliminated (Analyzed by policy) R4 Reported	Definition Number of ENR policies and legislation approved which are directed to address 30 pre selected overlaps inconsistencies or gaps identified in year one by USAID and qualified by a panel of experts Unit Number	CONAM MIS	1996	0	0	1	3	3	3
2 Degree of stakeholders participation in the attainment of outcomes of indicator 5.1 (Analyzed by policy) R4 Reported	Definition A panel of experts will determine whether any of the 5.1 overlaps inconsistencies or gaps were eliminated with civil society participation as established by a minimum threshold set up by the panel Unit Number	Special study above in 5.1 GOP institutions and the panel's own research	1996	0	0	0	1	2	2
3 A master plan for a National Environmental Management System designed and approved by CONAM	Definition The master plan includes review procedures for Environmental Impact Assessments (EIAs) environmental norms, design of a national environmental information system and training and dissemination programs Unit yes/no	CONAM MIS	1996	No	No	No	No	Yes	N/A
COMMENTS/NOTES									

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September 3 1997

C Results Tracking Tables (RTT) for SO4

Baselines and targets have been established for all indicators. Although quantitative targets for some indicators may seem low, the qualitative analysis of such progresses will be most important. Targets will be revised annually, based on the actual allocation of resources, and the development of the activities supporting the achievement of the SO.

Rationale for Targets

Strategic Objective Level Improved Environmental Management of Targeted Sectors

Level of effectiveness of ENR actions as perceived by the public

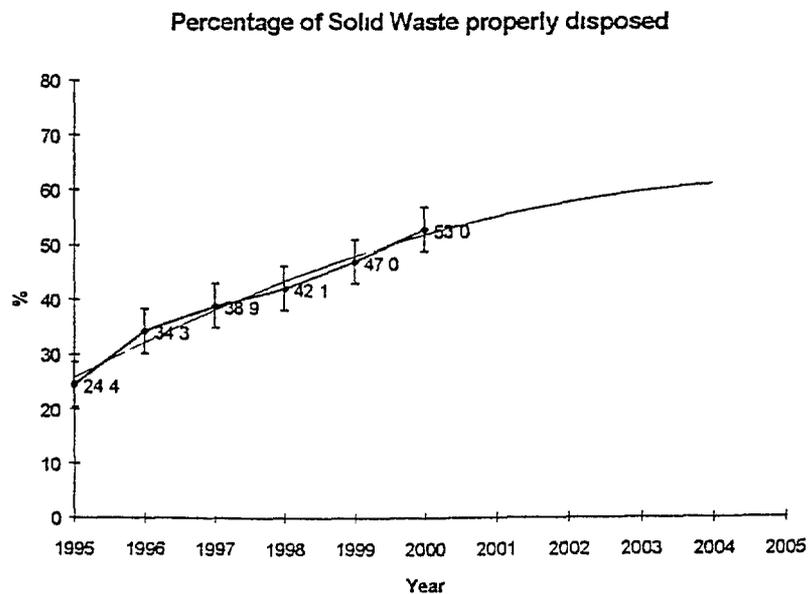
According to the baseline study, there is a very low perception of the degree of effectiveness of the ENR actions. It is scored as 8.3 on a 0-100 scale. It has different scores for each specific ENR sector and ENR action within each sector. The targets were calculated using data from the expected accomplishments under IR 4.2 (ENR awareness) and the analysis of the targeted ENR policies and initiatives planned under this SO.

Number of biologically-important national parks that have achieved management improvements

The baseline study for this indicator established that out of the targeted 14 parks, the environmental management of 1 park is qualified as "good", 4 national parks are in the category of "acceptable with limitations", 5, "deficient", and 4, "unacceptable". The targets came from analysis of the management capacity ratings of the 14 protected areas being tracked. The distribution of the ratings of the 14 areas provided anchor points to define the five threshold steps. Knowledge of the management capacity of the 14 areas and their proximity to a threshold change helped to set the targets.

Percentage of solid waste properly disposed of in sanitary landfills in Lima

Targets for this indicator rest on baseline data from existing garbage collection records and a study on the total amount of garbage produced in Metropolitan Lima. Historical data provided a projection curve that defined the targets.



Percentage of industrial plants in targeted sectors that have adopted new P2 practices

The baseline study⁶ provides the analysis on potential for success for each of the preliminary selected industrial sectors. The estimation of the targets incorporates the potential technological diffusion and positive impacts of a clean production program, which will start in 1998.

IR 4.1 Institutional Capacity of the GOP and Private Sector Strengthened

New ENR policy instruments and management tools developed in coordinated manner among GOP agencies

The baseline starts at zero from the point that tracking begins. The targets are reasonable estimates based on issues in the pipeline. Examples of key policy instruments to be developed by GOP and private sector are:

- National Environmental Management System
- National Environmental Action Plan
- National Environmental Information System
- Multisectoral Technical Committee at CONAM
- Environmental Protection Regulations for the Manufacturing Industry
- Environmental Regulations for the Fishing Industry
- Mechanisms for providing public access to environmental information

Number of private sector proposals on policy instruments and management tools adopted by the GOP

The baseline is zero since the universe it depends upon (Indicator above) is also zero. The Team expects to see the first results from activities with the private sector reflected in GOP adopted policies and management practices in 1998. In 1998 one out of two will be a private sector initiative. For subsequent years the expectation is one out of three will be a private sector initiative.

Number of ENR private sector advocacy initiatives

Targets are based on USAID project planned initiatives. These include a State of the Environment Report and an annual multisectoral forum on environment.

IR 4.2 Public Support for Environmental Improvements Mobilized

According to the baseline study, only 15 percent of Peruvians understand and are concerned about ENR problems. The analysis of the degree of awareness (adequate, medium, low and very low), the socio-economic characteristics of these groups, and the planned interventions provided for the basis to establish the targets.

⁶ ECOTEC "Peru Industrial Sector Profile" June 1997

IR 4 3 Innovative Technologies Tested through Pilot Projects

Environmental technologies tested and validated through pilot projects

The baseline is zero for 1996 as the pilot projects were just beginning then and tracking begins in 1997. Of the approximately 30 pilot projects envisioned, the Team expects 50 percent to be valid for diffusion by the year 2001. Those 15 are distributed over the ensuing years following projections of the number funded, implementation schedules, and the probability of success. Examples of these technologies are pollution reduction in the fishing sector, solid waste management, biodiversity conservation, etc.

IR 4 4 Sustainable Practices Adopted

Number of new environmental technologies replicated or adopted within a larger universe. Again, the Team estimated that 50 percent of the validated projects will actually be replicated or adopted more widely (7 out of 15 validated pilot projects). Their distribution follows that of the validated projects. There is no increase from the year 2000 to 2001 since the last round of pilots would not have sufficient time to have matured by then.

IR 4 5 Sound Policies Established and Effective Legislation Enacted

Number of targeted ENR policy and legislation overlaps, inconsistencies, or gaps eliminated

The baseline study⁷ has determined the existence of 30 key policy and legislation overlaps, inconsistencies, or gaps. However, in a best case funding scenario, only ten of the key ones could be addressed effectively during the period of the strategy. The baseline is zero in 1996 and the Team estimated one such case in 1998. Thereafter, they estimate three per year. Examples of targeted gaps/inconsistencies are:

- Intersectoral Environmental Impact Evaluation Procedures
- Forestry Law
- Lack of Decentralization Instruments for Environmental Management
- Lack of instruments for intersectoral environmental coordination
- Poor capabilities of Sectoral Environmental Units
- Lack of intersectoral coordination in Protected Areas management

Degree of stakeholder participation in the attainment of policy outcomes

The baseline is zero in 1996. Since activities with the private sector will be fully underway in 1998, it is expected that results will start to be shown in 1999.

A master plan for a National Environmental Management System designed and approved by CONAM

This master plan is expected to be approved and adopted by the year 2000, based on CONAM's own projections.

⁷ Matriz para medir el grado de efectividad de la participación ciudadana en la definición de la política y las regulaciones sobre el medioambiente y los recursos naturales. Sociedad Peruana de Derecho Ambiental. Junio 1997.

