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PROGRAM PERFORMANCE INFORMATION WORKSHOP

(February 20-21, 1991)

Workshop Report

VOLUME I

March 1991

Presented to:

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A. WORKSHOP BACKGROUND, PURPOSE AND PROCESS

1. Background

Under a new mandate to strengthen the role of evaluation in A.I.D., the Center for Development Information and Evaluation (PPC/CDIE) will provide the Administrator of A.I.D. and his senior management team with information they require to help monitor the performance of the Agency's activities worldwide. CDIE intends to develop a system that will provide comprehensive, credible, and timely data to inform Agency decision-making as well as to keep the Congress abreast of the progress of U.S. bilateral assistance. The desired system will provide information necessary to support comparative analysis of performance across countries as well as among various types of development programs. One of the steps in developing such a system was a workshop sponsored by PPC/CDIE February 20-21, 1991, in Rosslyn, Virginia, to which regional and central bureau participants were invited. Management Systems International provided professional and technical assistance in designing, organizing and facilitating the proceedings of the workshop.

2. Purpose

Since A.I.D.'s operations are decentralized, CDIE invited professionals familiar with the program information systems in each of the regional bureaus and their respective Missions, to elicit suggestions as to the most appropriate way to construct an Agency-wide program performance information system (a list of individuals in attendance is presented as Appendix I.) In particular, CDIE was interested in developing a system "from the bottom up", building on existing efforts and incorporating the capacity and needs of the field and each regional Bureau in system design. CDIE hoped to build on the program performance monitoring systems work already under way -- in a range of different forms -- in each of the regional bureaus.

3. Process

Day One

Prior to the workshop, each participant was provided with the following material:

1. A List of Participants (Appendix I)
2. A Workshop Agenda
3. A document entitled "Program Performance Monitoring & Evaluation: Terms and Definitions" by Nena Vreeland of CDIE (Annex 1)
4. A document entitled "Tracking Performance: A Review of Objectives and Indicators" by Hortense Dicker of MSI (Annex 2);

The workshop began with addresses to the group by John Eriksson (Associate Assistant Administrator, PPC/CDIE) and Nena Vreeland (PPC/CDIE/PPE) describing the importance of the workshop's task to the future of A.I.D.'s impact in development, and

earlier efforts to establish indicator tracking systems in A.I.D. Larry Cooley of MSI then compared the recent program performance approaches of various missions and regional Bureaus in an effort to develop a common base of knowledge for discussion of an Agency-wide program performance tracking system and database.

After lunch on the first day, the participants were divided into three working groups, each assigned an MSI facilitator. Each group was requested to use the available documentation, particularly Item 4 above, to suggest the framework and contents of an Agency-wide program performance monitoring system. This task is described more fully in Section B-1.

Day Two

The three working groups met to complete their analysis and prepare their presentations to the plenary workshop. Each group then presented the results of their discussions and described the process by which they had reached their conclusions. The presentations are summarized in Section B-2.

Following the presentations, Larry Cooley facilitated a plenary discussion of lessons learned from the working group experience and the presentations. At the end of the morning session, Nena Vreeland distributed a "Responsibility Charting Exercise" to the group for each individual's completion, and requested that each participant send her completed form after the workshop.

The lively discussion on the possibilities and limitations of an Agency-wide indicator system for monitoring program performance was continued after the lunch break. The session ended with closing remarks by John Blackton, John Eriksson, and Nena Vreeland focusing on next steps to be taken.

B. WORKSHOP OUTCOMES

1. The Working Group Task (Afternoon Session, Day One).

Each of the three working groups was asked to perform the following task as a group:

SMALL GROUP TASK

- 1) Based on the available documentation and the experience of group members, address the following issues:
 - a) Is there a set of objectives, program areas, topic areas and/or cross-cutting issues that could be monitored and reported upon on an Agency-wide basis? If so, make a list of the most important of these.
 - b) For the items on your list, which ones are more common and meaningful indicators that are being, or could be tracked routinely? What are those indicators?
 - c) List the areas or objectives of greatest importance for the Agency for which cost effective and comparable indicators do not exist. For which of these areas or objectives would it be feasible to have such indicators?
- 2) At about 3:15 p.m., send two individuals to each of the other two groups for \pm 15 minutes to solicit information on that group's tentative points of view regarding the above issues and to share your own group's views. Incorporate other groups' views, as appropriate, into your group's deliberations.
- 3) Record your responses to the above questions on flipcharts and choose a rapporteur to make a 10-15 minute presentation tomorrow morning.

2. The Findings of the Groups

Each of the three groups presented the results of their efforts to the workshop. This section summarizes those presentations (in the order in which they were presented) by describing the premises under which the group worked, the process by which the group worked, and the results presented by the group rapporteur to the Plenary workshop. Flipcharts used in the presentations have been reproduced and are included as Appendix II.

Group I

Premises

The group operated from the general premise that an Agency-wide information system would need to include regionally- and centrally-defined objectives. The group examined the extent to which "central" objectives were reflected in activities in the field, and then the extent to which the field was intending to collect indicator data on program performance toward these broadly-defined objectives.

Process

The group began by summarizing the Agency's and each Bureau's objectives (Flipcharts I-A to I-E). They then tried to determine the commonality of the objectives and areas of chief importance. Their goal was to determine which strategic objectives should be monitored to measure A.I.D. progress throughout the world. The group presented to the workshop its reasoning through a Venn diagram with circles representing each of the Bureau's set of objectives (Flipchart I-F.) In determining which strategic objectives should be measured, the group indicated that the emphasis should be on those areas represented by the intersection of those in circles (areas numbered 2 on the diagram).

The group developed a matrix (presented as Flipchart I-G) which was designed to suggest criteria to use in prioritizing which strategic objectives should be measured. Agency-wide relevant concerns were the frequency with which the objective was included in the various Bureaus' objectives, the amount of money A.I.D. invested in the objective world-wide, and the number of operations A.I.D. has undertaken under the objective.

For some of the objectives which emerged as important the group reviewed the indicators currently used by USAIDs, as presented in the material provided the group, and attempted to list relevant indicators.

Results

Among the group's major contributions to the results of the workshop are the following:

1. A useful approach to determining overarching A.I.D. objectives that should be measured, including:
 - noting important areas of overlap between various Bureaus' objectives;
 - prioritizing among those objectives by degree to which the objectives are shared by Bureaus and by the amount of resources and number of operations directed towards the objective; and
2. Useful suggestions for potential indicators to be used to measure progress towards achievement of the objectives selected.

Group II

Premises

Rather than beginning with an immediate effort to identify Bureau or Agency-wide objectives, Group II operated under the premise that a "bottom-up" information system that reflected country-specific objectives and performance measures would have to be able to respond to demands placed upon it from higher level interests, e.g, Congress, senior A.I.D. managers, etc. It also examined the notion that broader, A.I.D.-wide strategic objectives could emerge from a careful analysis of the strategic objectives adopted in the field.

Process

The group began by agreeing that specific information requirements existed apart from larger strategic concerns to which the Agency system would have to respond. Accordingly, they created a list of anticipated Congressional information requirements, many of which corresponded to specific budgetary earmarks (Flipchart II-A).

In turning to development of strategic objectives against which progress would be measured via indicators, the group attempted to assemble strategic objectives for selected areas of A.I.D. program focus. In examining the resulting lists, they realized that the level of the strategic objectives is significant. The group began to arrange the objectives in hierarchical order, as with a strategic objective tree (Flipchart II-D and II-E).

An attempt was made to develop criteria for deciding which of the potentially overwhelmingly number of objectives should be used as a basis for determining information needs. The group completed its work by exploring alternative sub-sets of reporting units. The group did not develop indicators for the system.

Results

Among the group's conclusions contributing to the results of the Workshop are the following:

1. In sorting among potential strategic objectives, planners must recognize the hierarchical relationship between potential objectives;
2. Another important sorting mechanism is to select those objectives which would be most important based upon the following criteria:
 - someone outside wants to know about achievement of the objective;
 - it is an objective in which we are interested in learning about our success or for which it is important to prove success;
 - understanding achievement of the objective will inform management decisions-- that is, it would:
 - a. affect policies;
 - b. influence budget decisions; and/or
 - c. help make decisions with respect to cost-effectiveness;
3. A.I.D. need not get data (nor report on achievement of objectives) from every mission with respect to every strategic objective. Specifically, the following options exist:
 - a. for some objectives, A.I.D. may actually want to report on achievement in all missions. In these cases, data could be collected on similar indicators in all missions;
 - b. for other objectives, A.I.D. may have important objectives with corresponding indicators which lend themselves to application across all countries but with respect to which A.I.D. only has significant activities in a few countries. For these, data could be collected in only those countries for which data is both collectable and mission presence is significant;
 - c. for still other cases where data constraints prohibit collection of directly comparable data to measure similar objectives, diverse indicators could be used to describe progress.

Group III

Premise

The group felt that A.I.D.'s worldwide activities can usefully be understood as being concentrated in certain "core program areas". They also considered reporting requirements with respect to earmarked funds to be an important need of the system. They felt that broadly stated strategic objectives could be developed based on the above-mentioned program areas and that indicators could then be developed based on those objectives.

Process

The group began by identifying twelve areas that encompass A.I.D.'s activities, such as education, health, and democratic initiatives (see Flipchart III-A for a complete list.) They then assembled a list of budgetary earmarks for which special reporting could be anticipated (see Flipchart III-B.) They also compared the goals of Bureaus to determine whether strategic objectives could meaningfully be derived from them. Based on the strategic objectives which emerged, the group used the MSI Dicker report (Item 4, above) to locate commonly used indicators that would report on accomplishments in each of the identified program areas.

Results

Group III developed the following conclusions -- not addressed in detail in the other groups -- that may be of use to CDIE in developing its information system:

1. Certain "core" program areas exist in A.I.D.'s activities world-wide;
2. Strategic objectives can be developed based on these "core" program areas;
3. Considerable comparability exists among indicators used to measure the kind of strategic objectives that emerge from the strategic objective identification process described in (1) and (2), above; and
4. Group III made considerable progress in this process, as summarized in Flipcharts III-F-III-L.

C. WRITTEN COMMENTS

During the discussion session following working group presentations on the second day of the workshop, participants were asked to make written comments on their issues and concerns with the proposed system. Their responses are included in Annex 7.

D. CONCLUSIONS

Group discussion led to a number of important conclusions to be taken from the workshop. Some of the most significant are listed below:

1. Establishing an A.I.D.-wide performance measurement system is a very high priority.
2. The workshop has helped make the task of constructing the system appear less daunting.
3. There is significant commonality among strategic objectives and indicators already in use in the field.
4. Selecting objectives to be tracked appears to be critical for development of the system.
5. Objectives to be measured should have the following characteristics:
 - a. the objective should measure something important to A.I.D. and its constituents as described above; and
 - b. CDIE will be able to overlay the data available on Agency priorities, Bureau objectives, and mission objectives to articulate key strategic objectives.
6. Once objectives have been selected, A.I.D. can proceed to develop indicators to measure progress towards measuring achievement of them. In doing so reporting should be for countries in which A.I.D. programs are both significant and progress is measurable.
7. Information required to monitor earmarks should be incorporated and placed within the context of monitoring of A.I.D. program objectives, to the maximum extent possible.
8. System designers must initiate action quickly in designing a system that will meet the requirements of A.I.D.'s senior management and key constituents, even though full implementation of the system may not occur for some time.
9. To be successful, the system will require support from AID/W, the Bureaus and the Missions. Each of these parties must participate in system design and feel that it will be useful to them if it is to function effectively.
10. The system should be very simple and "light on its feet."

11. The system should build on Mission and Bureau monitoring and evaluation systems that already exist.
12. The system must differentiate between program monitoring and program evaluation -- each has its own requirements.
13. System designers must recognize the limitations on how program monitoring data can and should be used.

E. NEXT STEPS

The group agreed that a number of activities should follow the successful completion of the workshop and that a number of considerations should be kept in mind in pushing the process along. These included:

1. CDIE must be sure to include both Mission staff and senior AID/W staff in the process of system development.
2. CDIE will prepare a system development plan, incorporating lessons learned from the workshop, and then share it with participants in the workshop.
3. It may make sense to use a similar process to develop the system as is used in program performance development at the Mission level. That is, to have CDIE serve as a disinterested facilitator between the Missions, Bureaus, and AID/W.
4. Additional workshops may prove fruitful as the system is developed to ensure adequate range of contributions in the system development process.

APPENDIX I

PROGRAM PERFORMANCE INFORMATION WORKSHOP

February 20-21, 1991

List of Participants

AFR/DP: Emmy Simmons
Cindy Clapp-Wincek
David Hess

AFR/TR: Buff Mackenzie
Robin Horn
Al Smith
Lance Jepson

APRE/DP: Bob Friedline
John Gelb

APRE/H: Caryl Ersenkal

ENE/PDP: Marty Hanratty

LAC/DP: Helene Kaufman
Turra Bethune
Jim Walker

FVA: Tom Marchione

S&T/PO: John Giusti
Frank Alejandro

MS/IRM: Dan Westrick

PPC/CDIE: John Eriksson
Wendy Stickel
Annette Binnendijk
Gerry Britan
Nena Vreeland
Krishna Kumar
John Mason
Pat Vondal
Cressida McKean
Siew Tuan Chew
Randal Thompson
Gary Hansen
Robert Baker

PPC/PB: Peter Theil

PPC/WID: Mari Clark

PPC Consultant: Allyson Herrick

MSI: Larry Cooley
Mark Renzi
Janet Tuthill
Molly Hageboeck

APPENDIX II

Working Group Presentation Flipcharts

Agency Program

Program Areas/Strategic Objective

- Promote private sector growth
 - Promote accountability and participation in social, economic, and political institutions
 - Promote sustainable natural resource management
 - To promote effective social service delivery to the poor
 - To lower population growth rates
- * Gender concerns must be factored into objectives and measurement.