ANNEX IV-1 ENVIRONMENT SURVEY QUESTIONNAIRE

Cuanto

Gerencia de Encuestas

ENCUESTA DE OPINION PUBLICA

Sr Sra Srta soy encuestadora del Instituto Cuanto y estamos ejecutando a nivel nacional una encuesta de opinion sobre los principales problemas del pais y de su localidad por lo que agradecere se sirva contestar con la mayor veracidad las siguientes preguntas Si alguno de los temas es desconocido por Ud no se preocupe solo denos su opinion de aquello que ud conoce

DATOS GENERALES						
UBICACION GEOGRAFICA						
	Departamento	Provincia	Distrito			
	Centro poblado	Nombre				
		Categoria				
ZONA GEOGRAFICA						
	1	Lima Metropolitana	3	Costa rural	5	Sierra rural
	2	Costa urbana	4	Sierra urbana	6	Selva urbana
					7	Selva rural

I CONCEPTOS GENERALES

1 1 En su opinion, ¿cuales son los principales problemas del Peru? (SONDEAR HASTA TRES RESPUESTAS)						
	1	Falta de empleo	4	El narcotrafico	7	Otros
	2	Bajos ingresos	5	La pobreza		a
	3	Terrorismo	6	La contaminación del medio ambiente		b
						c
1 2 Muchas personas hablan sobre el medio ambiente Para usted ¿que significa el medio ambiente?						
1 3 Tambien se habla sobre problemas de contaminación ¿que entiende ud por contaminación?						
1 4 En su opinion, la proteccion del medio ambiente, y la lucha contra la contaminación es						
[Q 74]						
	1	Un problema urgente	3	No es un problema		
	2	Un problema para el futuro	9	No sabe		
1 5 ¿Ha escuchado hablar alguna vez del manejo sostenible de los recursos naturales?						
	1	Si	2	No		
1 6 ¿Que tan preocupado esta ud por los siguientes problemas en el Peru?						
[Q 79]	(MOSTRAR TARJETA 1)	M u y Preocupado	Preocupado	Poco Preocupado	N a d a Preocupado	NS
a	Contaminacion de rios y lagos	1	2	3	4	9
b	Contaminacion del mar y costas	1	2	3	4	9
c	Dano a plantas animales y a su medio natural	1	2	3	4	9
d	Contaminacion por plaguicidas en la actividad agricola	1	2	3	4	9
e	Crecimiento desordenado de las ciudades	1	2	3	4	9
f	Contaminacion por residuos industriales	1	2	3	4	9
g	Contaminacion por basura domestica	1	2	3	4	9
h	Contaminacion del aire	1	2	3	4	9
i	Dano causado por el turismo en areas naturales	1	2	3	4	9

17 Y en el mundo ¿que tanto le preocupan los siguientes problemas?						
[Q 75]	(MOSTRAR TARJETA 1)	Muy Preocupado	Preocupado	Poco Preocupado	Nada Preocupado	NS
a	Desaparición de algunas especies de plantas y animales	1	2	3	4	9
b	Uso excesivo de recursos naturales	1	2	3	4	9
c	Desaparición de bosques tropicales	1	2	3	4	9
d	Calentamiento del planeta	1	2	3	4	9
e	Destrucción de la capa de ozono	1	2	3	4	9
f	Que la contaminación de los países mas industrializados afecte a los países menos industrializados (como el nuestro)	1	2	3	4	9

18 ¿Quen cree ud que es el principal culpable de los problemas ambientales en el Peru?						
[29a]						
1	El gobierno central	3	Las industrias	5	Todos	9 No sabe
2	El gobierno local	4	La comunidad	6	Otros	

II AGUA

A CONTAMINACION

21 ¿Que tan contaminados cree ud que estan en nuestro pais?						
	(MOSTRAR TARJETA 2) (SONDEAR)	Muy contaminado	Contaminado	Poco contaminado	Nada contaminado	NS
a	Los rios y lagunas	1	2	3	4	9
b	El mar y las playas	1	2	3	4	9
c	Las aguas subterráneas	1	2	3	4	9
d	El agua que usa para beber	1	2	3	4	9

2.2 ¿Cual cree ud que es el contaminante mas comun que se arroja a las aguas? ¿Y el segundo mas comun? ¿Y el tercero mas comun? (SONDEAR HASTA TRES RESPUESTAS)						
1	Basura domestica	4	Sustancias peligrosas	8	Otros	a
2	Desagues	5	Relaves mineros	9	No sabe	b
3	Residuos industriales	7	Petroleo aceites grasas			c

23 Cree ud que la contaminación actual de las aguas afecta mucho, algo, poco, a?						
	(MOSTRAR TARJETA 3)	Afecta mucho	Afecta	Afecta poco	No Afecta	NS
a	la población	1	2	3	4	9
b	los animales	1	2	3	4	9
c	las plantas	1	2	3	4	9
d	los suelos	1	2	3	4	9

(PARA LOS QUE TRABAJAN EN AGRICULTURA 24)

24 ¿Riegan ustedes sus cultivos con aguas de desagues?						
1	Si frecuentemente	3	No			
2	Si algunas veces	8	No riegan			

25 ¿Que tanto cree ud que el riego de cultivos con aguas de desagues sin tratamiento, contamina las cosechas?						
1	Contamina mucho	2	Contamina	3	Contamina poco	4
					4	No contamina
					9	NS

B UTILIZACION DEL AGUA

26 ¿Donde cree ud que se desperdicia mas el agua, en las industrias en el riego de cultivos, riego de parques o en las casas?						
1	Industria	5	Riego de parques y jardines	9	No sabe	
2	Riego de cultivos	4	Uso en las casas			

27	De los siguientes problemas que afectan al agua ¿Cual cree ud que es mas urgente de resolver? (MOSTRAR TARJETA 4)					
1	Contaminacion por desagues y/o basura			4	Desperdicio de agua en el riego	
2	Contaminacion con residuos industriales y/o mineros			5	Desperdicio de agua en las casis	
3	Contaminacion por sustancias peligrosas			9	No sabe	

III SUELO

A CONTAMINACION

31	¿Cree ud que la erosion de suelos en nuestro pais es decir cuando la tierra empobrece es un problema muy importante, algo importante poco importante? (SONDEAR SI EL INFORMANTE DESCONOCE EL TEMA MARCAR NS)									
1	Muy importante	2	Importante	3	Poco importante	4	Nada importante	9	NS (> > 3 4)	
32	¿Y cual cree que es la causa principal de la erosion de suelos? (SONDEAR)									
1	Ganaderia extensiva sobrepastoreo			4	Abandono de tierras de cultivo					
2	Quema de pastos			5	Otros					
3	Tala de arboles detorestacion			9	No sabe					
33	¿Cual cree que es la consecuencia principal de esta erosion de suelos?									
1	Deslizamientos y huaycos			4	Otros					
2	Obstruccion de canales de riego			9	No sabe					
3	Perdida de areas de cultivo									
34	En cuanto al uso de algunos plaguicidas o pesticidas quimicos en los cultivos (SONDEAR)									
a)	¿Cuanto cree que afectan la salud? (MOSTRAR TARJETA 3)									
1	Afecta Mucho	2	Afecta	3	Afecta Poco	4	No Afecta	9	NS	
b)	¿Cuanto cree que contaminan los suelos? (MOSTRAR TARJETA 5)									
1	Contamina mucho	2	Contamina	3	Contamina Poco	4	No Contamina	9	NS	
35	¿Ha escuchado sobre los problemas de salinizacion de los suelos agricolas de la costa del pais? (SONDEAR SI EL INFORMANTE DESCONOCE EL TEMA MARCAR 9)									
1	Si estov seguro		2	Si creo		3	No		9	No recuerda

B UTILIZACION

36	¿Cree ud que es mas importante mantener los terrenos fertiles para la agricultura o utilizarlos para viviendas y que crezcan las ciudades?					
1	Mas importante la agricultura			3	Depende	
2	Mas importante las viviendas			9	No sabe	
37	De los siguientes problemas que afectan al suelo ¿Cual cree ud que es mas urgente de resolver? (MOSTRAR TARJETA 6)					
1	Perdida de las capas de suelo con nutrientes erosion			4	Urbanizacion de zonas agricolas	
2	Salinizacion			9	No sabe	
3	Contaminacion por plaguicidas y pesticidas					

IV AIRE

41	¿Que tanto cree ud que las siguientes actividades contaminan el aire en nuestro pais? (MOSTRAR TARJETA 5)					
		Contamina mucho	Contamina	Contamina poco	No Contamina	NS
a	Industrias	1	2	3	4	9
b	Fundiciones / Retinerias	1	2	3	4	9
c	Quema de bosques	1	2	3	4	9
d	Quema de pastos	1	2	3	4	9
e	Quema de basura	1	2	3	4	9
f	Combustion de los autos	1	2	3	4	9

g	Los ruidos	1	2	3	4	9			
4 2 ¿Que tanto cree que la contaminación del aire afecta ?									
(MOSTRAR TARJETA 3) (SONDEAR)		Afecta mucho	Afecta	Afecta poco	No Afecta	NS			
a	A la salud	1	2	3	4	9			
b	A las plantas y animales	1	2	3	4	9			
4 3 ¿Que tanto cree ud que las personas que estan expuestas a fuertes ruidos, se ven afectadas por problemas del oido y de los nervios? (SONDEAR)									
1	Muy afectadas	2	Afectadas	3	Poco afectadas	4	Nada afectadas	9	NS
4 4 De los siguientes problemas que afectan al aire ¿Cual cree ud que es mas urgente de resolver? (MOSTRAR TARJETA 7)									
1	Contaminacion por humos de las industrias			4	Contaminacion por ruidos				
2	Contaminacion por quema de bosques y/o pastos			9	No sabe				
3	Contaminacion por humos de los autos								

V FLORA Y FAUNA

5 1 ¿Cree ud que el aprovechamiento de se hace adecuadamente o se esta poniendo en peligro el recurso?									
		Adecua damente	Inadecua damente	NS					
a	Los arboles para madera		1	2	9				
b	Los pastos naturales		1	2	9				
c	Las plantas medicinales y decorativas		1	2	9				
d	Los peces		1	2	9				
e	Los animales silvestres		1	2	9				
5 2 ¿Que tan perjudicial cree que es la tala o quema de bosques para la supervivencia del recurso?									
1	Muy perjudicial	2	Perjudicial	3	Poco perjudicial	4	Nada perjudicial	9	NS
5 3 De los siguientes problemas que afectan a las plantas ¿cual cree que es mas urgente de resolver? (MOSTRAR TARJETA 8)									
1	Extracc on excesiva de plantas para ser utilizadas (productos)								
2	Deforestacion eliminacion de bosques								
9	No sabe								
5 4 Y de los problemas que afectan a los animales, ¿cual cree que es mas urgente de resolver? (MOSTRAR TARJETA 9)									
1	Caza excesiva de animales								
2	Comercio ilegal de animales vivos								
3	Pesca excesiva								
9	No sabe								