AFR

GOAL

- **Broad Based Sustainable Market-Led Economic Growth**
- **Improve public sector management of economy**
- **Strengthen competitive markets to promote private sector growth**
- **Support long-term increases in productivity//NRM**
- **Increase food security**

A/PRE

- **To protect and manage natural resources**
- **Increase access to family planning**
- **Strengthen democratic institutions**
- **Reduce role of public sector**

ENE

Democratic Pluralism

Private Sector

Public Sector Efficiency & Equity

Improved Social Service Delivery Systems

Trade & Investment

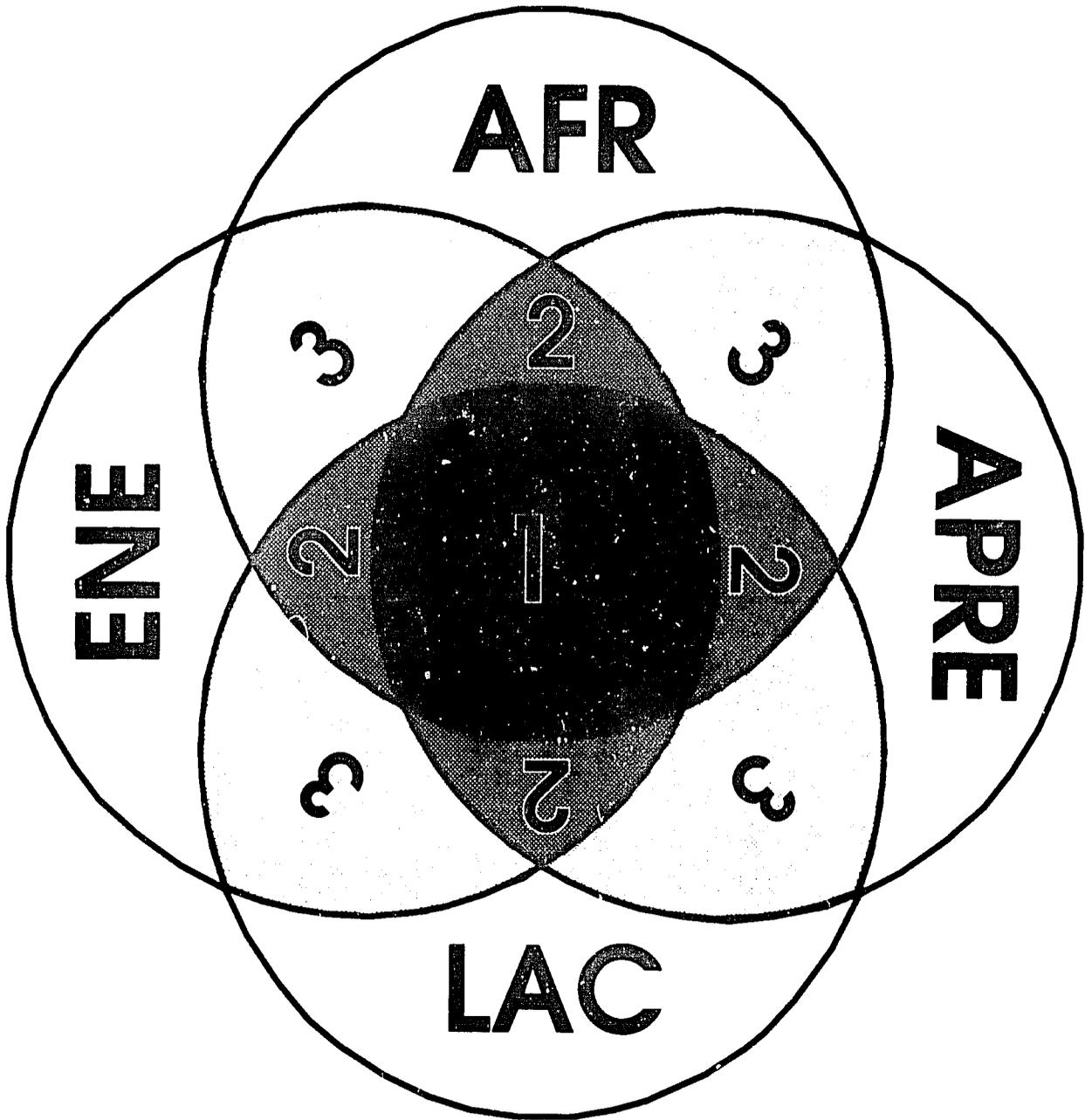
Energy/Environment/N.R.

LAC

- **Broadbased Sustainable Economic Growth**
 - **Private Sector Led Growth**
 - **Environment**
 - **Access to Services Health, Education, etc.**

- **Promote Democratic Institutions**

- **International Cooperation, e.g.,
Counternarcotics**



Flipchart I-G

OBJ	# of Bureaus	\$	# of Operations
A ₁	4	10	12
A ₂	4	9	15
A ₃	4	8	16
B ₁	3	9	8
B ₂	3	7	14
B ₃	3	6	3
C ₁	2	7	8
C ₂	2	5	10
C ₃	2	4	9
C ₄	2	4	4
C ₅	2	3	6
C ₆	2	3	3
D ₁	1	6	5
D ₂	1	5	10
D ₃	1	5	3
D ₄	1	4	1
D ₅	1	1	7

Performance Indicators

Private Sector Growth

- **↑ Proportion of ↑ GDP**
- **Level of private investment**
- **Level of private sector exports (gross & value added)**
- **P.S. fixed capital formation as % of total banking assets**
- **Increase in private sector employment**
- **Increase in total family income (Good luck)**

Promote Accountability and Participation (D.I.)

- **Freedom House indicators qualitative ranking e.g.**
 - free press
 - advocacy - increase in NGO effectiveness
 - improved local government
 - access to judicial system

■ Natural Resource Management

- no. of hectares
saved
conserved
managed
not burned
- area deforested to area reforested (if you have a forest)
- increase soil fertility
- water conservation

■ Promote social service delivery

- IM Rate
- CM Rate
- Immunization rates
- primary school completion rates
- increased life expectancy
- % of population with access to safe water, sanitation

■ To lower population growth rate

- fertility rate (couple year protection)
- contraceptive prevalence rate
- birth spacing

GROUP II

External Objectives/Demands for Information (AID-WIDE)

Child Survival

More microenterprises/loan sizes, etc.

Biodiversity

Environmental Conservation

Tropical Forestry

Global Warming

Vulnerable Groups, e.g. refugees, famine, drought

Orphans

AIDS

Girls 5-15

Basic Education

Drugs in several bureaus:

ENE

LAC

A/PRE?

WID

Family Planning in AFR

Economic Growth in AFR

IMPORTANT EQUALS

- A. Somebody outside wants to know**
- B. Show or prove we are doing or can't do
(beyond mgbl. interest)**
- C. Learn how to do better**
 - **Affect policies**
 - **Budget decisions**
 - **More cost effective**
- D. Can't do without multiple level system of
indicators and evaluation**

INDICATOR REPORTING OPTIONS

- A. All country doing it naturally**
- B. Global impact/indicators**
- C. Global, for selected countries**

Can't do without multiple-level system of indicators and evaluation

Sample Objective Tree

(Child Survival)

**Lower
Fertility**

**Improve Health
Status, Child
Survival**

Reduced Mortality & Morbidity MCH

**Increased
Use of
Contraceptives**

**Increased
Availability of FP
Services**

**Increased Access to
Health & FP
Services**

**Increased Private
Sector
Involvement
In Service Delivery**

**Improve
Health Service
Delivery**

**Sustainable Service
Delivery**

**Increased Private
Investment
for Economic
Growth**

Sample Objective Tree

(Resource Management)

***Biodiversity**

**Increase Ag
Incomes through
Efficient Use of
Nat'l. Resources**

***Reduce Global
Warming**

**Sustainable Use
of Natural
Resource Base
Forestry**

**Efficient Use of
Natural Resources**

***Conservation**

Reduced Pollution

**Eco/Forestry
Tourism**

**Preserve &
Manage Natural
Resources**

**Private & Public,
Local & U.S.
Partnerships on
Natural Resource
Management**

**Responsible
NRM Policies**

**Decentralized
Control of Natural
Resources**

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GROUP III

CORE TOPICS

- Education
- Health
- Population
- Trade & Investment
- Environment & NRM
- Democratic Initiatives/Governance
- Rural Agricultural Production & Food Security
- Economic Policy
- Relief
- Microenterprise
- WID
- Urban

REPORTING REQUIREMENTS

- ✓ **Basic Education (Ed)**
- ✓ **Child Survival (Health +)**
- ✓ **Micro-ent. (program output/T&I and/or Rural Ag Prod)**
- ✓ **WID (gender disaggregate & synthesize)**
- ✓ **Environment (Env.)**
- ✓ **Population (Pop.)**
- ✓ **Vitamin A (Prog. Output/Health)**
- ✓ **Drugs/Alternate Development (Alt. Dev.)**
- ✓ **AIDS (Prog. Output/Health)**
- ✓ **Democracy**
- ✓ **T&I**
- ✓ **Urban**

APRE (Empirical)

- **↑ Non-Ag PRE Investment**
- **↑ On-farm Investment**
- **Savings Mobilization**
- **Reduce Public Sector**
- **Enhance Competition**
- **↑ Ag Productivity**
- **Protect National Resources**
- **Increase Access to Family Planning & Health**
- **Strengthen Democratic Institutions**
- **Promote Private Sector Employment**
- **Support Long-term ↑ in Productivity**

LAC (Empirical)

- **Education**
(expand basic education/increase sustainability)
- **Health**
(reduced morbidity & mortality/increased sustainability)
- **Population**
(reduced fertility and population growth)
- **Trade and Investment**
(↑ exports [non-traditional/agr & non-ag]
(↑ foreign investment)
- **Environment/NRM**
(reduced pollution and/or environment degradation, protection of species)
- **Democratic Initiatives/Governance**
(↑ press freedom, electoral, judicial, human rights)
- **Rural Ag Production & Food Security**
(↑ rural income, ↑ production & yields, ↑ ag exports)
- **? Alt Development**
(↑ economic diversification)
- **Economic Policy**
(fiscal & monetary stability, strengthen financial markets, market prices)

AFR (Empirical)

- **Reduce Public Sector, ↑ Eff.**
- **Strengthen Markets**
- **↑ Basis for Long-Term Productivity**
- **↑ Private Economic Growth**
- **From Private Employment**
- **↑ Productivity of Enterprises**
- **Diversify Private Investment**
- **↑ Exports**
- **↑ Sustain Ag Growth**
- **↑ Savings & Investment**
- **Maternal/Child Health**
- **Family Planning**
- **AIDS**
- **Improve Education**

EDUCATION INDICATORS

- *1. Enrollment rates - gender
2. Years to sixth grade - gender
3. Teacher/student ratio
4. Percent trained teachers
5. Non-personnel expenditures/student
6. Financial sustainability
- *7. Literacy rates
8. Secondary enrollment rate
9. % of primary school students receiving textbooks

HEALTH INDICATORS

- 1. Level of Health Care Budgets**
- 2. Morbidity Rates**
- 3. Mortality Rates**
- 4. % of Children at Risk Vaccinated**
- 5. ORT/ORS Availability**
- 6. Correct Use of Protocols**
- 7. Fully Staffed Community Health Centers**
- 8. Primary Health Care Budgets**
- 9. Lowered Risk of HIV/AIDS**
- 10. % of Women at Risk/Immunization**
- 11. Increases in the Sale of ORT**
- 12. Number of Rural Clinics Established**

POPULATION INDICATORS

- **Population Growth Rate**
- **Fertility**
- **Contraceptive Prevalence Rates**
- **Couple Years Protection**
- **Access to Services, i.e.,**
 - **Number clinics**
 - **Private sales**

TRADE & INVESTMENT INDICATORS

- **Export sales (value & volume)**
- **Value-added in exports**
- **Number of export contracts**
- **Value & volume of "non-traditional" exports relative to total value & volume of exports**
- **Value & volume of manufactured exports (or GDP) relative to total exports (or GDP)**
- **Value & volume of private investment**
- **Value & volume of foreign investment (inc. U.S.)**
- **Direct employment generated (% women)**
- **% Gap between official and free market exchange rates**
- **Trade Balance**
- **Interim Indicators**

ENVIRONMENTAL INDICATORS

% of Valuable Hectares Protected/Managed

% of Pollution Sources Eliminated/Reduced

Ratio of Area Deforested to Area Reforested

DEMOCRACY INDICATORS

- 1) Freedom Index**
(composite scale)
- 2) Free Speech Indicators**
(number of newspapers, number of radio stations, range of editorial expression)
- 3) Electoral Indicators**
(elections held, opposition parties, competitiveness of electoral process)
- 4) Judicial Indicators**
(independence of judiciary, quality of judges, codification of law, administration of justice)
- 5) Freedom of Association**
(number of political parties, number of individual labor unions, number and range of associations, NGOs)
- 6) Governance Indicators**
(contract rights, transparency, ?)
- 7) Human Rights Indicators**
(political prisoners, habeas corpus, etc.)

ECONOMIC POLICY INDICATORS

- **Gross National Savings (% of GDP)**
- **Public Sector Savings (% of GDP)**
- **Ratio of Market vs. Official Exchange Rate**
- **Price Controls - Average % Distortion from Free Market**
- **Gross Domestic Assets (% of Increase)**
- **Trade Regime-Tariff Level, Dispersion & Quantitative Restriction**

URBAN & SHELTER INDICATORS

- 1. Number low-cost housing units developed by private sector**
- 2. Number plots provided to low-income families**
- 3. Ratio of G.R. of Acceptable Housing Units to G.R. of Urban Population**
- 4. Ratio of G.R. of Housing Units with Water Connections to G.R. of Urban Population**
- 5. Ratio of G.R. of Housing Units with Sewer Connections to G.R. of Urban population**
- 6. Value of Housing Credit provided by Market-Oriented Housing Finance Companies**
- 7. Own Source Municipal Finance of Infrastructure as a Proportion of Total Infrastructure Investment**
- 8. Area of Regularized Informal Subdivisions**
- 9. Number of HH's Benefiting from Upgraded services**

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(February 20-21, 1991)

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Volume II: Annexes

Presented to:

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ANNEX 1

**PROGRAM PERFORMANCE MONITORING & EVALUATION:
Terms and Definitions**

Program Performance Information Workshop
February 20-21, 1991

PROGRAM PERFORMANCE MONITORING & EVALUATION:
TERMS AND DEFINITIONS

Nena Vreeland
PPC/CDIE/PPE
February 1991

PROGRAM PERFORMANCE MONITORING & EVALUATION
TERMS AND DEFINITIONS

This paper summarizes various terms and definitions that have been used in the Agency in the context of our recent (1987-1990) experience with "program performance monitoring and evaluation information systems". The purpose of the paper is to facilitate discussion among Agency staff members who are involved in efforts to monitor or assess both "program performance" and "country performance" from different points of view and who are using various terms similarly or differently.