VI AREAS PROTEGIDAS

6 1 ¿Sabia ud que en el Peru existen areas protegidas, es decir areas donde se conservan especies valiosas de plantas y animales, y el medio en que viven?								
1	Si		2	No		9	No sabe	
6 2 ¿Cree ud que en estas areas donde se conservan plantas y animales valiosos se debe permitir permitir con regulacion o prohibir alguna de las siguientes actividades ?								
(MOSTRAR TARJETA 10)		Permitir	Permitir con regulacion	Prohibir	NS			
a	Extraccion de plantas arboles		1	2	3	9		
b	Caza de animales pesca		1	2	3	9		
c	Agricultura		1	2	3	9		

d	Mineria	1	2	3	9
e	Extraccion de petroleo, gas, etc	1	2	3	9
r	Turismo	1	2	3	9

VII OPINION GENERAL

7.1 Ahora para terminar queremos tener su opinion general respecto a todos los problemas de medio ambiente que hemos tratado. ¿Cual cree que es el mas importante? ¿Y el segundo mas importante? ¿Y el tercero mas importante? (MOSTRAR TARJETA 11)											
1	Contaminacion y mal uso del agua	4	Mal uso de plantas y animales	a							
2	Contaminacion y mal uso del suelo	5	Falta de control en areas protegidas	b							
3	Contaminacion del aire	6	Limpieza publica (basura)	c							
7.2 ¿Conoce si se han tomado medidas para evitar o disminuir los siguientes problemas?											
(SI MARCA 2 o 9 PASAR AL SIGUIENTE ITEM)		Si	No	NS	7.3 ¿Cual es la principal medida que conoce? (PARA LOS QUE RESPONDIERON 1 EN PREG 7.2)			7.4 En su opinion esta medida fue			
					Efectiva	Efectiva pero insutic	Poco efectiva	No efectiva	NA	NS	
a	Contaminacion y mal uso del agua	1	2	9	1	2	3	4	8	9	
b	Contaminacion y mal uso del suelo	1	2	9	1	2	3	4	8	9	
c	Contaminacion del aire	1	2	9	1	2	3	4	8	9	
d	Mal uso de plantas y animales	1	2	9	1	2	3	4	8	9	
e	Falta de control en areas protegidas	1	2	9	1	2	3	4	8	9	
r	Limpieza publica (basura)	1	2	9	1	2	3	4	8	9	
7.5 ¿Que medidas sugiere para evitar los problemas de contaminacion y mal uso de los recursos naturales?											
7.6 En su opinion, de las siguientes opciones, ¿cuales considera practicas de prevencion de la contaminacion?											
		Si	No	NS							
a	Poner la basura en rellenos sanitarios es decir lugares donde se entierra la basura de forma ordenada	1	2	9							
b	Disminuir el uso de sustancias peligrosas y combustibles en las industrias	1	2	9							
c	Tratamiento de los relaves mineros antes de echarlos al rio	1	2	9							
d	Disminuir la generacion de contaminantes durante la produccion	1	2	9							
7.7 Y de las siguientes medidas, ¿cuales evitan el mal uso de los recursos naturales?											
		Si	No	NS							
a	El uso de andenes para cultivos agricolas en terrenos muy empinados	1	2	9							
b	La construccion de carreteras que hagan mas facil llegar a los bosques de la amazonia	1	-	9							
c	Uso de areas de bosques para la agricultura	1	2	9							
d	Mantener la vegetacion natural en la parte alta (inicio) de los rios	1	2	9							

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7 8 En su opinion ¿quien cree ud que debe actuar para evitar y disminuir estos problemas de medio ambiente?							
1	Gob central	3	Los contaminadores	5	Otros		
2	Autoridades locales	4	La comunidad	9	No sabe		
7 9 ¿Ha escuchado hablar sobre el Consejo Nacional del Ambiente (CONAM)?							
1	Si	2	No	3	No recuerda		
7 10 ¿Sabe si existen leyes o dispositivos legales para disminuir los problemas de _____ ?							
			Si estoy seguro	Si creo	No existe	NS	
a	Contaminacion de aguas		1	2	3	9	
b	Contaminacion de suelos		1	2	3	9	
c	Contaminacion del aire		1	2	3	9	
d	Mal uso de plantas y animales		1	2	3	9	
e	Falta de control en areas protegidas		1	2	3	9	
7 11 ¿Por que medio de comunicacion se ha informado mas de los problemas del medio ambiente?							
1	Television	3	Periodico	5	Ninguno		
2	Radio	4	A traves de terceros	9	No sabe		
7 12 ¿Cuales de las siguientes acciones ha realizado alguna vez? y ¿cuales estaria dispuesto a realizar con mas frecuencia o a realizar si no lo ha hecho antes?							
[Q 82]				Realizo		Realizaria	
(SI MARCA 8 (NA) EN REALIZO PASAR AL SIGUIENTE ITEM)				Si	No	NA	
a	Separar algunas basuras de la casa (papeles vidrios plasticos) para que sean usados en reciclaje es decir para fabricar nuevos productos			1	2		1 2
b	Hervir o desinfectar el agua para beber			1	2		1 2
c	Ahorrar energia (apagar focos que no use usar menos horas la therma)			1	2	8	1 2
d	Usar el tipo de gasolina que contamina menos el aire aunque cueste un poco mas			1	2	8	1 2
e	Comprar productos ecologicos es decir de material reciclado productos agricolas cultivados de forma natural aunque cuesten un poco mas			1	2		1 2
f	Participar organizadamente en la limpieza de parques y playas			1	2	8	1 2
g	Denunciar alguna accion que dañe el medio ambiente			1	2		1 2
h	Ser miembro de algun grupo protector del medio ambiente			1	2		1 2
i	Dar apoyo económico a una asociacion que proteja el medio ambiente			1	2		1 2
j	Participar en actividades que mejoren el medio ambiente			1	2		1 2
k	Evitar arrojar papeles u otras basuras a la calle (campo)			1	2		1 2
l	Evitar el desperdicio del agua			1	2		1 2
m	Evitar ir a playas contaminadas			1	2	8	1 2
n	Evitar hacer mucho ruido			1	2		1 2

VIII DATOS COMPLEMENTARIOS

A DATOS DEMOGRAFICOS

8 1	Edad																			
8 2	Sexo	1	Hombre	2	Mujer															
8 3	Ultimo año y nivel de instruccion del informante																			
	Primaria	0	1	2	3	4	5	6												
	Secundaria		7	8	9	10	11													
	Superior		12	13	14	15	16	17	18	19	20									
8 4	Ocupacion principal del informante																			
8 5	Ocupacion principal del Jefe del Hogar																			

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8 6	¿Cuántas personas residen en esta vivienda?					
8 7	Nivel de ingresos mensual (por rangos)					
	(MOSTRAR TARJETA 12)		Personal	Familiar		
	Mas de 5000 soles		1	1		
	De 2001 a 5000 soles		2	2		
	De 1001 a 2000 soles		3	3		
	De 501 a 1000 soles		4	4		
	Menos de 500 soles		5	5		
	No aplicable		8	8		
	No sabe No opina		9	9		

B CARACTERISTICAS DE LA VIVIENDA

8 8	¿Cuántas habitaciones tiene esta vivienda? (Sin contar cocina baño ni pasadizos)					

8 9	¿Como se abastece de agua este hogar?					
1	Red publica dentro de vivienda		5	Rio acequia manantial		
2	Red publica fuera de la vivienda (dentro del edificio)		6	Camion tanque aguatero		
3	Pilon		7	Otro		
4	Pozo					

8 10	¿Tiene servicio higienico conectado a ?					
1	La red publica dentro de la vivienda		4	Pozo ciego o negro		
2	La red publica fuera de la vivienda		5	Sobre acequia o canal		
3	Pozo septico		6	No tiene servicio higienico		

8 11	¿Que combustible usan en su hogar para cocinar?						
1	Electricidad		4	Carbon		7	No cocinan
2	Gas		5	Lena			
3	Kerosene		6	Otro			

8 12	¿Este hogar cuenta con ?						
		Si	No			Si	No
a	Refrigeradora		1	2	f	Lavadora	
b	Equipo de sonido		1	2	g	Horno Microndas	
c	TV		1	2	h	Computadora personal	
d	Automovil		1	2	i	Telefono	
e	Motocicleta o mototaxi		1	2			

C DATOS DEL ENCUESTADO Y DEL ENCUESTADOR

Direccion del encuestado		
Nombre de la encuestadora		
Fecha de la encuesta		
Observaciones		

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ANNEX IV-2 METHODOLOGY FOR THE CONSTRUCTION OF SO4 SURVEY BASED INDICATORS

<i>PREGUNTAS QUE INTEGRAN EL INDICE DE CONOCIMIENTO DE LOS PROBLEMAS AMBIENTALES</i>										
<i>Pregunta</i>	<i>Puntaje</i>									
	<i>Puntaje Maximo</i>		<i>Otros Puntajes</i>							
Conocimiento general	150	Respuesta	Pt	Rptas	Pt	Rptas	Pt	Respuestas	Pt	Rptas
1 2	6	(01 02)	4	(20 23)	2	(40 44)	2	(60 75)	0	(99)
1 3	6	(01 04)	4	(20 24)	2	(40 43)	2	(60 69)	0	(99)
1 6a	6	(1)	4	(2)	2	(3)	2	(4)	0	(9)
1 6b	6	(1)	4	(2)	2	(3)	2	(4)	0	(9)
1 6c	6	(1)	4	(2)	2	(3)	2	(4)	0	(9)
1 6d	6	(1)	4	(2)	2	(3)	2	(4)	0	(9)
1 6e	6	(1)	4	(2)	2	(3)	2	(4)	0	(9)
1 6f	6	(1)	4	(2)	2	(3)	2	(4)	0	(9)
1 6g	6	(1)	4	(2)	2	(3)	2	(4)	0	(9)
1 6h	6	(1)	4	(2)	2	(3)	2	(4)	0	(9)
1 6i	6	(1)	4	(2)	2	(3)	2	(4)	0	(9)
1 7a	6	(1)	4	(2)	2	(3)	2	(4)	0	(9)
1 7b	6	(1)	4	(2)	2	(3)	2	(4)	0	(9)
1 7c	6	(1)	4	(2)	2	(3)	2	(4)	0	(9)
1 7d	6	(1)	4	(2)	2	(3)	2	(4)	0	(9)
1 7e	6	(1)	4	(2)	2	(3)	2	(4)	0	(9)
1 7f	6	(1)	4	(2)	2	(3)	2	(4)	0	(9)
7 6a	6	(2)					2	(1)	0	(9)
7 6b	6	(1)					2	(2)	0	(9)
7 6c	6	(2)					2	(1)	0	(9)
7 6d	6	(1)					2	(2)	0	(9)
7 7a	6	(1)					2	(2)	0	(9)
7 7b	6	(2)					2	(1)	0	(9)
7 7c	6	(2)					2	(1)	0	(9)
7 7d	6	(1)					2	(2)	0	(9)
Agua	72									
2 1a	6	(1)	4	(2)	2	(3)	2	(4)	0	(9)
2 1b	6	(1)	4	(2)	2	(3)	2	(4)	0	(9)
2 1c	6	(1)	4	(2)	2	(3)	2	(4)	0	(9)
2 1d	6	(1)	4	(2)	2	(3)	2	(4)	0	(9)
2 2a	6	(1 7 y del 10 14)					2	(55)	0	(99)
2 2b	6	(1 7 y del 10 14)					2	(55)	0	(99)
2 2c	6	(1 7 y del 10 14)					2	(55)	0	(99)
2 3a	6	(1)	4	(2)	2	(3)	2	(4)	0	(9)
2 3b	6	(1)	4	(2)	2	(3)	2	(4)	0	(9)
2 3c	6	(1)	4	(2)	2	(3)	2	(4)	0	(9)

PREGUNTAS QUE INTEGRAN EL INDICE DE CONOCIMIENTO DE LOS PROBLEMAS AMBIENTALES										
<i>Pregunta</i>	<i>Puntaje</i>									
	<i>Puntaje Maximo</i>		<i>Otros Puntajes</i>							
2 3d	6	(1)	4	(2)	2	(3)	2	(4)	0	(9)
2 5	6	(1)	4	(2)	2	(3)	2	(4)	0	(9)
Suelo	40									
3 1	6	(1)	4	(2)	2	(3)	2	(4)	0	(9)
3 2	6	(1 2 3 4 y 10 13)					2	(5 6 9)	0	(99)
3 3	6	(1 2 3 y 10 12)					2	(5 6 4)	0	(99)
3 4a	6	(1)	4	(2)	2	(3)	2	(4)	0	(9)
3 4b	6	(1)	4	(2)	2	(3)	2	(4)	0	(9)
3 5			4	(1 2)					0	(3 9)
3 6	6	(3)	4	(1)			2	(2)	0	(9)
Aire	54									
4 1a	6	(1)	4	(2)	2	(3)	2	(4)	0	(9)
4 1b	6	(1)	4	(2)	2	(3)	2	(4)	0	(9)
4 1c	6	(1)	4	(2)	2	(3)	2	(4)	0	(9)
4 1d	6	(1)	4	(2)	2	(3)	2	(4)	0	(9)
4 1e	6	(1)	4	(2)	2	(3)	2	(4)	0	(9)
4 1f	6	(1)	4	(2)	2	(3)	2	(4)	0	(9)
4 1g	6	(1)	4	(2)	2	(3)	2	(4)	0	(9)
4 2a	6	(1)	4	(2)	2	(3)	2	(4)	0	(9)
4 2b	6	(1)	4	(2)	2	(3)	2	(4)	0	(9)
Flora y fauna	36									
5 1a	6	(2)					2	(1)	0	(9)
5 1b	6	(2)					2	(1)	0	(9)
5 1c	6	(2)					-2	(1)	0	(9)
5 1d	6	(2)					2	(1)	0	(9)
5 1e	6	(2)					2	(1)	0	(9)
5 2	6	(1)	4	(2)	2	(3)	2	(4)	0	(9)
Areas protegidas	40									
6 1			4	(1)					0	(2 9)
6 2a	6	(2)	4	(3)			2	(1)	0	(9)
6 2b	6	(2)	4	(3)			2	(1)	0	(9)
6 2c	6	(2)	4	(3)			2	(1)	0	(9)
6 2d	6	(2)	4	(3)			2	(1)	0	(9)
6 2e	6	(2)	4	(3)			2	(1)	0	(9)
6 2f	6	(2)	4	(3)			2	(1)	0	(9)

PREGUNTAS QUE INTEGRAN EL INDICE DE PERCEPCION DE MEDIDAS											
Pregunta	Puntaje										
	Puntaje Maximo			Otros Puntajes							
Medidas tomadas	90	Respuesta	Pt	Rptas	Pt	Rptas	Pt	Respuestas	Pt	Rptas	
7 2a			4	(1)					0	(2 9)	
7 2b			4	(1)					0	(2 9)	
7 2c			4	(1)					0	(2 9)	
7 2d			4	(1)					0	(2 9)	
7 2e			4	(1)					0	(2 9)	
7 2f			4	(1)					0	(2 9)	
7 3a	6	(01 11) o [90 91 93 97 y 99] Si 7 4 (3) o (4)					2	[90 91 93 97 y 99] Si 7 4 (1) o (2)	0	(88)	
7 3b	6	(15 21) o [90 91 93 97 y 99] Si 7 4 (3) o (4)					2	[90 91 93 97 y 99] Si 7 4 (1) o (2)	0	(88)	
7 3c	6	(30 37 y 39-44) o [90 91 93 97 y 99] Si 7 4 (3) o (4)					2	[90 91 93 97 y 99] Si 7 4 (1) o (2)	0	(88)	
7 3d	6	(45 57 y 59) o [90 91 93 97 y 99] Si 7 4 (3) o (4)					2	[90 91 93 97 y 99] Si 7 4 (1) o (2)	0	(88)	
7 3e	6	(60 - 65) o [90 91 93 97 y 99] Si 7 4 (3) o (4)					2	[90 91 93 97 y 99] Si 7 4 (1) o (2)	0	(88)	
7 3f	6	(75 87 y 89) o [90 91 93 97 y 99] Si 7 4 (3) o (4)					2	[90 91 93 97 y 99] Si 7 4 (1) o (2)	0	(88)	
7 10a	6	(1)				2	(2)	2	(3)	0	(9)
7 10b	6	(3)						2	(1 2)	0	(9)
7 10c	6	(1)				2	(2)	2	(3)	0	(9)
7 10d	6	(1)				2	(2)	2	(3)	0	(9)
7 10e	6	(1)				2	(2)	2	(3)	0	(9)

PREGUNTAS QUE INTEGRAN EL INDICE DE PERCEPCION DE MEDIDAS EFECTIVAS										
Pregunta	Puntaje									
	Puntaje Maximo			Otros Puntajes						
Medidas tomadas	36	Respuesta	Pt	Rptas	Pt	Rptas	Pt	Respuestas	Pt	Rptas
7 4a	6	(1)	4	(2)	2	(3)	2	(1) o (2) y en 7 3 [90 91 93 97 y 99]	0	(4 8 o 9)
7 4b	6	(1)	4	(2)	2	(3)	2	(1) o (2) y en 7 3 [90 91 93-97 y 99]	0	(4 8 o 9)
7 4c	6	(1)	4	(2)	2	(3)	2	(1) o (2) y en 7 3 [90 91 93 97 y 99]	0	(4 8 o 9)
7 4d	6	(1)	4	(2)	2	(3)	2	(1) o (2) y en 7 3 [90 91 93 97 y 99]	0	(4 8 o 9)
7 4e	6	(1)	4	(2)	2	(3)	2	(1) o (2) y en 7 3 [90 91 93 97 y 99]	0	(4 8 o 9)
7 4f	6	(1)	4	(2)	2	(3)	2	(1) o (2) y en 7 3 [90 91 93 97 y 99]	0	(4 8 o 9)