The paper assumes that the reader is familiar with the terminology associated with the "project logical framework" (logframe) -- i.e., inputs, outputs, purpose, goal and manageable interest. In some cases, logframe terms are used to link project achievements directly to broader objectives of a Mission, as in the "purpose-level monitoring systems" developed by some Asia and Near East Missions.

The terms covered by this paper are listed below. In the following pages, the terms are presented in an order that attempts to group them in categories, so that the reader can avoid having to skip through pages for the definitions of closely related terms.

List of Terms

benchmark	outputs
benefit	people-level impact
cost/benefit	performance
cost-effectiveness	program
country performance	program logframe
cross-cutting issue	program evaluation
effects	program outputs
effectiveness	program performance
goal	results
impact	strategic objective
indicator	subtarget
information management	target
management information	target of opportunity
objective	trend(s)
objective tree	
outcomes	
linkage studies	

DEFINITIONS OF TERMS

Terms Associated With Results:

benchmark: this term was used in the early stages of A.I.D.'s efforts to develop program performance tracking systems. For example, in the AFR Bureau (where the term is no longer used), it was supposed to describe outcomes that would demonstrate the incremental progress being made toward the achievement of a Mission's "target" (see below), and was to be monitored on an annual basis. In other Bureaus, the term was sometimes used for reporting on a Mission's intended or completed actions in a Mission's Action Plan. Differing interpretations of this term led to confusion: some Missions considered a benchmark to be some management step or action, such as the signing of a contract; other Missions regarded a benchmark as a milestone, e.g., the completion of some project(s) having a supposedly significant relationship to a longer-term objective; still other Missions applied the term to intermediate indicators of changes considered to be more or less significant contributions to the attainment of a longer-term objective. In part, this confusion illustrated the conceptual difficulties involved in specifying intermediate and/or "leading" indicators that everyone could accept as demonstrating substantive progress directly linked to an intended longer-term outcome.

benefit: a desirable or valuable outcome or consequence; usually intended but may also include a positive/desirable outcome that is unintended or unexpected.

effects: usually the specific and narrowly-defined outcomes that an intervention or activity was designed to produce directly, in terms of the hoped-for changes in a problem/constraint that the activity addressed in order to achieve an objective. These are the effects usually considered in "cost-effectiveness" analysis. This fairly narrow interpretation of effects sometimes leads to controversy over the "true" cost of all the effects actually produced, including deleterious effects and the costs of sustaining intended effects.

impact: movement or change caused by a program toward the program's objective; more specifically, a change in the desired direction in a target population or condition. Usually defined as the desired movement or change, but can also include undesirable or negative changes. Assessing impact usually implies the existence of a specified, operationally defined objective and criteria of "success", or an assumed definition of the desired development change. Since impact is defined with reference to a program's objective, the nature and scope of impact depends on the nature and scope of the objective.

The key distinction of this term is its association with an objective, rather than the various actions, effects in terms of removing problems/constraints, or other outcomes achieved along the way toward reaching the objective. The AFR Bureau's use of the term "people-level impact" derives from the deliberate inclusion of an explicit human benefit dimension in its program objectives.

outcomes: a general term for what was caused or produced, deliberately or not. Encompasses benefits, effects, and impacts.

outputs: in A.I.D. usage, what was produced by inputs. Originally a term that was used in the logical framework of a project, it is also being used in a logical framework of a program in some Bureaus.

people-level impact: a term unique to the AFR Bureau, suggesting that Development Fund for Africa (DFA) program objectives incorporate some human dimension, human face or targeted population in which movement or change can be measured and reported.

program outputs: a term used in the LAC Bureau to denote the outcomes of various interventions and activities that are necessary but not necessarily sufficient to achieve a strategic objective of a Mission's assistance program. The corresponding term in the AFR Bureau is "target" outcomes.

purpose-level (outcomes): a term used in some Asia and Near East Missions to denote the outcomes of all projects in a Mission's portfolio that are expected to make a significant difference for the achievement of program objectives (strategic objectives). They are roughly analogous to the AFR Bureau's "target" outcomes and the LAC Bureau's "program outputs".

result: originally a general term that could be used interchangeably with "outcome", usage inside and outside A.I.D. now relates it closely to "impact". The term is often used when it is necessary to sharpen the distinction between outcomes and processes/activities that will purportedly lead to those outcomes. In AFR Bureau usage, "result" is virtually synonymous with "people-level impact".

target (outcomes): as used in the AFR Bureau, these are the direct outcomes of projects, non-project assistance, policy dialogue and other Mission activities and interventions, necessary although not necessarily sufficient sufficient to achieve a strategic objective of a Mission's assistance program. The term is virtually synonymous with the LAC Bureau term "program outputs", and roughly analogous to the APRE Bureau term "purpose-level" outcomes.

Terms Associated with Program Aims:

goal: what a Mission wants to accomplish over the long term, an aim that always requires related efforts by the host country and other donors for its accomplishment. Goals are usually expressed in terms of significant changes in a country's conditions or trends. Goals of U.S. assistance in fact often include U.S. foreign policy, domestic and national security aims; until recently, A.I.D. preferred to acknowledge only that portion of U.S. assistance goals that could be expressed in development terms -- a preference that has sometimes complicated program accountability. In a hierarchy of objectives, there may also be one or more "sub-goals".

objective: a general term for the desired outcome you are aiming for and with which your actions can be associated. As such, an objective is a specific statement of purpose or intention. The term also implies the idea of an end point, in that once you have accomplished your objective, your effort has reached completion.

objective tree: a standard planning graph that links objectives hierarchically so that objectives at a lower level contribute to the attainment of an objective at a higher level (see illustrations on page 9 of partial objective trees for a hydro-electric project and a program to reduce child mortality).

program: this term is used in at least five different ways in the Agency: 1) as in "program assistance", where what is really meant is non-project assistance; 2) as in a collection of several activities in a sector, functional account, initiative or earmark (e.g., the agricultural program, the policy reform program), where what is really meant is some portion of a Mission's assistance portfolio; 3) as in a structured and bounded set of activities directed to discrete objectives in a sector, e.g., the child survival program; 4) as in a Mission's country assistance program, that is, the combination of all project, non-project, policy dialogue and miscellaneous activities done by the Mission using A.I.D. human and financial resources; and 5) as in strategic program, that is, some portion (or all) of a Mission's country assistance program devoted to a specific "strategic objective". Although A.I.D.'s portfolio does not contain such projects, the term "program" might also be used for a single project that has sufficient scope and resources to accomplish its goal in a short-term period of 5 to 10 years (e.g., national housing program, national literacy program).

program logframe: an adaptation of the project logframe to a Mission's country assistance program, as a tool to help the Mission design and implement its country program strategy, and to develop strategic objectives that are as ambitious as

possible but still within the "manageable interest" of the Mission. Used in both the AFR and LAC Bureaus, where the development of a program logframe is preceded by some form of objective tree analysis.

strategic objective: as used in the AFR, APRE and LAC Bureaus, the highest level of outcome with which Mission action can be significantly associated given its span of resources/influence, and for which it will be held accountable. An alternate term sometimes used in the APRE Bureau is "program objective". In the case of the AFR and APRE Bureaus, Missions are instructed to adopt a small number of such objectives as the basis for strategic management of their country assistance programs. Specifically in the AFR Bureau, a strategic objective is the most ambitious objective that a Mission takes on that is still in its "manageable interest", the achievement of which produces outcomes contributing to the accomplishment of a country goal, and the accomplishment of which can be related to Mission action. It is the highest level on an objective tree that a Mission believes it can affect in a measurable way in 5 to 7 years. The Mission must be able to demonstrate measurable progress toward accomplishment of a strategic objective over that time. In the AFR Bureau, the development of a few (even one) strategic objectives in a Mission was related to the results orientation of the Development Fund for Africa (DFA) and the Bureau's decision to concentrate resources in fewer countries and on fewer objectives. This term is used in an analogous way in the LAC and APRE Bureaus, with the difference in APRE being that such objectives, as an alternative to expressing impacts, may also express the amelioration of a serious development constraint. Also, in APRE Bureau Missions, strategic objectives tend to be "realistic", i.e., proximate to specific Mission activities and the size of their resources. In AFR Bureau Missions, strategic objectives are the highest possible objectives on which a Mission can have some material effect, preferably as "people-level impact". Thus, AFR Bureau Missions are required to resolve a tension between consciously ambitious strategic objectives that express impact and their "manageable interest" in view of the fairly modest resources they have to work with. In all Bureaus, a Mission's strategic objectives in effect establish a "contract" between the Mission and the Bureau and the criteria by which the Mission's program progress will be assessed.

subtarget: in AFR Bureau usage, an objective (in an objective tree) below a Mission's "target", the outcome of which contributes to target attainment. In relation to a project-level logframe, subtargets include outputs and inputs of the specific activities (including projects, non-project assistance) that a Mission is doing.

target: in AFR Bureau usage, an objective (in an objective tree) below a Mission's strategic objective; one or more Mission targets make up the necessary if not necessarily sufficient factors to achieve the strategic objective. In relation to a project-level logframe, a target includes outcomes at least at the output or purpose level. The term is also used in the project logframe -- i.e., as specific indicators of expected performance (quantity, quality and time).

target of opportunity: a term developed by the AFR Bureau to recognize the reality that Mission portfolios are not tidy packages, and that despite every effort to focus human and financial resources on the accomplishment of a few strategic objectives, there will always be pieces in a portfolio that won't "fit" a program logframe (for example, because of Congressional earmarks). They are currently considered as opportunities for U.S. assistance to have an impact. Activities that are being phased out but which are using significant resources in the near term may be included.

Terms Associated with Performance Measurement:

cost/benefit analysis: study of the relationship between project/program costs and outcomes, usually expressed in monetary terms.

cost-effectiveness: the relationship between project/program costs and outcomes, usually expressed as costs per unit of outcome achieved.

country performance: what is happening in a country along several economic, social and political dimensions of concern to the Agency, usually assessed by observing trends in national-level or "macro" indicators. The specific dimensions and indicators may vary from Bureau to Bureau. All Bureaus are using some form of country performance assessment as input into performance-based budgeting decisions on country allocations. An alternate term that has been used is "country trends". Indicators of country performance are tracked separately from indicators of program performance, and provide a context in which to evaluate the continued relevance and significance of strategic objectives and the progress being made in achieving those objectives.

effectiveness: extent to which a project/program operates or "works" well in achieving its stated objectives (implying that some other approach or strategy might conceivably be better).

indicator: a measure (usually quantified) that can tell you how you are progressing toward the achievement of an intended outcome, or whether some condition or problem is improving, deteriorating or staying the same. Such a measure must be capable of validly demonstrating your progress or a change in

the condition over time. By itself, an indicator is not an objective (or target). However, an objective is often described or made concrete by using one or more indicators of what you want some condition to look like (e.g., higher quality, lesser amount) when you have achieved your objective. The indicator(s) will then tell you if and when you have reached your objective. Indicators are not neutral (and are often culturally biased). When management selects an indicator for observation, it sends a strong message because the act of selecting an indicator is a signal that management is concerned about the condition indicated. An even stronger message is sent when certain indicators are used to specify objectives or targets, or as an indirect means for reorienting existing programs to a new set of concerns or priorities. Indicators can be developed for many management purposes, for tracking change in various dimensions of concern to a program, and for identifying links (and missing links) between program activities and intended outcomes, or between outcomes and a larger problem or country trend. Agency policy requires that indicators be appropriately disaggregated by gender (see below, "cross-cutting issues").

performance: generally, extent to which objectives are being achieved.

program performance: the extent to which strategic objectives (or program objectives) are being achieved. Bureaus vary regarding the extent to which Mission-reported data on program performance is used to influence country allocations.

trend(s): movement or change (or the lack thereof) in some condition that A.I.D. is concerned about. A trend is usually tracked by observing one or more indicators of that condition over time.

Other Terms:

cross-cutting issues: issues or concerns that cut across several projects or elements of a country assistance program, and/or of the bilateral assistance program of the Agency as a whole. Examples include women-in-development, equitable distribution of benefits, effects on natural resources and the environment, support for participant training, use and effectiveness of technical advisors, and involvement of or support to the private sector in projects and other activities. The existence of these concerns in Agency policy or in reporting requirements to Congress -- and especially the addition of new concerns without dropping earlier concerns -- complicates the problem of developing and maintaining management information/reporting systems and their associated data requirements. For example, information on one or more of these concerns may be required from all relevant activities in

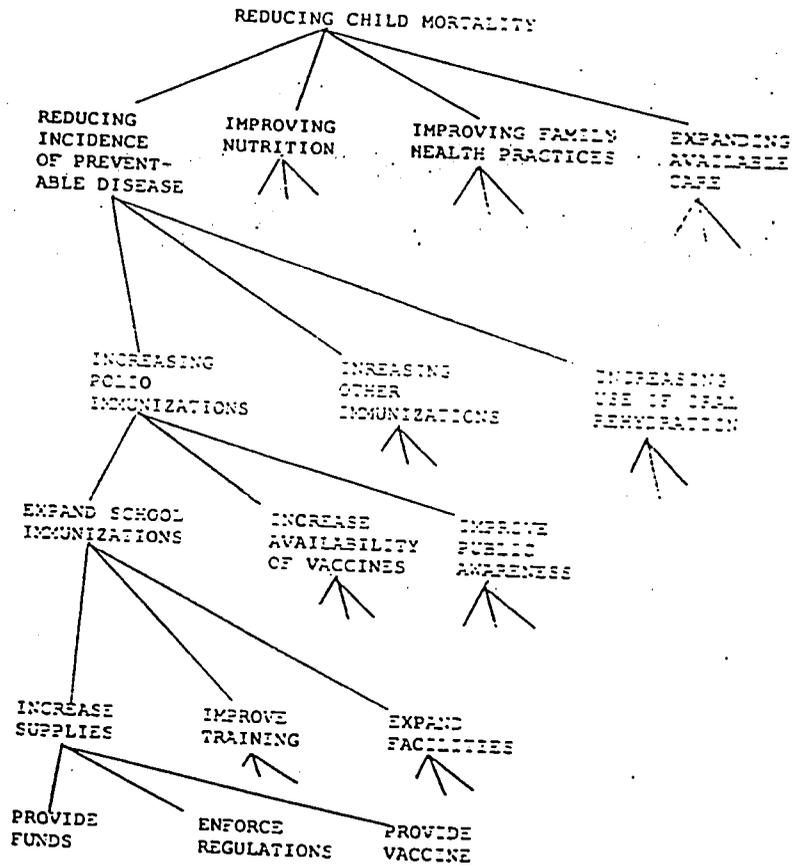
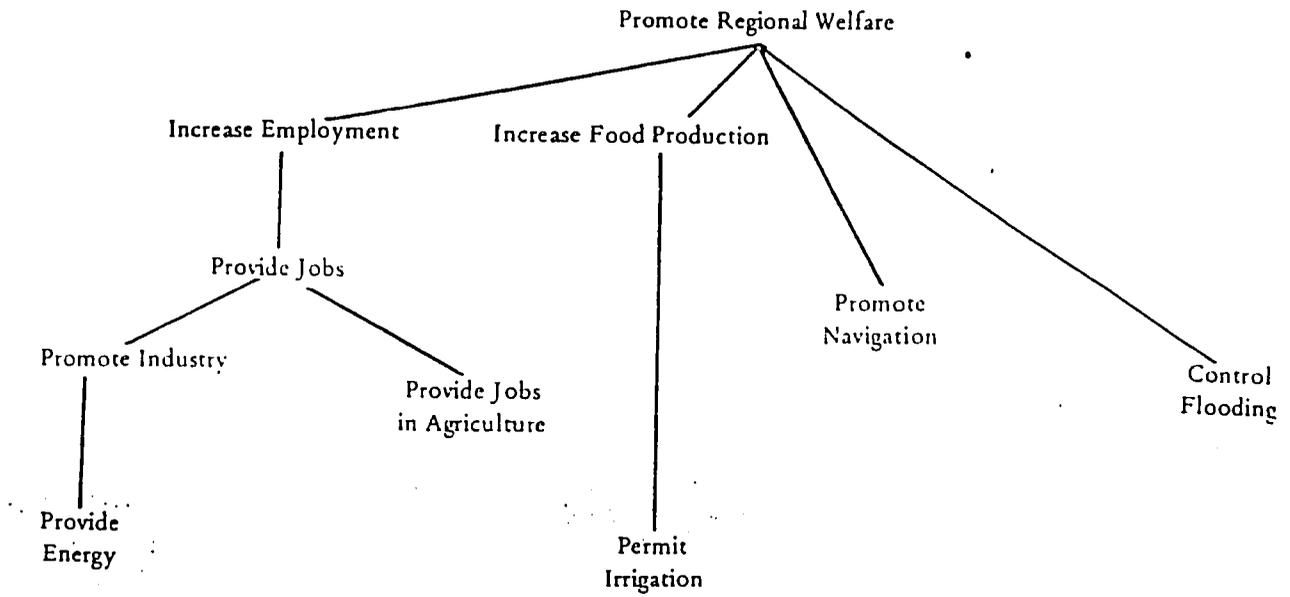
a country assistance program, not just projects that deal with these concerns directly as project objectives. In the case of women-in-development, Agency policy requires disaggregation of outcome data by gender, and Missions have been receiving technical support in designing, acquiring, analyzing and reporting the necessary data and information for all relevant activities in their portfolios.

information management: an ability to select, organize, operationalize and report data and information in a way that enables you to get the information you need at the right time and in a useful format. ADP systems are useful tools for managing large amounts of data and information.

management information: the information a manager needs to make decisions. Program performance management information helps a manager be more effective and efficient, in developing more effective strategic mixes of activities toward accomplishing an objective; guiding choices toward the most strategically effective resource allocations; informing policy dialogues with evidence of performance; clarifying responsibilities for effects and impacts; substantiating reports to external audiences; and communicating with program staff regarding commitment and action.

linkage studies (or linking studies): studies undertaken to investigate in greater depth the causal links between the outcomes of specific activities and the broader outcomes or impacts representing strategic/program objectives. Since data on indicators of expenditure levels, targets/program outputs and strategic objectives provide only a descriptive (and low-cost) snapshot of Mission program performance, linkage studies can 1) increase our confidence in the operational links between outputs and objectives; or 2) help us understand why objectives are not being achieved even though outputs are being delivered, by analyzing the relationship of other necessary and sufficient activities to the objectives. Another term is "formative program evaluation", which could be done through carefully selected case studies.

An Example of a Partial Objective Tree Developed for a Hydro-Electric Project



ANNEX 2

**TRACKING PERFORMANCE:
A Review of Objectives and Indicators**

**TRACKING PROGRAM PERFORMANCE:
A REVIEW OF OBJECTIVES AND INDICATORS**

**Prepared for
AID/CDIE**

This paper has been developed in response to AID's need to increase its information base as it considers instituting a centralized system of program performance monitoring. The proposal is challenging, given the breadth of the agency's commitments, and the diversity of the contexts in which they are implemented.

In preparation for an agency meeting to further explore options in this area MSI was contracted to review bureau and mission-level documentation of strategic objectives, targets and indicators, in order to identify areas of commonality and differences among them, within and between regions. Of principal interest was the possible emergence of core programs and the indicators being used to track them.

Materials for this task were gathered from a variety of sources, principally AID bureau and CDIE resources, and MSI's own documentation. The documents reviewed included MSI reports on its Phase I Pilot Program to Introduce Program Performance Information Systems into USAID Missions, carried out under a contract with the Agency, a number of mission action plans, documents from technical offices, e.g. microenterprise, health, environment, as well as all of the AFR Bureau's API reports. In addition to these, a key document was the MSI report to the LAC Bureau on LAC Strategic Objectives and Program Performance Assessment--Summary Conclusions. This study looked at the same issues for the region, and has been integrated into this paper for the LAC data. While the API reports reviewed were very detailed, material from the Asia region consisted of short summaries of strategic objectives and their respective indicators. The seven countries in this group included Bangladesh, Indonesia, India, Nepal, the Philippines, Sri Lanka, Thailand and the ASEAN.

Findings:

1. The principal finding of the review was that notwithstanding the diversity in programs and regional-country situations, there was a great consistency of program emphases at the level of strategic objectives, once they were analyzed for core thrusts. This held true within regions and between regions.

The "core" program concerns that emerged across the board were: increased, privatized, market-driven trade, investment and agriculture, and maternal-child health. Ancillary to them were technology transfer, reduced government intervention and regulation, employment generation and effective natural resources management in support of agricultural development and trade.

The differences that emerged were related to specific regional issues, e.g. democratic initiatives, appearing significantly in the LAC and Asia regions, and not at all in Africa, where food security is a more urgent issue. Within the AFR region there appeared to be a fairly high correlation of programs with the strategic objectives and targets of the Development Fund for Africa, despite the great variety of programs and disparity among the countries.

2. The research showed that understandings and interpretation of terminology in the mission documentation and presentations varies considerably in all regions. "Target" in the Africa Bureau is an outcome, whereas in other Bureaus it is used as a specific measure of achievement. Missions within the AFR region itself showed considerable variation in its interpretation, providing a challenge for the researcher. Variations of other terminology abound in all regions, and present an issue that will need to be addressed in seeking an agency-wide evaluation and monitoring system.

3. Identifying goals, objectives, targets and indicators is further complicated by the fact that a given statement may be a strategic objective in one program, a sub-target in another, and even an indicator in yet another. Levels of strategic objectives, targets and indicators vary considerably, presenting an even greater challenge for determining comparability in a given area.

4. While the review rarely found cross-cutting issues (e.g WID, environment, bio-diversity), at the level of strategic objectives, they emerged to a somewhat greater extent among related indicators and still more in country action plans, posing the problem of how to track them in a future monitoring system.

5. Although the technical offices within bureaus were helpful in providing available material, all of them indicated that they, too, were in the process of identifying evaluation and monitoring systems, and consequently could not contribute either models or data at this time.

The appendices to this report contain the following material:

Appendix A: AID, LAC Bureau and Mission Objectives

Appendix B: Analysis of the Current LAC Portfolio by Area of Focus

Appendix C: Analysis of the Current LAC Portfolio by Key Indicators

Appendix D: AFR Bureau: Key Mission Strategic Objectives

Appendix E: AFR Bureau: Analysis of the Current Portfolio by Key Indicators

Appendix F: Analysis of the Current Africa Portfolio (all objectives, targets indicators)

Appendix G: Asia Portfolio: Key Mission Strategic Objectives

Appendix H: Asia Portfolio: Analysis by Key Indicators

Appendix I: Analysis of the Current Asia Portfolio (all objectives and indicators)

An effort was made in the listings to combine those objectives and indicators that appeared to be close enough to warrant this, in order to bring out commonalities and trends. When this occurred, the respective countries were listed after the objective. The same held true for indicators. In all cases the relevant countries are identified.

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Appendix A of Annex 2
AID, LAC Bureau, and Mission Objectives

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AID, LAC BUREAU, AND MISSION PROGRAM OBJECTIVES				
Objective Statements	AID	LAC	Frequency (%) of appearance in country planning documents	
			Mission	ADC
Support for free markets & broad based economic growth	×	×		
Adopt/adhere to economic policies that promote investment, employment, export-led growth		×	69	33
Vigorous response by private sector to policies		×	8	0
Strengthening the private sector (participation)			46	17
Promote, expand, diversify export (NTE)	×	×	69	17
Expand/diversify private sector investment and employment			15	33
Increase employment			8	0
Sustainable economic growth			15	0
Rapid & sustained growth			8	0
Key sectoral policy reforms to encourage sustained growth with equity			8	0
Increased Ag. production			38	0
Microenterprise development			15	17
Alternative development: investment/production/ employment in non-coca exports			8	0
Export promotion of non-coca exports			8	0
National rehabilitation of drug areas			0	17
Economic stabilization			54	0
Economic recovery			8	0

AID, LAC BUREAU, AND MISSION PROGRAM OBJECTIVES				
			Frequency (%) of appearance in country planning documents	
Objective Statements	AID	LAC	Mission	ADC
Reliance on market forces for resource allocation			8	0
Public sector efficiency			15	0
Privatize public sector entities			8	0
Expand/improve infrastructure			8	0
Debt management/public sector financial management			15	17
Increase savings (and investment)			8	0
Financial market development/credit institutions			23	0
Strengthen private enterprise promotion institutions and public sector			8	0
Promote relations among US and LDC institutions & promote free market system & link to US technology			0	33
Science/technology exchanges			0	1
Concern for individuals econ-social well being	X			
More opportunities for participation of disadvantaged		X	0	0
Maternal/child health			46	50
Educational opportunities			62	0
Family planning (access to)			54	66
AIDS prevention			8	33
Participant training			0	33
Wider sharing of benefits of growth			31	17

AID, LAC BUREAU, AND MISSION PROGRAM OBJECTIVES				
			Frequency (%) of appearance in country planning documents	
Objective Statements	AID	LAC	Mission	ADC
Address critical needs of poor			8	0
Improve/expand delivery of social services			8	0
Improve health, health services			31	0
Improve housing			8	0
Support for Democracy	×			
Evolution of stable, democratic societies		×	15	0
Strengthen competent civilian government institutions			23	17
Democratic institutions		×	15	0
Public financial management			8	17
Pluralism, tolerance, democratic values through NGOs		×	0	0
Effectiveness/access of key democratic institutions			8	0
Public sector efficiency			15	0
AIFLD			0	0
Transition to democracy			0	17
Elections			8	0
Administration of justice			46	17
Legislative, Human rights			15 8	0 0
Responsible environment/natural resources policies & management	×		15	33

AID, LAC BUREAU, AND MISSION PROGRAM OBJECTIVES				
Objective Statements	AID	LAC	Frequency (Number of appearance in country planning documents)	
			Mission	ADC
Preservation & sustainable use of NR base		×	38	17
Preserving and managing natural resources			0	33
Global warming/forests			0	33
Biological diversity			8	0
Environmental conservation			8	17
Support for lasting solutions to transnational problems	×			
Response for international cooperation in drugs, terrorism, environmental degradation, refugees, disasters		×	0	17
AIDS			0	17
Humanitarian assistance and disasters	×			

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Appendix B of Annex 2
Analysis of the Current LAC Portfolio by Area of Focus

Appendix B of Annex 2

Analysis of Current LAC Portfolio

1. Education:

goals = literacy; democratic participation; labor productivity; entrepreneurship; improved management

strategic objectives = expanded and/or improved basic education, contribution to other economic or DI objectives, sustainability of service delivery

components = basic education, participant training, management and technical/vocational training

indicators = basic education: enrollment rates [by gender], years to sixth grade, quality [e.g., non-personnel expenditure/student, percent trained teachers, teacher/student ratio], financial sustainability; other areas: tracer studies

program outputs = better trained teachers, better curriculum and materials, budgetary/policy changes, private provision of services, better links to labor force needs

2. Health:

goals = reduced morbidity and mortality, especially in mothers and children

strategic objectives = reduced morbidity and mortality [for specific groups from specific causes], sustainability of service delivery

components = child survival, MCH, preventable diseases, water and sanitation, health management/administration

indicators = IMR, deaths averted, cases of preventable diseases, malnourished children under five, external subsidy

program outputs = better trained professionals, improved efficiency in distribution of key services, coverage, budgetary/policy changes, private provision of services, population served with water and sanitation

3. Population:

goals = reduced fertility and population growth; increased per capita income; reduced maternal mortality, reduced infant and child mortality

strategic objectives = increased use of modern contraceptive methods

indicators = contraceptive prevalence rates, couple years of protection, external subsidy

program outputs = better trained professionals, improved outreach network, supplies distributed, budgetary/policy changes, private provision of services