V SPECIAL OBJECTIVE REDUCED ILLICIT COCA PRODUCTION IN TARGET AREAS IN PERU

A Overview of the Results Framework

Peru produces over half the world's coca leaf, supplying the raw material for 80 percent of the cocaine consumed in the U S USAID/Peru's special objective to reduce illicit coca production addresses a major U S foreign and domestic policy goal and has broad-based international and Peruvian support

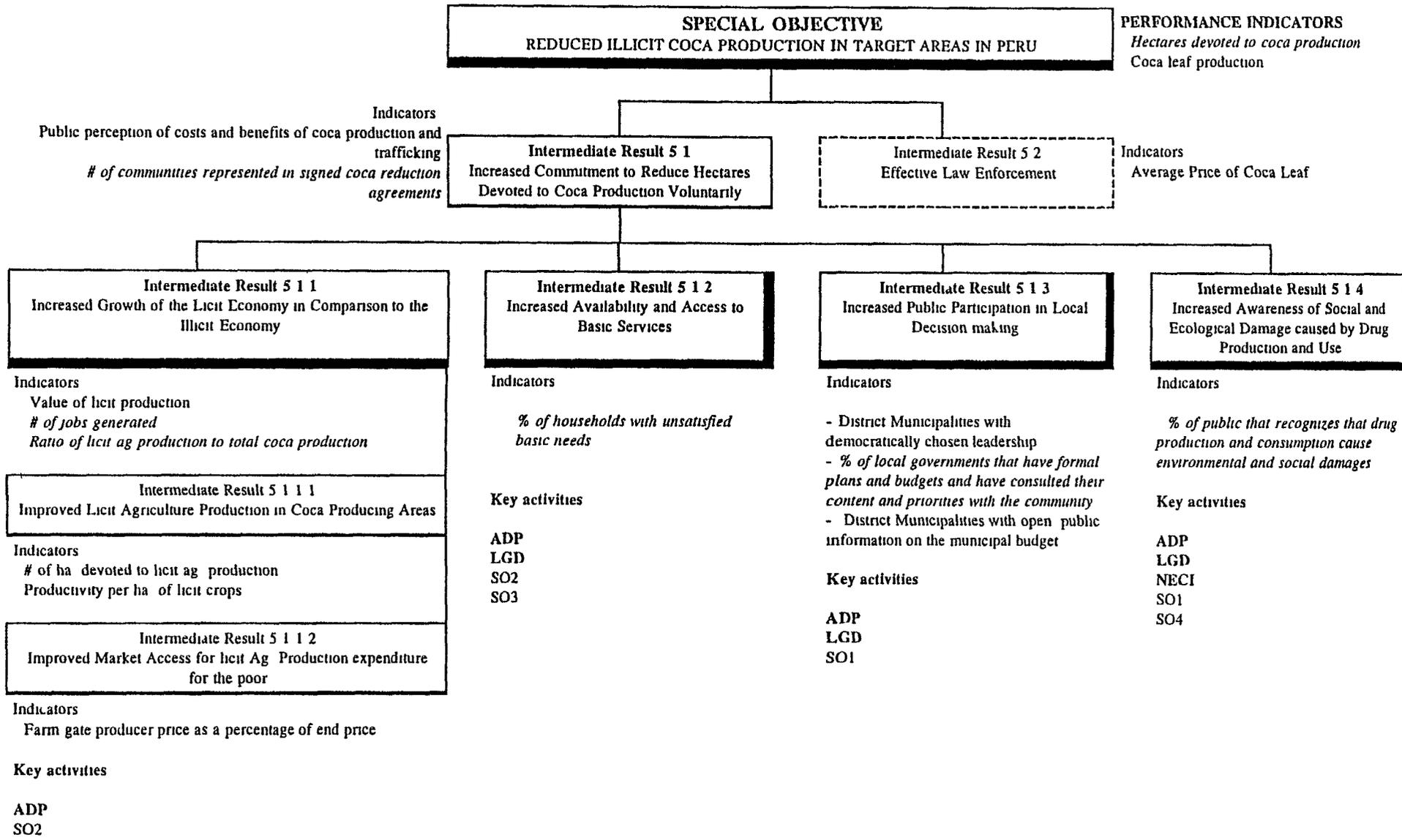
This Special Objective (SpO) is a specialized program with broad-based objectives, which includes all sectors involved in sustainable development The Alternative Development Program is one of two major components of the U S counternarcotics strategy to achieve the SpO The other component is interdiction to keep coca prices down to a level that coca production is no longer an attractive alternative to coca farmers Without effective interdiction activities, alternative development activities, by themselves, cannot achieve the stated objective

The Alternative Development Program seeks to increase the commitment to reduce illicit coca production voluntarily This change in behavior will depend on a combination of factors that is the basis of the results framework 1) Increase in the growth of the licit economy in comparison to the illicit economy, 2) Increase availability and access to basic services, 3) Increase public participation in local decision-making, and 4) Increase awareness of social and ecological damage caused by drug production and use

The achievement of the above mentioned results engenders a participatory methodology and includes a broad range of socioeconomic initiatives to alleviate poverty, generate licit employment alternatives, and improve the well-being of people in coca-producing areas Its results focus on activities to strengthen local governments, meet immediate subsistence needs, provide increased income and employment opportunities, improve infrastructure, protect natural resources and increase awareness of the harmful effects of coca cultivation and the benefits of development Key USAID/Peru activities contributing to the achievement of this SpO are the Alternative Development (ADP), the Local Government Development (LGD), the Narcotics Awareness and Community Initiatives (NECI) and now Micro and Small Business Producers (MSP) Activities under the other four USAID/Peru strategic objectives (SO1, SO2, SO3 and SO4) also contribute to the achievement of the intended results

Because of the political nature of this objective, its success or failure will depend upon the continued support of both the Peruvian and U S governments and other donors to reduce coca production to minimally tolerable levels

RESULTS FRAMEWORK FOR THE SpO



Note Indicators in italics are to be reported in the R4

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**PERFORMANCE MONITORING PLAN FOR THE SPECIAL OBJECTIVE-
Reduced Illicit Coca Production In Target Areas in Peru**

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS & REPORTING	
				SCHEDULE/FREQUENCY	RESPONSIBLE TEAM/COSTS	SCHEDULE BY REPORT	RESPONSIBLE TEAM/OFFICE
SPECIAL OBJECTIVE REDUCED ILLICIT COCA PRODUCTION IN TARGET AREAS IN PERU							
1 Hectares devoted to coca production in Peru (Disaggregated by valleys) R4 reported	Definition Hectares cultivated (not abandoned) Includes illicit and licit production Unit number hectares	NAS/USAID/UN funded aerial photos and satellite images CADA/CORAH verification USAID/NAS analysis	Computer analysis of photo imagery by satellite or plane by USAID/NAS/ UN as part of annual certification exercise of the Embassy On ground verification by CADA/ CORAH	Annual in January	SO 5 NAS	R4	SO 5 & PDP
2 Coca leaf production in Peru (Disaggregated by valleys) R4 reported	Definition Productivity per Ha times number of Has cultivated times number harvests Includes illicit and licit production Unit Metric tons	INADE/ADP MIS CORAH/NAS	Field survey of average yields and # harvests per geographic area times # Has from above computer analysis	Annual in January	SO 5 NAS	R4	SO5 & PDP
COMMENTS/NOTES							
Intermediate Result 5 1 Increased Commitment to Reduce Hectares Devoted to Coca Production Voluntarily							
1 Public perception of costs and benefits of coca production and trafficking in population centers in AD Program target areas (Analyzed by socio economic variables) 1/	Definition Point spread between absolute values of 2 points on the same scale one for the benefits on a positive side and another for the costs on a negative side (zero midpoint) Point spread is benefits less costs (in absolute numbers) Unit +or point spread	INADE/ADP Survey	Survey by INADE/ADP in population centers in AD Program target areas of adults 18 years and older	Biannual in June	SO 5 Awareness RP Estimated cost \$50 000	R4	SO 5 & PDP
2 Number of communities represented in signed reduction agreements in AD Program target areas R4 reported	Definition Cumulative number of communities Reduction agreements are signed by local government authorities with their communities (coordinated by INADE) Unit Number communities (proxy)	INADE/ADP MIS reduction agreement records	Sum up the agreements in a given year	Semi annual	SO 5 Communications RP	R4	SO 5 & PDP

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PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS & REPORTING	
				SCHEDULE/FREQUENCY	RESPONSIBLE TEAM/COSTS	SCHEDULE BY REPORT	RESPONSIBLE TEAM/OFFICE
<p>COMMENTS/NOTES ALTERNATIVE DEVELOPMENT PROGRAM (ADP) is an integrated program of service delivery interventions designed to induce a permanent behavioral change in people incrementing growth of the licit economy in comparison to the illicit coca based economy and improving the quality of life for former coca farmer families and communities by meeting their basic needs and increasing their participation in local decision making</p> <p>1/ Socio economic variables include gender age education urban/rural</p> <p>ADP zones include 1) Rio Apurimac Ene 2)Huallaga Central Alto and Bajo Mayo 3) Alto Huallaga 4) Aguaytia 5) Pichis Pachitea Perene Tambo 6) Bajo Huallaga Yurimaguas 7) La Convencion Lares 8) Tambopata Inambari 9) Marañon</p> <p>ADP target areas (as per 1997) include the valleys of Rio Apurimac in zone 1 Ponaza Biavo Sisa in Zone 2 Tocache Uchiza in zone 3 Pichis Palcazu Pachitea in Zone 4 and zone 5 Aguaytia</p>							
Intermediate Result 5 1 1 Increased Growth of the Licit Economy in Comparison to the Illicit Economy							
1 Value of licit production in Alternative Development Program target areas (Analyzed by main product)	<p>Definition Volume of licit products leaving Alternative Development Program target areas on major routes to markets times farm gate prices plus dollar volume of local consumption of the same products</p> <p>Unit dollars(million)</p>	INADE/ADP MIS	Monthly surveys of traffic on major market routes from AD Program target areas and annual surveys of local consumption within the same areas	Semi annual in March October	SO5 Economic growth RP	R4	SO & PDP
2 Number of jobs generated in AD Program areas R4 Reported	<p>Definition Cumulative number of full time jobs (or equivalent) generated in AD Program target areas</p> <p>Unit Number of full time equivalent jobs (by gender)</p>	INADE/ADP Management Information System (MIS) ADEX MIS	Estimated from expansion of legal agriculture activities and non farm activities	February	SO5 Economic growth RP		
3 Ratio of licit agriculture production to coca production in AD Program target areas	<p>Definition Total value of licit agricultural production in AD Program target areas divided by the calculation of total value of production of coca leaf</p> <p>Unit Percentage</p>	INADE/ADP MIS ADEX MIS	Value will be estimated monthly applying the average monthly prices (MAG) of the selected products to the volume reported by INADE ADP MIS ADEX	Semi annual	SO5 Economic Growth RP	R4	SO5 & PDP
COMMENTS/NOTES A full time job is equivalent to 194 work days in agriculture sector							

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS & REPORTING	
				SCHEDULE/ FREQUENCY	RESPONSIBLE TEAM/COSTS	SCHEDULE BY REPORT	RESPONSIBLE TEAM/OFFICE
Intermediate Result 5 1 1 1 Improved licit agriculture production in coca producing areas							
1 Number of hectares devoted to licit agricultural production in AD Program areas	<p>Definition Hectares cultivated in a geographic area defined by the AD Program</p> <p>Unit Number hectares</p>	<p>NAS/USAID/UN funded aerial photos and satellite images</p> <p>INADE/ADP MIS WINROCK ADEX</p>	<p>Computer analysis of photo imagery by satellite or plane by USAID/NAS/ UN as part of annual certification exercise of the Embassy</p> <p>On ground verification by INADE/ADP MIS WINROCK ADEX</p>	Annual in April	SO 5 Economic Growth RP	R4	SO 5& PDP
2 Productivity per hectare of licit agricultural production in AD Program areas (Analyzed by product and valley)	<p>Def Average change in yields per Ha of seven major products in areas selected by ADP (Rice yellow corn cacao coffee banana papaya cassava)</p> <p>Unit Percentage</p>	<p>INADE/ADP MIS WINROCK ADEX</p>	Winrock ADEX annual field tests of productivity of random sample of producers by product	Annual in April	SO 5	R4	SO 5& PDP
COMMENTS/NOTES							
Intermediate Result 5 1 1 2 Improved market access for licit agricultural production							
1 Farm gate producer price as a percentage of end price (Disaggregated by product)	<p>Definition Farm gate producer price is defined as the price paid to small farmers for their products End price is defined as the domestic wholesale price</p> <p>Selected products are Rice yellow corn cacao coffee banana papaya cassava in a geographic area defined by the AD Program</p> <p>Unit Percentage</p>	<p>MSP/INADE/ WINROCK ADEX</p>	Quarterly surveys of farmgate prices by MSP/Winrock	Semi annual in August and March	SO 5 Economic Growth RP	R4	SO 5& PDP
COMMENTS/NOTES							

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS & REPORTING	
				SCHEDULE/ FREQUENCY	RESPONSIBLE TEAM/COSTS	SCHEDULE BY REPORT	RESPONSIBLE TEAM/OFFICE
Intermediate Result 5 1 2 Increased Availability and Access to Basic Services to the Target Population in AD Program areas							
1 Percent of households with unsatisfied basic needs in Alternative Development Program areas (Analyzed by male/female headship location) R4 reported	Definition A household is defined as having unsatisfied basic needs if it demonstrates at least one of the following characteristics <ul style="list-style-type: none"> - no sewage drainage or toilet system - more than three people per bedroom - temporary construction materials i e dirt floors straw mat walls etc - head of family with incomplete primary school and more than three dependents per income earner - children between the ages of 6 and 12 that do not attend school Unit percentage	Living Standards Surveys	Living Standard Surveys of a representative sample per each target area Sentinel community surveys undertaken by INADE or contracted PVO	Annual in October	SO 5 Basic Services RP Cost \$50 000	R4	SO 5 & PDP
COMMENTS/NOTES							
Intermediate Result 5 1 3 Increased Public Participation in Local Decision-making							
1 District Municipalities with democratically chosen leadership in the Alternative Development Program target areas	Definition Either elected by the public as a slate of candidates for an authority to select from or elected directly with authority concurrence Unit Number	INADE/ Municipalities	AD Program monitoring of Municipality elections	Annual in February	SO 5 Basic Services RP	R4	SO5 & PDP
2 District Municipalities with open public information on the municipal budget	Definition Open public information means published and distributed or posted in a public location Budget information means anticipated revenues operating plan and its global budget Unit Number	INADE/ Municipalities	AD Program monitoring of Municipality behavior	Annual in February	SO 5 Basic Services RP	R4	SO 5 & PDP

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS & REPORTING	
				SCHEDULE/ FREQUENCY	RESPONSIBLE TEAM/COSTS	SCHEDULE BY REPORT	RESPONSIBLE TEAM/OFFICE
<p>3 Percent of local governments that have formal plans and budgets and have consulted on the content and priorities of these plans and budgets with the community</p> <p>(Disaggregated by target areas)</p> <p>R4 reported</p>	<p>Definition A local government is defined as having formal plans and budgets in place if they have a program of activities with objectives and targets an implementation schedule the commitment of organizations responsible for implementation and the necessary human financial and material resources Consultation with the community is defined as the level of involvement of grassroots community organizations and citizens in preparing and prioritizing the municipal plans and budgets as determined by citizen s opinion (on a subjective scale ranging from A lot to Nothing) Consultation mechanisms include popular assemblies open council sessions fora/debates and coordination working group meetings</p> <p>Unit Percentage</p>	INADE ADP MIS Survey	AD Program Monitoring of Municipal records	Annual in February	SO 5 Basic Services RP	R4	SO 5 & PDP
COMMENTS/NOTES							
Intermediate Result 5 1 4 Increased Awareness of Social and Ecological Damage Caused by Drug Production and Use							
<p>1 Percentage of public that recognizes that drug production and consumption cause environmental and social damages</p> <p>R4 reported</p>	<p>Definition People surveyed that recognizes environmental and social damages caused by coca production drug trafficking and consumption Analyzed by socio economic and geographic variables</p> <p>Unit percentage</p>	CONTRADROGAS/ CEDRO survey	Knowledge sample survey designed by CONTRADROGAS/USAID and CEDRO on people living in AD Program zones over 18 years	Annual in July	SO 5 Awareness RP Cost \$30 000	R4	SO 5 & PDP
COMMENTS/NOTES							
Intermediate Result 5 2 Effective Law Enforcement and Interdiction							
<p>1 Average price of coca leaf</p>	<p>Definition Farm gate price of coca leaf averaged per month</p> <p>Unit \$ per arroba (1 arroba = 11 5 Kilograms)</p>	USAID/INADE/ADP MIS	Mid point average end of month prices reported through INADE s field offices averaged for the quarter by ADP MIS	Quarterly in April July October January	SO 5 MIS unit	R4	SO 5 & PDP
NOTES The targets for reduced price of coca leaf will be level at the estimated rate necessary to make legal alternatives competitive for farmer investment of resources							

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B Performance Monitoring Plan (PMP) for the SpO

The PMP for the SpO includes the indicators needed by activity managers and the SO team to manage for results. To facilitate the USAID/W review, a selected number of indicators will be reported annually through the R4 to measure achievement of the strategy. These indicators are shown in bold.

Special Objective Level: Reduced Illicit Coca Production in Target Areas in Peru

Performance Indicators

- **Hectares devoted to coca production in Peru**
- **Coca leaf production in Peru**

These indicators will demonstrate whether the development hypothesis is correct that alternative development in combination with successful interdiction/law enforcement can reduce economic dependence on illicit coca. Although USAID activities will be focused in target areas, the data available are at a national level, showing also the effects of interdiction. It is expected that in target areas, reduction rates will be higher than the national average.

Intermediate Result 5.1: Increased Commitment to Reduce Hectares Devoted to Coca Production Voluntarily

Indicators

- **Number of communities represented in signed reduction agreements in ADP target areas**
- **Public perception of costs and benefits of coca production and trafficking in population centers in ADP target areas**

The IR implies a change in attitudes. The first indicator is a proxy for commitment to reduce coca production. It is intended to measure the "promise" of reduction of the communities, which is based on expectations generated by information on the results of activities under IRs 5.1.1 - 5.1.4 below. They also provide more concrete targets for the level of licit production needed to compensate (at least in part) the reduction in the local economy implied by the agreements. They also help set expectations for the number of hectares that may indeed be reduced.