4. Trade and Investment:

goals = increased commercial trade; increased net exports; economic diversification; economic growth; increased employment and incomes

strategic objectives = increased [non-traditional; agricultural and non-agricultural] exports; increased private investment [foreign and domestic]

components = trade promotion, investment promotion [foreign and domestic]

indicators = value added in exports, trade balance, private investment, foreign investment, new products exported, jobs created

program outputs = reduction of tariff and non-tariff barriers, economic policy reform (see no. 9), improved institutional infrastructure for trade and investment (including direct investment/trade promotion, improved market information linkages, technology transfer and dissemination), better trained entrepreneurs, agricultural diversification (see no. 7 below), improved physical infrastructure for trade and investment

5. Environment/NRM:

goals = reduced pollution and deterioration of natural resources [domestically and globally]; sustainable production [agriculture, forestry, fisheries]; biodiversity

strategic objectives = reduced pollution and/or deterioration [of specific natural resources; from specific causes]; preservation of specific species and habitats

components = preservation, land and/or water conservation/protection, forestry and fisheries management, integrated pest management, pollution control

indicators = hectares protected, pollution sources eliminated/reduced, species protected

program outputs = policy changes, better trained professionals, areas protected or put to alternative use, increased public awareness and knowledge, adoption of improved NRM practices, strengthened regulatory and other environmental organizations

6. Democratic Initiatives:

goals = stable democracy; fair, accessible and accountable political and administrative systems

strategic objectives = "sectoral" objectives [press, electoral system, judiciary, etc.] and/or cross-cutting objectives [e.g., human rights]

components = performance of public institutions, civic participation and pluralism

indicators = at program output level only; synthesis and judgement to reach conclusions at higher levels

program outputs = improved systems and procedures, personnel, new administrative/consultative mechanisms, policy changes

7. Rural/Agricultural Production:

goals = incomes; economic growth; economic diversification; exports

strategic objectives = increased rural incomes [for specific groups], increased production and yields [for specific crops and/or from specific sources], increased [non-traditional] agricultural exports (see no. 4 above)

components = technology development and dissemination, markets efficiency, microenterprise

indicators = household incomes, off-farm employment [micro-enterprise], production levels, yields, agricultural diversification, on-farm investment

program outputs = adoption of new technologies, improved service coverage, improved physical or institutional infrastructure, better trained personnel, policy changes, private provision of services

8. Alternative Development:

goals = coca replacement; maintenance of stable, democratic institutions

strategic objectives = economic diversification

components = pure substitution, modified substitution, broad economic growth

indicators = non-coca employment, non-coca exports

program outputs = investments in non-coca economic activities, negative attitudes towards narcotics, policy changes

9. Economic Policy:

goals = economic stability; accelerated and sustainable growth

strategic objectives = fiscal and monetary stability, strengthened financial markets, market-determined prices [for specific factors of production, goods and services]

components = stabilization and structural adjustment

indicators = inflation, financing of fiscal deficit, domestic savings mobilization, positive real interest rates, elimination of price controls

program outputs = policies implemented, better trained policy makers

Appendix C of Annex 2

Analysis of the Current LAC Portfolio by Key Indicators

LAC MISSION: SPECIFIC INDICATORS

- Value of diversified agricultural exports
- Public sector savings (% GDP)
- % gap between official and freemarket exchange rates
- Purchasing power parity value of unified exchange rates
- Current expenditure as % of total central govt expenditures

- Value of manufacturing exports
- Miles of road rehabilitated/maintained
- List of new items exported (cumulative)
- Value of traditional agricultural exports (\$ mil)
- Value added free trade zones (\$ mil)
- AID-supported export sales (\$mil)
- No. of agricultural products subject to price controls

- Employment from AID projects (thousand person rs.)
- No. of new or improved employment opps. from AID programs
- Agribusiness employment from AID projects: number; % women
- Small industry and micro-enterprise employment from AID projects: number; % women
- Free trade zone employment from AID projects: number; % women
- Direct employment from AID projects

- Employment from mission private sector programs: permanent; temporary
- Private sector employment outside agriculture: male; female
- Creation of new jobs (nos.)
- Private sector investment (% of GDP)
- % banking system credit to private sector
- Private sector fixed capital formation as a % of total banking assets

- Hectares of land being farmed in a more sustainable way
- Wildlands and/or reserves protected and properly mgd. (no. ha)
- Land under natural resources management (no. ha)
- Acreage incorporated into declared protected areas (no. of acres)

- NGO expenditures on forest & environmental programs/projects
- No. of trees planted under AID projects (millions)
- Hectares of forest managed for sustainable yields (no. cumulative)
- Gross foreign exchange from tourism (\$mil)

- Incidence of malaria (cases/1000)
- % of population with access to safe water: total; rural; urban
- Child mortality (deaths/1000)
- Infant mortality (deaths/1000)
- Women receiving AID-assisted family planning services
- Couple year protection (nos.)
- Contraceptive prevalence (% M & F of reproductive age)
- People served by AID-supported child survival programs (mils)
- % of health sector budget allocated for primary health care
- Childhood malnutrition (% of children to age five)
- % of children under five with a complete series of immunizations

- % of children under the age of one immunized
- % of children 12-23 months of age vaccinated against measles

- # of persons receiving formal education under AID projects
- # of graduates of voc/tech schools employed
- Primary and secondary enrollment ration
- Gross primary school enrollment ratio
- % of total primary school enrollment, indigenous children
- Years to produce a sixth grade graduate
- % of primary school students receiving textbooks
- % of fourth graders in AID-supported progs. who achieve basic literacy and numeracy skills
- # of persons receiving voc/tech/mgt training in government, secondary and post-secondary institutions

- AID-supported PVOs: nationwide
- % of low-income households purchasing homes through AID programs
- # of persons receiving job-specific training under AID projects

- Judiciary ratio of complete cases to total cases considered per year
- Cumulative no. of laws passed from basic legislative agenda for democratization
- % judicial officials with completed in-service training appropriate to responsibility
- # of judicial education programs established
- # of new laws passed
- # of modernized registries
- # of modernized codes
- # of stocked/staffed libraries established

- Strengthened local gov't as measures by citizen participation in open town meetings: attendees
- Average time to complete a criminal law case (months)
- # of scholars whose attitude toward western values are significantly affected by training in the U.S.
- # of women in out-of-country AID-supported training

- % of population exposed to drug awareness
- % of public opinion leaders exposed to drug awareness
- % of population with basic knowledge of HIV transmission
- Cumulative reported cases of AIDS
- Reported new cases of AIDS
- % change in rate of increase in AIDS

- Employment from AID projects (thou psn yrs)
- No. new or improved employment opportunities from AID programs
- Agribusiness employment from AID projects: number; women
- Small industry and micro-enterprise employment from AID projects: number; % women
- Free trade zone employment from AID projects: number; % women
- Direct employment from AID projects
- Employment from mission private sector programs: permanent; temporary (nos. pers. mths)

- Private sector employment outside agriculture (nos; male; female)
- Creation of new jobs
- Private sector investment (% of GDP)
- % banking system credit to private sector
- Value of public assets converted to private sector
- Private sector fixed capital formation as a % of total banking assets
- Private banking assets as a % of total banking assets
- Credit to the private sector through AID-supported inst. (\$mil)
- Credit to private sector nationwide (\$ mil)
- No. of small enterprises receiving credit under AID projects
- Spread between deposit and lending rates
- % of total productive & housing credit supply which is market driven agriculture; housing; small and micro-enterprises

- Hectares of land being farmed in a more sustainable way
- Wildlands and/or reserves protected and properly managed (no. ha)
- Lands under natural resources management. (no. ha)
- Ratio area deforested to area reforested
- Acreage incorporated into declared protected areas (no. of acres)

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- Value of non-traditional exports (\$ mil): agricultural; manufactured; total
- Total value of non-traditional AID-attributed exports
- Value of manufacturing exports
- Agricultural productivity in selected products
- No. of trees planted under Aid projects (millions)
- No. of farmers receiving improved seedling under AID projects
- Non-traditional agricultural production
- Adoption of farming systems emphasizing soil and water conservation

- Gross foreign exchange from tourism (\$ mil)
- Significant improvements in economic policy
- Central gov't domestic financing as % of GDP
- Public sector domestic financing as % of GDP
- Current expenditures as % of total central gov't expenditures
- Wages as % of central gov't current expenditures (interest & transfers)
- Total public sector deficit as % of GDP(non-financial)
- Public sector savings (% GDP) ind

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Appendix D of Annex 2

AFR Bureau: Key Mission Strategic Objectives

Appendix D of Annex 2

AID, AFR BUREAU, KEY MISSION STRATEGIC OBJECTIVES	
STRATEGIC OBJECTIVE STATEMENTS	Frequency (%) of appearance in APIs
Key Category: (With related Objectives)	
1. Reduce role of the public sector, increase its efficiency Contribute to administrative and financial stability of the government	7
2. Strengthen competitive markets to promote private sector growth Increase role of the market in allocating productive resources to private producers Remove structural constraints to agriculture-related development Establish a policy environment conducive to private agricultural production, marketings and exports	42
3. Support for long-term increases in productivity Increase portion of population with basic skills for labor force entry Increase efficiency of agricultural research, higher agricultural education and health Increase agricultural incomes thru economically use of natural resources	15
4. Promote private economic growth Create/strengthen a supportive environment for economic growth Increase the number and size of viable businesses	11
5. Promote private sector employment Increase private enterprise employment Increase off-farm employment	11

Appendix D of Annex 2 (Cont'd)

AID, AFR BUREAU, KEY MISSION STRATEGIC OBJECTIVES	
STRATEGIC OBJECTIVE STATEMENTS	Frequency (%) of appearance in APIs
6. Increase production and productivity of private sector enterprises Increase production and productivity of private enterprises, with emphasis on manufacturing, transport and agribusiness	4
7. Diversify private sector investment Diversify the private sector economy	4
8. Increase exports Increase non-traditional exports	4
9. Increase sustained agricultural growth Improve agricultural growth on a sustainable basis, and increase production, productivity and farm income in selected agricultural subsectors	42
10. Increase savings and investment Increase rural savings and volume of food crops stored	4
11. Maternal/child health Improve health status, with emphasis on child survival and reduced fertility	38
12. Family planning Increase contraceptive prevalence	12
13. AIDS prevention, control Control the spread of AIDS	3
14. Improve, expand education Improve the delivery, quality and relevance of education services	19

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Appendix E of Annex 2

AFR Bureau: Analysis of the Current Portfolio by Key Indicators

The following are synthesized from key indicators listed under both the strategic objectives and targets included in Appendix F of Annex 2, A Review of Objectives and Indicators in the AFR portfolio. The present list roughly corresponds to the LAC Bureau section of this paper, in order to facilitate comparability.

- Basic education: enrollment rates (by gender)
- Years to completion
- Quality (non-personnel expenditure/student, percent trained teachers, teacher student ratio)
- Financial sustainability, quality/relevance of curriculum

- Level of primary health care budget
- Morbidity, mortality rates
- Fully vaccinated children in at-risk categories and women of child-bearing age
- Ort/Ors availability, treatment
- Correct use of protocols in health facilities
- Fully staffed/stocked community level health centers
- Primary health care budget
- Lowered risk of HIV/AIDS

- Contraceptive prevalence rates
- Couple years of protection
- Demand for services
- Access to contraceptives

- Value added in exports
- Trade balance
- Financial market resources available to private sector
- Job created, non-agricultural sector
- Private investment
- Non-traditional exports
- Institutional, policy infrastructure for trade and investment
- Market information linkages
- Liberalization/privatization of the trade/investment/ag. mkts.
- Micro-enterprise/SME/MLE development
- Regulatory environment
- Transportation infrastructure

- Natural resources conservation and management policy
- Forest, range, crop land management
- Soil improvement

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- Agriculture production levels, yields
 - Diversification of agriculture
 - On-farm investment
 - Off-farm employment
 - Household incomes
 - Technology transfer
-
- Public sector debt management, fiscal stability
 - Domestic savings mobilization
 - Positive real interest rates
 - Elimination of price controls



Appendix F of Annex 2

**Analysis of the Current Africa Portfolio
(all objectives, target indicators)**

TRACKING PROGRAM PERFORMANCE

A Review of Objectives and Indicators

ANALYSIS OF THE AFRICA PORTFOLIO

STRATEGIC OBJECTIVES	# <u>times</u>
1. Contribute to administrative and financial stability of the gov't (Ch, Sen [no indicators]),	2
<u>Indicators:</u>	
- Publication and implementation of annual recurrent and development budgets (Ch,	
- Response to major budget obligations (Ch,	
- Budget deficit reduced (Ch,	
2. Create/reinforce a supportive environment for private sector growth (Bis, Mali, Gam,	3
<u>Indicators:</u>	
- Private sector economic growth as measured by GDP (Bis, Gam,	
- Private sector investment (Bis, Mali, Gam	
- Barriers to market entry and maintenance of operations (Bis,	
- New firms obtaining business licenses (Mali, Gam,	
- Diversified domestically produced exports (Gam,	
3. Increase private enterprise employment (K,Gh,	2
<u>Indicators:</u>	
- Real wage bill growth rate (K,	
- Formal private sector employment growth rate (K,	
- Private sector real wage growth rate (K,	
- Growth rate in private and agricultural sectors (Gh,	

4. Increase production and productivity of private enterprises, with emphasis on manufacturing, transport and agribusiness (Zai, 1

Indicators:

- Manufacturing GDP (Zai
- Capacity utilization rate of medium-sized manufacturing firms (Zai,

5. Increased role of the market in allocating productive resources to private producers (Moz 1

Indicators: None for Mozambique

Benchmarks:

- No. state farms and total hectareage divested to private commercial and family farmers (Moz
- Reduction of real subsidies and credit to state farms (Moz
- Increased private sector share of foreign exchange allocations (Moz

6. Diversify private sector economy (Bot, 1

Indicators:

- Domestic and foreign investment in non-mineral private sectors of the economy (Bot

7. Increase non-traditional exports (Togo 1

Indicators:

- Establish an export processing zone (Togo
- Promotion of export processing zone (Togo
- Private firm contracted to manage export processing zone,manage sites (Togo
- Foreign investments attracted (Togo
- Non-traditional export sector promoted (Togo

8. Increase the number and size of viable businesses (Swz, Bis 2

Indicators:

- No. new microenterprises established (Swz,

- No. producers in non-traditional commercial agricultural activities (Swz,
 - No. SMEs established, wi. significant % graduated from micro-enterprises (Swz,
 - Percentage of small enterprises graduated to medium sized (Swz,
 - No. of new small/medium enterprises established (Bis,
 - No. of new jobs created in SME subsector (Bis,
 - Incomes of participating SMEs increased (Bis,
9. Increase off-farm employment (Mwi, 1
- Indicators:
- Employment on estates increases (Mwi,
 - Employment in SMEs increases (Mwi,
 - Employment in MLEs increases (Mwi,
10. Increase portion of population with basic skills for labor force entry (Lth, 1
- Indicators:
- Enrollment of 6-12 age group in primary schools (Lth,
 - Primary school enrollment (Lth,
 - Primary schools with all 7 standards available (Lth,
 - Percent primary school enrollees completing 7th standard and Primary School Leaving Examination (Lth,
11. Increase agricultural incomes, production and food security (Zam, Ch, Mali, Bur, Nger, Lth, Mwi, Zai, K, Ug,Gh, 11
- Indicators:
- Farm family income, increase (Zam,
 - Percentage of disposable income spent on food, decrease (Zam,
 - No. of privately owned oxcarts, increase (Zam,
 - Agricultural production (Mali
 - Value of agricultural exports, including livestock (Mali
 - Employment generated by private businesses (Ch,
 - Level of production indicators (Ch,
 - Adequate self-produced food supply (Ch,
 - Food consumption (Zai, Bur
 - Gross foodcrop production (Mwi,
 - Tonnage of domestic high value crop production (Lth,

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- Output of crop yields (Nger, Zai, Mwi, K
 - Real returns to crop labor hours (Zai
 - Per capita farm production index (Bur,
 - Percent of rangeland under improved management (Lth,
 - On-farm real income (K, Zai
 - Agricultural research (Ug,
12. Increase rural savings, volume of food crops stored (Togo) 1

Indicators:

- Number of credit unions (Togo
 - Membership in credit unions (Togo
 - Outstanding savings and loans (Togo
 - Long-term delinquency (Togo
 - Number of user groups storing and marketing food crops (Togo
13. Remove structural constraints to agriculture-related development (Gui, 1

Indicators:

- Agricultural output as % of GDP (Gui,
 - Growth rate of agricultural output (Gui,
14. Establish a policy environment conducive to private agricultural production, marketing and exports (Ug, Moz,Gui,Cam,Sen, 5

Indicators:

- Human capacity building (Ug,
- Increased availability of foreign exchange (Ug,
- Enhanced development of private sector markets (Ug,
- Increased availability of production, processing and inputs for domestic market and export crops (Ug,
- Agricultural inputs delivered to smallholders at reduced cost
- Reforms in policies and administrative procedures (Ug,
- Share of marketed output channeled thru private traders (Moz,-benchmark)
- Marketing of food and cash crops (Moz-benchmark)
- Producers receive higher % of FOB price for crops (Cam

15. Increase efficiency of public services in agricultural research, higher agricultural education and health (Cam) 1

Indicators:

- Generation of economically relevant/acceptable staple food technologies at sustainable research cost (Cam,
- Policy impact of information/analytical capabilities (Cam
- Relevant student training achieved at lower/student cost (Cam

16. Improve and maintain sustainable transport infrastructure services and infrastructure (Zai, Ch,

Indicators:

- Increase flow of goods and services on roads and rivers (Zai, Ch,
- Level of freight rates on key routes (Ch

17. Sustain an effective food safety net for the urban poor and those displaced and severely affected by war and natural disasters (Moz) 1

Indicators: No indicators for Mozambique

Benchmarks:

- National food requirements relative to total supply (Moz
- Percentage of children with growth faltering (Moz,
- National infant mortality rate (Moz

18. Reduce dependence among target population groups on external food aid to meet subsistence requirements (Moz) 1

Indicators: None for Mozambique

Benchmarks:

- Reliance on local production and markets rather than emergency food aid (Moz
- Growth faltering rates (Moz

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19. Increase agricultural incomes thru economically efficient use of natural resources (Gam, 1
- Indicators:
- Soil fertility (Gam,
 - Soil conservation (Gam
 - National environmental education program (Gam
 - Management of forest land, establishment of protected areas (Gam
20. Improve health status, with emphasis on child survival and reduced fertility (Nger, Lth, Mali, Zai, Mwi, Bur, Ch, Gh, Togo, Sen 10
- Indicators:
- Infant mortality rate (Nger, Mali, Zai, Mwi, Bur,Ch, Sen,
 - Child mortality rate (Ch,
 - Infant morbidity rate (Mwi, Bur
 - Maternal mortality rate (Ch,
 - Contraceptive prevalence, (Zai,
 - Repeat visits to centers for child spacing services (Ch
 - Total fertility rate (Mwi,Gh,
21. Increase contraceptive prevalence (K,Bot,Swz, 3
- Indicators:
- Contraceptive prevalence rate (K,Bot,Swz,
 - Increased couple years of protection (K,
22. Control the spread of AIDS (Mwi 1
- Indicators:
- Incidence of STDs reduced (Mwi
 - Rate of increase in HIV Seroprevalence for representative target population (Mwi,

23. Improve delivery, quality and relevance of education services (Mali, Swz, Bot, Gh) 4

Indicators:

- Number of school children completing primary grades (Mali, Swz)
- Performance levels of graduation level students, by gender (Bot,
- Student achievement on math and English standardized tests (Swz)
- No. of tertiary enrollees in business and accounting (Swz)
- Productivity as measured by increases of participants' real salaries and promotions (Swz)
- Capital budget rate of implementation (Swz,
- Primary school retention rates (Swz,

24. Country achieves educational financial sustainability (Gh) 1

Indicators:

- 100% of primary education is financed from gov't recurrent budget by year 2000. (Gh)
- Gov't resource allocation to education and primary education, as a percentage of GDP (Gh)

TARGETS:

1. Sound macroeconomic and free market policies sustained (Gam, Zai, Moz) 3

Indicators:

- Fiscal deficit as percent of GDP (Gam, Zai)
- Balance of payments as percent of GDP (Gam,
- Inflation rate (Gam, Zai,
- Gap between official and parallel exchange rates (Zai,
- Privatization activities (Gam)
- Economic policy reforms (Gam)

2. Increased non-traditional export earnings (K, 1

Indicators:

- Increased non-traditional export earnings (K,
- Improved policy environment for exports (K,
- Expanded support services for exporters (K,

- Increased profitability of SMEs (K,
 - Improved regulatory environment & support services for SMEs (K,
3. Restore financial stability in the budget and balance of payments accounts (Gui, Sen) 2

Indicators:

- No. of civil servants (Gui,
 - Fiscal deficit as % of GDP (Gui,
 - Subsidies to parastatals (Gui,
 - Budgetary monitoring control mechanism (Gui,
 - Government procurement code (Gui,
 - Budget deficit as a % of GDP (Sen
 - Public expenditures as % of GDP (Sen
 - Balance of payments deficit as % of GDP (Sen
 - Central Bank arrears level, Gui
4. Civil service reform (Ch, 1

Indicators:

- Percent of established base salary paid to civil servants (Ch,
 - Increase in budget expenditures of key development ministries (Ch,
 - Civil servants trained (Ch
 - Gov't analysis of data from civil service census (Ch,
 - Gov't analysis of need for policy and organizational reform in the civil service (Ch,
 - Computerization of gov't payroll system (Ch
5. Expand financial market resources and availability to private sector (Mwi,Mali,Gam,Zai,Swz) 4

Indicators:

- Domestic savings and time deposits as % of GDP (Mwi,Gam,Zai
- Private/public sector domestic credit (Mwi,
- Share of private sector total domestic credit (Zai,
- Rural financial markets study (Zai,
- Baseline data established for measurement of economic impact of savings and lending (Zai
- Real interest rates in %/annum, (Gam
- Gross domestic investment/GDP increases (Mwi,
- Private/public domestic fixed investment increases (Mwi

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- Spread between lending and deposit rates (Mwi, Gam
 - Bank credit to SMEs (Mwi, Mali
 - Credit share to non-commercial (production, transformation, mkting) activities (Mali
 - First time borrowers receiving first and repeat loans (Swz
6. Develop a legal framework which strengthens the private sector (Bis, 1
- Indicators:
- Increase in business registrations, licenses (Bis,
7. Effective private-public policy dialogue to reduce regulatory and procedural constraints (Bot, 1
- Indicators:
- Public sector regulation of the private sector (Bot
8. Improved regulatory policies, laws and practices (Mali,Gam,Cam,Swz,
- Indicators:
- Laws/regulations/administrative changes enacted facilitating private sector activities (Mali, Gam, Cam,
 - Privatization of parastatals (Mali
 - Stimulation of private agricultural transport (Mali
9. Decrease fiscal burden on private sector (Mali 1
- Indicators:
- Minimum business profit and payroll tax rates (Mali
 - Elimination of all export taxes (Mali
 - Increase in number of taxpayers (Mali
10. Improve public sector fiscal performance (Mali 1
- Indicators:
- Fiscal deficit as percentage of GDP (Mali
 - Tax revenue promotion thru expansion of base & equity (Mali

11. Establish incentives to promote labor-intensive enterprises (Bot 1
- Indicators:
(None provided)
12. Increase private sector job opportunities (Mali 1
- Indicators:
- Private sector employment (Mali
13. Expand employment in SMEs/MLEs (Mwi, 1
- Indicators:
- Number of SMEs increases (by gender) (MWI,
 - Sales of SMEs/MLEs increase (Mwi,
 - Average employment per SME increases (Mwi,
 - Average wage for SME/MLE employees increase (Mwi,
14. Reduce discrepancies in input and output prices faced by estates and smallholders (Mwi, 1
- Indicators:
- Private sector sales of fertilizer increase (Mwi,
 - Private sector sales of HYV maize seed increase (Mwi,
 - Smallholder sales of burley tobacco at auction increase (Mwi,
15. Liberalize/privatize input and producer marketing with free and equal access (Gui,Cam,Gh, Sen 4
- Indicators:
- Level of private activity in import/use of agricultural inputs (Gui,Gh, Sen
 - Volume of food imports through private channels (Gui,
 - Elimination of public sector importation of subsidized fertilizer (Cam,
 - Domestic fertilizer distribution costs (Cam,
 - CIF price of fertilizer (Cam,
 - Fertilizer supplied by private sector (Sen,
 - No. employed in private sector trade of inputs (Gh,

16. Expand the private sector role in agro-pastoral marketing and continue liberalization of domestic and foreign trade regulations (Nger, 1
- Indicators:
- Quantity of exports (Nger,
 - Number of steps to conduct export formalities (Nger,
 - Level of export tax on agro-pastoral products (Nger,
 - Input subsidies as a % of delivered cost of inputs (Nger,
17. Increase livestock exports (Mali 1
- Indicators:
- Abolish export taxes and simplified procedures for livestock exports (Mali
 - Vaccination rates for livestock (Mali
 - Number of private veterinary practitioners (Mal
18. Strengthen producer and marketing organizations (Bis, Ch, 2
- Indicators:
- Functional agriculture-based associations organized and operating (Bis, Ch,
 - Assets of rural associations (Bis,
 - Participation by farmers in agriculture-based organizations (Bis,
 - Improved management of producer/mkting organizations (Bis,
 - Number of marketing options (Ch,
19. Promote participation in economic activities by community-based cooperatives (Nger) 1
- Indicators:
- No. of cooperatives engaged in commercial activities (Nger,
 - No. of cooperatives capable of producing financial statements (Nger,
 - No. of coop. participants (men/women) receiving literacy training (Nger,
 - No. and value of marketing loans extended (Nger,

20. Develop/increase village credit union system to mobilize savings and provide access to credit (Nger,Cam, 2

Indicators:

- No. of credit unions established (disaggregated by gender) (Nger,
- Number of members (Nger,Cam
- Total savings, loans (Nger,
- Loan delinquency rate (Cam
- Funds from central liquidity facility lent (Cam,

21. Provide/strengthen appropriate business and technical support services to SMEs (Bis, Mwi 2

Indicators:

- Number of SMEs receive and use appropriate management info systems (Bis, Mwi[gen].],
- Number of SMEs develop and sell new/improved products and services (Bis,
- Number of SMEs utilizing timely marketing information (Bis,
- Comparative increase in sales, employment, wages of SMEs receiving support services over those not receiving services (Mwi,
- Failure rate of SMEs receiving services reduced (Mwi,

22. Improve skills base to support private sector expansion (Bis, Gam, Bot, Swz, 4

Indicators:

- Business training of entrepreneurs, including women (Bot,Swz,
- Literacy/numeracy skills provided and in use, (Bis, Gam [gen],
- Technically trained people functioning in and managing SMEs (Bis,
- Improved management skills in SMEs (Bis,
- Number higher grade jobs filled by training present workers, by gender (Gam

23. Market-oriented policy and institutional incentives provided for rural agricultural enterprises (Zai, Moz) 2

Indicators:

- Regulations and practices restricting the inter-regional flow of agricultural commodities (Zai,Moz,
- Regulations and practices involving administrative determination of crop marketing seasons (Zai
- Compulsory cropping regulations and practices (Zai,
- Policies supporting establishment and operation of a viable food crop seed production and distribution system,
- Government refines data base on major agricultural crops (Zai,
- Timely/sound economic analysis of investment for consideration in agricultural program planning (Zai,
- Percentage of national investment budget going to agriculture (Zai,
- Wholesaling opportunities for any licensed traders (Moz-bchmk,

24. Increase agricultural production and productivity (Mali, Zai, Ch, Sen) 4

Indicators:

- Grain production rate (Mali, Sen
- Intra-annual grain price variation (Mali
- Credit extended to cooperatives (Mali
- Production/tons of specific crops (Zai,
- Real returns to specific crop labor hours (Zai
- Market surplus for specific crops (Zai
- Development of soil conservation and natural resources management technologies (Zai,
- Pest control (Ch,
- New technologies developed and adopted by farmers (Mali
- Development and adoption of a nat'l agricultural research strategy (Mali,
- Adoption of improved farming practices (Mali
- Approval of land use and forest policies favoring agro-forestry (Mali

25. Intensify smallholder production of foodcrops (Mwi, 1

Indicators:

- Increase in smallholder production of maize/unit of land (Mwi,

- Smallholder purchases of maize seed increases (Mwi,
- Smallholder purchases of fertilizer increases (Mwi,
- Smallholder use of farm credit increases (Mwi,

26. Privatization of the agriculture sector (Zam, Moz, 2

Indicators:

- Percentage increase in privately traded fertilizer (Zam,
- Increase in private milling services (Zam,
- Percentage increase in privately-traded specific crops (Zam,
- Reduced no.of parastatals involved in direct production and marketing activities (Zam
- Increased village income from wildlife mngement source (Zam,
- Divestiture of state farms 10 (Moz.-bchmk),
- Identification and analysis of issues/policies to be addressed in divestiture program (Moz-bchmk),

27. Improve agricultural market efficiency (K, 1

Indicators:

- Reduced marketing costs for maize and beans (K,
- Reduced variations in regional and seasonal maize prices (K,

28. Accelerate development and transfer of improved agricultural technologies (K, Nger, Bur, Ch, Gui, Lth, Cam, Sen 8

Indicators:

- Nature and quality of public sector services for private agriculture development (Gui,
- Level of agricultural statistics (Gui,
- Decentralization of technical information networks (Nger,
- Research undertaken tailored to small farmer needs (Bur, (Gui,
- Rate of dev't of technological packages (K, Nger,
- No. of tech. packages transferred to dissemination agencies (K, Nger,
- Farming systems/program role in research priority setting, design and implementation (Cam,
- Farmer participation in research implementation (Cam,
- Extension collaboration in research (Cam
- Adoption of new technologies (K,Nger, Ch,

- Average yields of new agricultural varieties (Nger,
 - No. of Ph.D., Masters level research staff trained (Nger, Bur.,
 - No. of research workshops (Bur
 - Level of ag. research institute participation in gov't agricultural planning and policy development (Bur,
29. Increase the availability and allocation of credit (Gui, 1
- Indicators:
- Credit available for private enterprises (Gui,
 - Interest rate policy (Gui,
 - Consistent commercial and investment codes, with equal access for the private sector (Gui
30. Liberalization/privatization of internal and external marketing of specified crops (Cam, Sen, 2
- Indicators:
- Full and open competition under free market pricing in specific crop markets, (Cam,Sen
 - competitive pricing established at all levels in specific crop marketing zones (Cam, Sen
31. Increase access to markets (Swz, 1
- Indicators:
- Domestic share of fresh produce in local markets (Swz,
 - Value of non-traditional exports (Swz,
 - Additional local businesses providing goods/services to large firms and government (Swz,
32. Increase efficiency/diversity of export marketing by establishing a privately managed free trade zone regime for domestic and foreign owned export industries (Cam, 1
- Indicators:
- Private export investments approved (Cam
 - New investments in non-traditional exports (Cam,
 - Number of government entities involved for approval of typical investment proposal (Cam

33. Reinforce/help develop policies which promote rational agricultural resource allocation, promote private production and marketing (Bis, Sen) 2

Indicators:

- A cereals policy is adopted and implemented (Bis, Sen
- Aggregate rice production is responsive to market signals (Bis,
- Crop diversification takes place in response to market opportunities, (Bis,

34. Promote small (rural) enterprise development (Gui, 1

Indicators:

- Progress of privatization program (Gui,

35. Expand, improve, maintain, finance, manage transportation infrastructure (Zai, Gui, Chad, Gh) 4

Indicators:

- Correspondence of fuel prices to import prices/distribution costs (Zai,
- User share of financial responsibility for roads (Zai
- Correspondence of annual road plans to available annual funding (Zai,
- Identification of investment options for maintenance, rehabilitation and new construction (Zai
- Ratio of increase in usage to travel time (Zai
- Tonnage on roads (Zai,
- Competition among/number of transport entities (Ch,
- Private sector share of responsibility for construction and maintenance activities (Zai,
- Delegation of authority to parastatal and regional offices for planning, construction and administration (Zai, Ch,
- Training of personnel (Ch,
- Kilometers of roads rehabilitated (Zai, Gui, Chad
- Private entrepreneurs trained to successfully bid/execute contracts to maintain feeder roads (Gh
- Short-term jobs created in rural areas on private contracts for feeder road rehabilitation (Gh

36. Reform and strengthen agricultural institutional framework (Mwi, 1

Indicators:

- Agricultural budget increases (Mwi,
- Agricultural research budget increases (Mwi,
- Fuel expenditures for extension services expand (Mwi,
- Increasing no. of smallholders adopt agroforestry techniques (Mwi,
- Increasing proportion smallholder lands devoted to HYV maize (Mwi,

37. Increase the scale, diversity and efficiency of agro-pastoral markets (Nger, 1

Indicators:

- Percent of production marketed locally and for export (Nger,
- Marketing and transportation costs (Nger,
- Farm-gate prices (Nger,

38. Decrease imports and increase domestic production of high value crops (Lth, 1

Indicators:

- Ratio of local to imported high value crops (Lth,

39. Increase land utilization on large estates (Mwi, 1

Indicators:

- Land utilization rates increase (Mwi,
- Effective average estate wage increase (Mwi,

40. Meet a percent of annual emergency food needs of those displaced and severely affected by war or natural disasters. (Moz 1

Indicators: None

Benchmark:

- Free food distribution requirements relative to donor pledges (Moz
- Stability of supply in emergency food aid pipeline (Moz

- Percentage beneficiaries in target areas who receive full rations 100 of time (Moz)

41. Increase rural employment, production capacity and cash income (Moz)

1

Indicators: None for Mozambique

Benchmarks:

- No. of households with cash income in target areas (Moz)
- No. of households with full/part-time wage-earning family members in target areas (Moz,
- Total household agricultural production for own consumption or sale in target areas.

42. Develop sustainable cost recovery and containment policies, readjust resource allocations to improve health service delivery (Nger,

1

Indicators:

- Percent of primary health care facilities implementing a cost recovery system (Nger,
- Percent of primary health care facilities with a full range of essential drugs (Nger,
- Percent of primary health care facilities with appropriate allocation of health personnel (Nger,

43. Strengthen institutional capability of public/private health institutions to increase quality/supply/delivery of primary/preventative services, including child survival (Mwi,Mali,Zai,Ch,Moz,Nger,Lth,Ug, Bur,Moz,Bot,Togo, Sen

13

Indicators:

- Primary health care budget increases in real terms (Mwi, Mali, Zai
- Improved accounting and cost control systems (Zai,
- National per capita health surveillance personnel increases (Mwi,
- National system for gathering, processing & analyzing demographic health data established (Mwi, Ch, Togo,
- Access to under-five clinics (Zai,
- Private sector provision of health services expands (Mwi, Mali

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- Village health centers established, professionally staffed (Mali, Sen
- Percentage of village pharmacies stocked with pharmaceuticals and contraceptives (Mali
- Percentage of disease episodes treated (Mali
- Infant mortality rate (Bot, Sen
- Population's use of health facilities (Ch,
- Percent of health facilities using correct malaria protocol (Nger, Mwi,
- Mortality rate due to malaria (Bur, Zai
- Percent malaria cases correctly treated (Mwi, Zai,Bur,Togo
- Percent of children treated with ORT/ORS for diarrhea in health facility and at home (Nger, Lth, Mwi, Zai,Bur, Ch,Togo,
- Mortality rate due to diarrhea (Bur, Mwi
- Percent of children fully vaccinated (Nger, Lth, Bur, Mali, Zai, Moz, Bot, Togo,
- Pregnant women completing minimum desirable prenatal visits (Ch,Bot
- Percent of women of reproductive age vaccinated/tetanus toxoid (Mali, Bur,Moz,
- Lowered risk of HIV/AIDS (Ug, Zai,
- Access to piped, potable water for targeted population (Mwi, Zai,Moz

44. Establish a drug procurement system incorporating privatization, decentralization, and cost recovery (Ch, Sen

2

Indicators:

- Decentralization decree permits local level collection of fees and retention of percentage for operations (Ch,
- Public sector pharmacy procurement of essential drugs from non-profit supply houses (Ch

45. Establish and strengthen capacity of public/private sector health and educational institutions to plan and implement AIDS control program (Mwi

1

Indicators:

- Number people receiving AIDS related services increases (Mwi,
- Number people receiving AIDS related info from community based health workers increases (Mwi,
- AIDS program integrated into preventative health care system (Mwi,
- Surveillance systems providing current & timely reporting of HIV seroprevalence and AIDS cases operational (Mwi

9

- Systemization of public reporting on the incidence of AIDS (Mwi
 - Condom sales and distribution among target population increases (Mwi
 - Knowledge of AIDS and how to prevent it increases (Mwi
 - No new incidence of HIV seroprevalence in target population (Mwi,
46. Improve health conditions (Zam, 1
- Indicator:
- Decrease average # of offsprings (Zam,
 - Birth spacing increases (Zam,
 - Reduction in rate of AIDS increase as % of sexually active population (Zam,
 - Decreased malnutrition in under-2 deaths/1000 (Zam,
 - Reduction in diseases for which immunization available, deaths/1000, age group 5-14 years (Zam,
47. Establish a national policy environment supportive of family planning (Bot, 1
- Indicators:
- Formulation of a national population strategy (Bot
 - Population incorporated into national development land (Bot
48. Anti-contraceptive law abrogated (Ch 1
- Indicator:
- Law abrogated (Ch
49. Increase contraceptive prevalence rate (Mwi, Mali,Zai,K, Cam,Gh,Togo 7
- Indicators:
- Contraceptive prevalence rate (Mwi, Mali, Zai,K,Gh,Togo 6

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50. Improve the availability of family planning services (K, Nger, Ug, Mwi, Ch, Cam, Swz) 7

Indicators:

- No. of gov't health facilities offering family planning services. (K, Mwi, Cam, Swz,
- No. of private sector and NGO service delivery points routinely offering family planning services (K, Mwi, Swz,
- No. of sites offering voluntary surgical contraception (K,
- Sub-locations with access to community-based services (K, Mwi
- Sales of contraceptives by health centers, social marketing distributors and pharmacies (K, Mwi, Cam, Swz,
- Community-based distribution of contraceptions (Swz,
- Use of modern contraceptive methods (Nger, Cam,
- Repeat visits to health centers for child-spacing services

51. Increased demand for contraceptive services (K, Bot, Swz) 3

Indicators:

- Decreased % of non-pregnant women citing lack of knowledge of contraceptive methods as constraint to use (K, Swz,
- Increased % of women knowing where services can be obtained for contraceptive methods (K, Bot,

52. Develop a supportive national education policy environment (Bot) 1

Indicators:

- National education development plan (Bot,
- Formal mechanisms and procedures to strengthen collaboration among educational departments (Bot

53. Improve financial resources for primary education (Lth, Mali)

Indicators:

- Percent government budget for MOE (Lth, Mali
- Percent MOE budget for primary schools (Lth, Mali

100

54. Improve quality, efficiency and effectiveness of primary education (Lth, Mali,Bot, Gh) 4

Indicators:

- Percent increase in no. of children enrolled in grades 1-6 (Mali
- PSLE pass rate (Lth,
- Percentage increase in girls enrolled in grades 1-6 (Mali
- Teachers and other staff receive in-service training (Mali,Lth,Bot,Gh,
- Percentage increase in number of useable classrooms (Mali
- Materials and curriculum development (Lth, Bot
- Years to produce completer of graduation year and PSLE (Lth,
- Increase accessibility of primary school (Gh
- Reduce cost of educating students until they meet established criteria in basic skills (Gh,

55. Improve alternative education program for basic skills (Lth, 1

Indicators:

- Quality of alternative skills training center (Lth,

56. Land conservation and reforestation efforts to sustain production (Gui, Nger, Lth, Zai, Sen) 5

Indicators:

- Status of national natural resource conservation and management policy (Gui,
- Level of degraded acidic soil rehabilitated (Gui,
- Level of slash and burn agricultural practices (Gui,
- Community controlled woodland management sites (Nger,
- Managed agricultural lands (Nger
- Size of protected areas (Zai,
- Funding for natural resources management (Zai

57. Maintain productivity of the mountain rangeland resource by bringing carrying capacity and herd size into closer balance. (Lth 1

Indicators:

- Changes in range condition scores (Lth,
- Percent of test areas showing improvement in range condition trends (Lth,
- Animal quality inside versus outside range mgt. areas (Lth,

58. Management of natural resources for sustained forestry, tourism and biological research (Ug 1

Indicators:

- Conservation (Ug,
- Foreign exchange generation (Ug,
- Site-specific employment generation (Ug,

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Appendix G of Annex 2

Asia Portfolio: Key Mission Strategic Objectives

Appendix G of Annex 2

AID, APRE: KEY MISSION STRATEGIC OBJECTIVES	
STRATEGIC OBJECTIVE STATEMENTS	Frequency (%) of appearance in APIs
<p>Key Category: (With related objectives)</p> <p>1. Increased non-agriculture private sector investment</p> <p>Increased non-agricultural private sector investment (Bangladesh)</p> <p>Develop a more open, market-driven system of trade and investment (Indonesia, Philippines)</p>	43
<p>2. Increased on-farm investment</p> <p>Increased private investment in agricultural production, processing and marketing (Bangladesh)</p>	14
<p>3. Savings mobilization</p> <p>Increase the scale of financial resources available for public sector and private sector investments, as reflected in (a) the combined values of bank deposits and shares on the stock market, and (b) increased assumption of infrastructure costs at the local level. (Indonesia)</p>	14
<p>4. Reduce role of the public sector</p> <p>Redefine the role of government under a more open markets/private sector economy (Indonesia)</p> <p>Promote improvements in government policies as the relate to trade (Nepal)</p> <p>Assist government to identify ways and means to provide public services through the private sector. (Thailand, Nepal)</p>	57
<p>5. Enhance competition</p> <p>Enhance competition in selected domestic markets (Sri Lanka)</p>	14