The second indicator is more directed to the change in attitudes towards coca cultivation. The commitment to reduce coca production will occur as increasing numbers of the local population believe that the benefits no longer outweigh the costs. The costs include social as well as economic, and whether the population perceives any real alternatives.

This result is framed within target areas, as are the supporting results described below.

Intermediate Result 5.1.1: Increased Growth of the Licit Economy in Comparison to the Illicit Economy

Indicators

- Value of licit production in ADP target areas
- Number of jobs generated in ADP target areas
- Ratio of illicit agriculture production to total coca production

The first indicator will capture the growth of the overall licit economy in the ADP target areas. It will be measured by the licit products transported out of the coca growing areas on roads to major markets as a proxy. That dollar volume will be compared to the volume of illicit coca leaf production in metric tons (from the SO level) to obtain the third indicator. This indicator will measure the strength of the licit economy. The second indicator, *number of jobs generated*, captures the effect of the employment alternatives to coca farming.

Two key lower level results have been identified to achieve this result: production and market access.

Intermediate Result 5.1.1.1 Improved licit agriculture production in coca producing areas

Indicators

- Number of hectares devoted to licit agricultural production in ADP areas
- Productivity per hectare of licit agricultural production in ADP areas

The number of hectares in licit production and productivity per hectare define "productive capacity." The indicators for this IR capture improvements in the key economic activity in coca growing areas. The licit agriculture production is referred to all licit crops. Productivity will be measured for selected crops but in randomly selected fields.

Intermediate Result 5.1.1.2 Improved market access for licit agriculture production

Indicator

- Farm gate producer price as a percentage of end price

This indicator will measure prices of major licit agricultural products in target coca growing areas. As market access increases, the farmers' percentage of the truckers' price will increase. Roads are a necessary input to achieve this result. International price fluctuations in commodities like coffee will affect the absolute amount the farmer receives, but not the percentage. A weighted average by wholesale volume encourages project implementers to focus on market access for high volume products.

Intermediate Result 5.1.2 Increased Availability and Access to Basic Services to the Target Population in ADP areas

Indicator

- Percent of households with unsatisfied basic needs in ADP target areas

This IR uses the same indicator and definition as used in SO 2. The indicator captures the availability and access of basic services such as sewerage and education. It reflects higher GOP investments in social infrastructure. This indicator will be revised to consider only the specific variables that could be influenced by USAID activities.

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Intermediate Result 5 1 3 Increased Public Participation in Local Decision-making

Indicators

- District Municipalities with democratically chosen leadership in the ADP target areas
- Percentage of local governments that have formal plans and budgets and have consulted on the content and priorities of these plans and budgets with the community
- District Municipalities with open, public information on the municipal budget

These indicators attempt to capture citizens' participation in their local governance. The community will be willing to support the legal system and legal activities if allowed to participate in decision making on who decides, what it is, and what it costs.

Intermediate Result 5 1 4 Increased Awareness of Social and Ecological Damage Caused by Drug Production and Use

Indicator

- Percentage of public that recognizes that drug production and consumption cause environmental and social damages

This indicator will track the extent and level of knowledge of people in target areas on the social and ecological costs of drug production and trafficking. This will in turn affect the commitment (IR 5 1) to reduce voluntarily coca production.

Intermediate Result 5 2 Effective law enforcement

Indicator

- Average price of coca leaf

This result is managed and reported on by NAS. USAID will track coca prices to monitor opportunities for interventions.

RESULTS TRACKING TABLE FOR SPECIAL OBJECTIVE

Reduced illicit coca production in target areas in Peru

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	BASELINE DATA		TARGETS				
			YEAR	VALUE	1997	1998	1999	2000	2001
SPECIAL OBJECTIVE REDUCED ILLICIT COCA PRODUCTION IN TARGET AREAS IN PERU									
1 Hectares devoted to coca production in Peru (Analyzed by valleys) R4 reported	Definition Hectares cultivated (not abandoned) Includes licit and illicit coca production Unit Number of hectares	NAS reports USAID/UN special studies	1995	115 000	92 700	90 200	79 700	68 300	60 000
2 Coca leaf production in Peru (Analyzed by valleys) R4 reported	Definition Productivity per hectare times number of hectares cultivated times number of harvests Includes licit and illicit coca production Unit Metric tons	NAS reports USAID/UN special studies	1995	183 600	171 495	166 870	147 445	126 355	111 000
COMMENTS/NOTES Assumptions a) Productivity 1.85 Metric tons per hectare (1997-2001) b) Investment US \$ 46.5 million (1995-1999) plus \$ 250 million in 1997-2006 ten year period or \$ 25 million per year starting on CY 1997									
Intermediate Result 5.1 Increased Commitment to Reduce Hectares Devoted to Coca Production Voluntarily									
1 Public perception of costs and benefits of coca production and trafficking in population centers in AD Program target areas	Definition Point spread between absolute values of 2 points on the same scale one for the benefits on a positive side and another for the costs on a negative side (zero midpoint) Point spread is benefits less costs (in absolute numbers) Analyzed by socio-economic variables and valleys Unit + or point spread	INADE/ADP Survey	1997	TBD					
2 Number of communities represented in signed coca reduction agreements in Alternative Development Program (ADP) target areas R4 reported	Definition Cumulative number of communities Reduction agreements are signed by local government authorities with their communities (coordinated by INADE the GOP counterpart) Indicator is a proxy measurement for the intermediate result Unit Number communities	INADE/ADP Management Information System (MIS)	1996	226	226	706	706	706	1006
COMMENTS/NOTES ALTERNATIVE DEVELOPMENT PROGRAM (ADP) is an integrated program of service delivery interventions designed to induce a permanent behavioral change in people incrementing growth of the licit economy in comparison to the illicit coca based economy and improving the quality of life for former coca farmer families and communities by meeting their basic needs and increasing their participation in local decision making ADP zones include 1) Rio Apurimac 2) Huallaga Central Alto and Bajo Mayo 3) Alto Huallaga 4) Aguaytia 5) Pichis Pachitea Perene Tambo 6) Bajo Huallaga Yurimaguas 7) La Convencion Lares 8) Tambopata Inambari 9) Marañon ADP target areas (as per 1997) include the valleys of Rio Apurimac in zone 1 Ponaza Biavo Sisa in Zone 2 Tocache Uchiza in zone 3 Pichis Palcazu Pachitea in Zone 5 and zone 4 Aguaytia									

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	BASELINE DATA		TARGETS				
			YEAR	VALUE	1997	1998	1999	2000	2001
Intermediate Result 5 1 1 Increased Growth of the Licit Economy in Comparison to the Illicit Economy									
1 Ratio of licit agriculture production to total coca production R4 Reported	Definition Total value of licit agricultural production in AD Program target areas divided by the calculation of total value of production of coca leaf Unit Percentage	ADP special surveys	1996	37.3	38.3	40.6	47.3	56.8	66.0
2 Number of jobs generated in AD Program areas R4 reported	Definition Cumulative number of full time jobs (or equivalent) generated in AD Program target areas 1/ Unit Number of new jobs (gender disaggregated)	INADE/ADP Management Information System (MIS)	1995	0	1 140	6 220	11 300	15 810	19 540
3 Value of licit production in Alternative Development Program target areas (Analyzed by valley and main product)	Definition Volume of licit products leaving Alternative Development Program target areas on major routes to markets times farm gate prices plus dollar volume of local consumption of the same products Unit dollars(million)	INADE/ADP MIS	1996	78.1	78.8	81.2	83.7	86.1	87.9
COMMENTS/NOTES 1/ Full time jobs equivalent to 194 work days in agriculture sector 2/ Targets to be adjusted in 1997									
Intermediate Result 5 1 1 1 Improved licit agriculture production in coca producing areas									
1 Number of hectares devoted to licit agricultural production in AD Program areas (Analyzed by valley and main product)	Definition Hectares cultivated in a geographic area defined by the AD Program Unit number of hectares	NAS/USAID/UN funded aerial photos and satellite images INADE/ADP MIS WINROCK USAID/NAS analysis	1996	112 000	113 000	116 000	120 000	123 000	126 000
2 Productivity per hectare of licit agricultural production in AD Program areas (Disaggregated by valley and main product)	Definition Average change in yields per.Ha of seven major products in areas selected by ADP (Rice yellow corn cacao coffee banana papaya cassava) Unit Percentage	INADE/ADP MIS WINROCK	TBD						

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	BASELINE DATA		TARGETS				
			YEAR	VALUE	1997	1998	1999	2000	2001
Intermediate Result 5 1 1 2 Improved market access for licit agricultural production									
1 Farm gate producer price as a percentage of end price (Disaggregated by product)	Definition Farm gate producer price is defined as the price paid to small farmers for their products End price is defined as the domestic wholesale price Selected products are Rice yellow corn cacao coffee banana papaya cassava in a geographic area defined by the AD Program Unit Percentage	MSP/INADE/Winrock	1996	64 0	64 0	65 4	66 9	68 4	69 4
COMMENTS/NOTES									
Intermediate Result 5 1 2 Increased Availability and Access to Basic Services to the Target Population in AD Program areas									
1 Percentage of households with unsatisfied basic needs in AD Program target areas (disaggregated by male/female headed household location) R4 reported	Definition A household is defined as having unsatisfied basic needs if it demonstrates at least one of the following characteristics no sewage drainage or toilet system more than three people per bedroom temporary construction materials i.e dirt floors straw mat walls etc head of family with incomplete primary school and more than three dependents per income earner children between the ages of 6 and 12 that do not attend school Unit Percentage	National Living Standards Surveys	1995	84	76	70	66	60	54
COMMENTS/NOTES									
Intermediate Result 5 1 3 Increased Public Participation in Local Decision-making									
1 District Municipalities with democratically chosen leadership in the Alternative Development Program target areas	Definition Either elected by the public as a slate of candidates for an authority to select from or elected directly with authority concurrence Unit Number	INADE/Municipalities	1996	40	60	73	108	150	200

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PERFORMANCL INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	BASELINE DATA		TARGETS				
			YEAR	VALUE	1997	1998	1999	2000	2001
2 Percentage of local governments that have formal plans and budgets and have consulted on the content and priorities of these plans and budgets with the community R4 reported	Definition A local government is defined as having formal plans and budgets in place if they have a program of activities with objectives and targets an implementation schedule the commitment of organizations responsible for implementation financial an material resources Consultation with the community is defined as the level of involvement of grassroots community organizations and citizens in preparing and prioritizing the municipal plans and budgets as determined by citizen s opinion (on a subjective scale ranging from A lot to Nothing) Consultation mechanisms include popular assemblies open council sessions fora/debates and coordination working group meetings Unit Percentage (Base is 600 municipalities in ADP zones)	Local Government MIS	1995	6 0	8 6	10 4	15 4	21 4	28 6
3 District Municipalities with open public information on the municipal budget	Definition Open public information means published and distributed or posted in a public location Budget information means anticipated revenues operating plan and its global budget Unit Number	INADE/ Municipalities	1996	44	60	73	108	150	200
COMMENTS/NOTES									
Intermediate Result 5 1 4 Increased Awareness of Social and Ecological Damage Caused by Drug Production and Use									
1 Percentage of public that recognizes that drug production and consumption cause environmental and social damages R4 reported	Definition People surveyed that recognizes environmental and social damages caused by coca production drug trafficking and consumption Unit percentage (disaggregated by socio economic and geographical variables)	CONTRADROGAS/ CEDRO surveys	1996	12 (*)	21	31	42	55	59
COMMENTS/NOTES (*) Estimated from a limited survey Will be updated in 1997									
INTERMEDIATE RESULT 5 2 Effective law enforcement									
1 Average price of coca leaf	Definition 1 arm gate price of coca leaf averaged per month Unit \$ per arroba (1 arroba = 11 5 Kilograms)	INADE/ADP MIS	1996	13 60	17 50	17 50	17 50	17 50	17 50
COMMENTS/NOTES The targets for reduced price of coca leaf will be level at the estimated rate necessary to make legal alternatives competitive for farmer investment of resources									

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November 14 1997

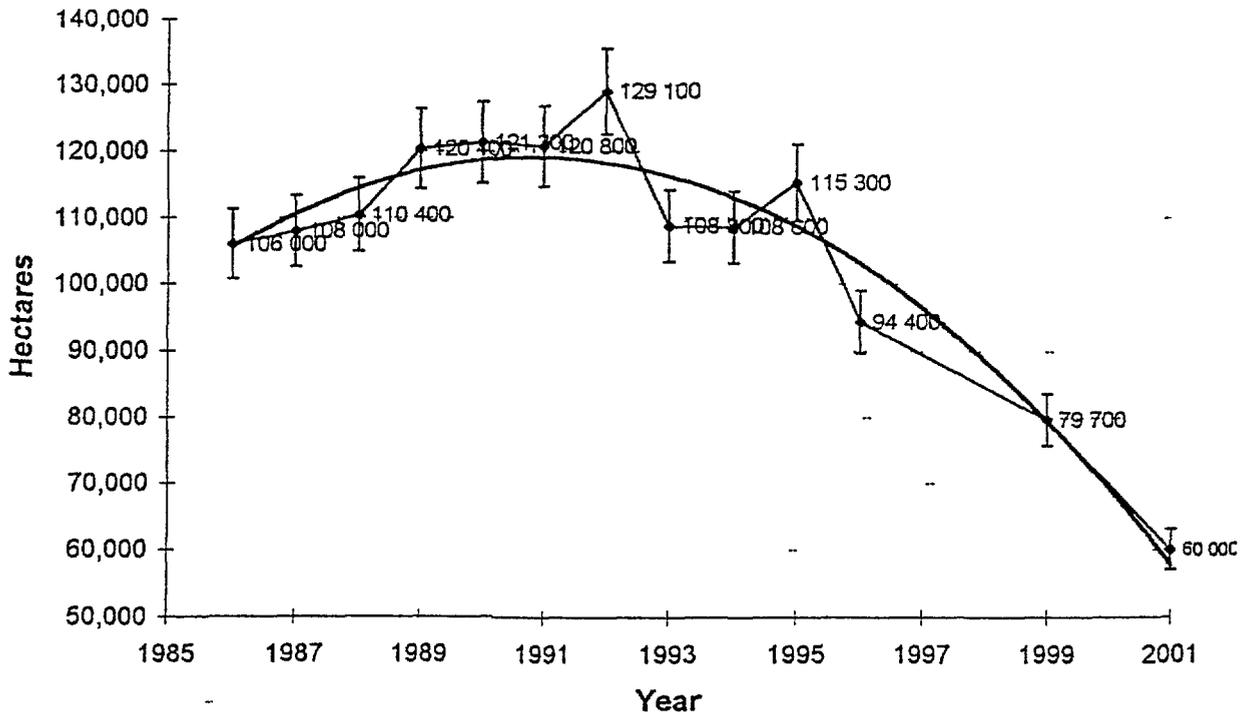
C Results Tracking Tables (RTT) for the SpO

The targets for this SPO were mostly estimated using historical information from USAID's experience in Alternative Development activities. In addition, the targets were established assuming required and timely funding levels. Targets will be revised annually according to actual funding levels and performance.

Strategic Objective Level Reduced Illicit Coca Production in Target Areas in Peru

Hectares devoted to coca production in Peru
Coca leaf production in Peru

Peru Total Coca Cultivation



In 1995, 115,000 hectares of coca were in cultivation. The ADP seeks to reduce the total illicit coca (around 82,000 ha)⁸ by the year 2008 at an investment of \$25 million per year. Projected hectares for coca cultivation were estimated given NAS historical data, ADP experience, the extent of coca in ADP target areas, expected investments and agricultural cycles, and the level of funding. NAS historical data on coca leaf production and number of hectares cultivated provided the data for the baseline and projected targets for production.

⁸Chart/totals reflect the total licit and illicit coca. The difference is legally permitted by GOP.

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IR 5 1 Increased Commitment to Reduce Hectares Devoted to Coca Production Voluntarily

Number of communities represented in signed reduction agreements in ADP target areas

During 1996, 226 communities signed voluntary coca reduction agreements. Targets were estimated considering previous ADP experience in working with communities, future social communication activities and expected funding levels.

Public perception of costs and benefits of coca production and trafficking in population centers in ADP target areas

Targets will be established in late 1997 after completion of perception studies.

IR 5 1 1 Increased Growth of the Licit Economy in Comparison to the Illicit Economy

Value of licit production in ADP target areas

Ratio of licit agriculture production to total coca production

Number of jobs generated in ADP areas

Targets for these indicators are based on the results projected in the lower level IRs below adjusted with historical data. The number of jobs generated (full-time equivalents) takes into account the increases in legal agriculture and the projected increases in off-farm activities, and other temporary jobs that will be generated due to public infrastructure construction.

IR 5 1 1 1 Improved licit agriculture production in coca producing areas

Number of hectares devoted to licit agriculture production

The baseline for the number of hectares for 1996 came from limited projections using the 1995 national agriculture census as a basis. The increases are based on the analysis of the availability of arable land, the type of products and expected provision of technical assistance for the areas.

Productivity per hectare of licit agricultural production

To be determined

IR 5 1 1 2 Improved Market Access for Licit Agriculture Production

Farm gate producer price as a percentage of end price

Historical data is the base for the projections, considering the estimated effect on prices of main products due to road improvements.

IR 5 1 2 Increased Availability and Access to Basic Services to the Target Population in ADP areas

Percentage of households with unsatisfied basic needs

Achievements for this IR will depend largely on GOP social investments in this area, so targets were estimated using national projections to reduce poverty. Targets will be adjusted once the household survey for ADP areas is completed.

IR 5 1 3 Increased Public Participation in Local Decision-making

District Municipalities with democratically chosen leadership in the ADP target areas
Percentage of local governments that have formal plans and budgets and have consulted on the content and priorities of these plans and budgets with the community
District Municipalities with open, public information on the municipal budget

Results obtained in the Local Government Development activity provided for information for the baseline and the basis to set the targets for these indicators. Historical data were adjusted by the expected funding levels for the projected years.

IR 5 1 4 Increased Awareness of Social and Ecological Damage Caused by Drug Production and Use

Percentage of public that recognizes that drug production and consumption cause environmental and social damages

Targets for this IR will be revised once the survey for the ADP areas is completed. The preliminary targets were based on a limited survey in one area, projected with the results obtained from CEDRO in narcotics awareness activities during the last 15 years.

IR 5 2 Effective law enforcement

Average price of coca leaf

USAID assumes a flat target coca leaf price that makes coca production no longer an attractive alternative to coca farmers.

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