AID, APRE: KEY MISSION STRATEGIC OBJECTIVES	
STRATEGIC OBJECTIVE STATEMENTS	Frequency (%) of appearance in APIs
<p>Key Category: (With related objectives)</p> <p>6. Increased agricultural productivity</p> <p>Increase productivity in agriculture (crop diversification, expanded sustainable irrigation) (Sri Lanka)</p> <p>Strengthen key open market, pluralistic mechanisms and support systems that increase the sustainable productivity of agricultural and natural resources. (India, Nepal)</p>	43
<p>7. Protect, manage natural resources</p> <p>Sustain the natural resource base (Indonesia)</p> <p>Raise the efficiency of natural resource use (Sri Lanka)</p> <p>Increase control of groups over natural resources (Nepal)</p> <p>Promote institutional changes which give groups increased control over natural resources (Nepal)</p> <p>Establish partnerships between local and U.S. public and private sectors to find sustainable solutions to address environmental and natural resource issues. (Thailand)</p>	71
<p>8. Increased access to effective family planning and health services</p> <p>Increased access to efficient family planning and health services, including enhanced private sector participation (Bangladesh, India, Nepal, Philippines)</p>	57
<p>9. Strengthen democratic institutions</p> <p>Strengthen democratic institutions, increased voice and choice in local and national government (Bangladesh, Indonesia, Nepal)</p> <p>Promote increased political pluralism through a new constitution, reform laws, and strengthened legislative and judicial institutions (Nepal)</p>	57

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AID, APRE: KEY MISSION STRATEGIC OBJECTIVES	
STRATEGIC OBJECTIVE STATEMENTS	Frequency (%) of appearance in APIs
Key Category: (With related objectives)	
10. Promote private sector employment Redefine the role of government under a more open, market-oriented sector economy (Indonesia)	14
11. Support for long-term increases in productivity Increase market-oriented research and development (India) Assist modernization of the economy, particularly in the transition to higher-technology-based production. (Thailand) Assist government to meet its priority human capital needs (Thailand)	43

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Appendix H of Annex 2

Asia Portfolio: Analysis of Key Indicators

The following are synthesized from key indicators listed under both the strategic objectives and targets included in Appendix I of Annex 2, Analysis of the Asia Portfolio. A fuller description of these indicators is found in Appendix I of Annex 2. The present list roughly corresponds to the LAC Bureau section of this paper in order to facilitate comparability.

- Number of pilot training projects that address priority human resource needs, involving public/private sector collaboration
- Contraceptive prevalence rate
- Percentage increase of eligible couples who understand the principles of family planning services
- Percentage increase in immunizations of all at-risk children
- Percentage increase in DOH health centers delivering a broad range of family planning services
- Percentage annual increase in proportion of mothers who can correctly mix oral rehydration solution
- Percentage increase of pregnant women with tetanus toxoid immunization
- Private service sales of selected child survival goods (ORS, etc.)⁷ and services
- Number of rural clinics

- National institutions providing leadership in environmental and natural resources policy and management
- National forest lands managed on an economically and ecologically sustainable basis
- Park/conservation areas engaging local residents in management planning, decision making and implementation

- Degrees of support for free and fair elections
- Number of NGO coalitions in agroforestry, disaster preparedness
- Level of active participation by private sector associations
- Promote increased political pluralism through a new constitution, reform laws and strengthened legislative and judicial institutions
- Evidence of ability of assisted organizations to articulate the interests of their constituents (or the public at large), and to channel represented viewpoints effectively and responsibly to influence government decisions and/or public opinion

- Increase in limit of dollar amounts and time required for bank approval of loans
- Privatization of nationalized banks
- Percentage increase in lending to SMEs and women's microenterprises.

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- Percentage increase in loan repayment rates of SMEs and women microentrepreneurs
- Increased private investment in agricultural production, processing and marketing
- Improved market information
- Number of firms assisted by the Science and Technology Development Board.
- Stimulate exports

- Increased private investment in agricultural production, processing and marketing
- Level of government subsidies in the fertilizer market
- Total savings and total lending in rural banking units
- Percentage increase in the share of the private sector, in value terms, in the production and marketing of seeds
- Percentage increase in the share of the private sector, in value terms, in the production and marketing of seeds
- Percentage increase of pooled pension funds managed by professional money managers

- Annual change in private sector R&D expenditure in selected industry groups
- Number of firms assisted by the Science & Technology Development Board
- Percentage increase in private investment in the use of electricity for irrigation
- Level of government subsidies in the fertilizer market
- Increased private grain marketing over imports

Appendix I of Annex 2

Analysis of the Current Asla Portfolio (all objectives and indicators)

**TRACKING PROGRAM PERFORMANCE:
A REVIEW OF OBJECTIVES AND INDICATORS
ANALYSIS OF THE ASIA PORTFOLIO**

STRATEGIC OBJECTIVES

1. Increased non-agricultural private sector investment (Bangla 1

Indicators:

- Increase in limit of dollar amounts and time required for bank approval of loans (Bangla
- Reduction in time of duty draw back (Bangla
- Market/profit-oriented banking for private investors (Bangla
- Privatization of nationalized banks (Bangla
- Percentage increase in lending to SMEs and women's microenterprises (Bangla,
- Percentage increase in loan repayment rates of SMEs and women microentrepreneurs (Bangla

2. Increased private investment in agricultural production, processing and marketing. (Bangla 1

Indicators:

- Open world market prices (Bangla
- Increased private grain marketing over imports (Bangla,
- Percentage increase in marketing of domestic over imported fertilizer (Bangla,
- Percentage increase in private investment in the use of electricity for irrigation, agribusiness (Bangla

3. Develop a more open, market-driven system of trade and investment. (Indo, Philippines 2

Indicators:

- Level of government subsidies in the fertilizer market (Indo

- Level of poultry export growth once flock size regulations are relaxed (Indo)
- Percentage reduction of the average effective rate of protection, including the exchange rate effect. (Phil.)
- Percentage increase in the am't of credit provided at prevailing market interest rates by the private banking system outside the national capital region.
- Annual increase in real terms in the internal revenue allotments to LGUs and real property tax collections for local governments.

4. Increase the scale of financial resources available for public sector and private sector investments, as reflected in (a) the combined values of bank deposits and shares on the stock markets, and (b) increased assumption of infrastructure costs at the local level (Indo)

1

Indicators:

- Total savings and total lending in USAID-supported rural banking units (Indo)
- Average volume of debt and equity issues traded daily on the stock exchange (Indo)
- Number of new debt and equity issues available for public trading (Indo)

5. Redefine the role of government under a more open markets/private sector economy (Indonesia)

1

Indicators:

- Total amount of capital investment for urban infrastructure/services projects attributable to the private sector (Indo)
- Number of contraceptive users served by the private sector (Indo)

6. Expand employment and generate incomes in industry (Sri Lanka) 1

Indicators:

- Increase in estimated value of discounted (incremental) income streams attributable to USAID interventions (Sri Lanka)
- Increase in value of shares transferred to foreign and domestic private investors (Sri Lanka)

7. Enhance competition in selected domestic markets (Sri Lanka) 1

Indicators:

- Percentage increase in the share of the private sector, in value terms, in the production and marketing of seeds (Sri Lanka)
- Percentage increase in respondents in public opinion survey expressing confidence in financial institutions. (Sri Lanka)

8. Increase market-oriented research and development (India)

Indicators:

- Annual change in private sector R&D expenditure in selected industry groups (India)
- Private sector share in total industrial R&D expenditure of selected industry groups (India)
- Private sector R&D expenditures as a proportion of gross revenues in selected industry groups (India)

9. To assist in the modernization of the economy, particularly in the transition to higher-technology based production. (Thai)

Indicators:

- Number of firms assisted by the Science & Technology Development Board, (STDB) and agriculture technology transfer programs. (Thai)

- Progress toward sustainability of institutional mechanisms that support the commercialization of technology, as reflected in the following benchmarks:
- Legislative accomplishments leading to the establishment of a permanent STDB, and increased financial support to assure sustainability after USAID assistance (Thai)
- Budgetary resources allocated to continue the industrial R&D program and all STDB operations and programs (Thai)

10. Assist government to meet its priority human capital needs. (Thai)

Indicators:

- Number of pilot training projects that address priority human resource needs involving public/private sector collaboration, and the number of participants in such programs.
- Number of linkages initiated between U.S. and local universities oriented toward private sector manpower requirements.
- Number of students and companies with cooperative, work-study programs involving US. and local universities or secondary schools and private sector firms.

11. Promote improvements in government policies as they relate to trade, investment and the operation of the private sector (Nepal)

Indicators:

- Government reduces number of required forms paperwork, and regulation of business (Nepal)
- Establishment of joint USAID/gov't committee to review policy studies, and analyze economic trends (Nepal)

12. Assist gov't to identify ways and means to provide public services through the private sector, including privatization of state owned enterprises and capital projects development. Improve the efficiency of local financial markets, esp. in areas involving financing for infrastructure. (Thai, Phil. 2

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Indicators:

- Privatizations completed (Thai,
 - Percentage increase of pooled pension and insurance funds managed by professional money managers. (Thai
 - Time for clearance and settlements of securities transactions reduced, enabling expanding the number of transactions (Thai
 - Percentage annual completion of privatization or liquidation of government-owned corporations (Phil
 - Reduction of "factor" bias of investment incentives. (Phil.
13. Promote infrastructure that facilitates expanded private sector activity (Phil. 1

Indicators:

- Percentage annual increase in tonnage of goods shipped through selected AID-improved ports (Phil.
 - Kilometers of AID-funded roads constructed or improved annually
 - Percentage annual increase in volume of air freighted goods
14. Increased commercialization of key energy efficient technologies and adoption of market-oriented energy policies (India 1

Indicators:

- Share of improved efficiency capital goods in total sales of selected capital goods. (India
 - Annual change in total national electricity output generated using FBC boilers and co-generation (India
15. Establish a financially sound, market-oriented housing finance system that makes long-term finance available to a wide range of households, including those below the median income. (India 1

Indicators

- Change in the total loan volume by market-oriented housing finance companies (India
 - Total volume of housing credit provided by market-oriented housing finance companies to below median income households (India
16. Increase productivity in agriculture (crop diversification, expanded sustainable irrigation (Sri Lanka) 1

Indicators:

- Percentage increase in non-traditional agricultural commodities (Sri Lanka,
 - Total area of irrigated crops harvested in both planting seasons in the dry zone major and medium irrigation systems, relative to water availability (precipitation) (Sri Lanka
17. Strengthen key open market, pluralistic mechanisms and support systems that increase the sustainable productivity of agricultural and natural resources (India, Nepal) 2

Indicators:

- Number of hectares under private farm forestry (India
- Number of irrigation command areas in which water users groups have been established. (India
- Number of germ plasm samples provided to private and joint sector R&D organizations. (India)
- Total R&D expenditures by private companies in key agriculture and natural resource related industry sub-sectors, i.e. seed, fertilizer, agricultural chemical and agricultural machinery industries, and tissue culture and information services. (India
- Cash sales of non-subsistence farmers (Nepal
- Number of farmers engaging in new or significantly expanded cash crop production (Nepal

- Percentage increase in number of agro-enterprises receiving business loans from the Agricultural Development Bank (Nepal)
 - Chambers of commerce and industry establishment of a marketing and technical information facility for agro-enterprises.
 - Appointment of private sector representatives to national sector regulatory and promotion councils (Nepal)
18. Sustain the natural resource base (Indo) 1
- Indicators:
- National institutions providing leadership in environmental and natural resources policy and management (Indo)
 - National forest lands managed on an economically and ecologically sustainable basis. (Indo)
19. Raise the efficiency of natural resource use (Sri Lanka) 1
- Indicators:
- Percent increase of secondary and tertiary irrigation systems turned over to farmer organizations (Sri Lanka)
 - Percentage increase in number of land titles issued/processed (Sri Lanka)
20. Increase control of groups over natural resources (Nepal) 1
- Indicators:
- Private and leasehold forest permits granted, and forest user groups registered (Nepal)
 - Total hectares of forest land granted/leased to private users (Nepal)
 - Number of registered water user associations, and irrigation and command hectareage turned over to water users by the Dept. of Irrigation (Nepal)

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- Park/conservation areas engaging local residents in management planning, decision making and implementation (Nepal)
21. Promote institutional changes which give groups increased control over natural resources (Nepal)

Indicators:

- Implementation of draft forest legislation and issuance of regulations/operational guidance needed to facilitate hand-over or lease of forest to private groups and users (Nepal)
 - Implementation of regulations, including instructions and guidelines for turning over irrigation systems to local management systems. (Nepal)
 - Integration of new curricula and courses which emphasize community involvement and management into professional training programs (Nepal)
22. Establish partnerships and linkages between local and U.S. public and private sectors to find sustainable solutions to address environmental and natural resource issues. (Thai)

Sub-objective: Educate the general public and the gov't on critical environmental and natural resources issues.

Indicators:

- Percentage increase in public's environmental awareness of environmental awareness.

Sub-objective: Assist government to formulate and implement policies and regulations required to address environmental issues.

Indicator:

- Progress toward an environment/natural resources policy agenda. (Thai)

Sub-objective: Strengthen staff capability of selected agencies to analyze and address environmental laws and regulations. (Thai)

Indicators:

- Percentage increase in the number of environmental impact assessments
- Percentage increase in selected agencies' budgets for ENR management and education.

23. Increased access to efficient family planning and health services, including enhanced private sector participation (Bangla, India, Nepal (Philippines)).

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Indicators:

- Number of rural clinics (Bangla
- Percentage increase in couples relying on private sector for family planning services (Bangla
- Percentage increase in NGO sales of services (Bangla
- Percentage increase in private SMC cost recovery (Bangla
- NGO cost recovery plans (Bangla
- Percentage urban EPI (Bangla
- Percentage increase in EPI coverages rates for specific antigens (Nepal
- Percentage increase in effective use of SMC from ORS (Bangla,
- Percentage annual increase in proportion of mothers who can correctly mix and use oral rehydration solution (Nepal
- Percentage of couples protected by temporary family planning methods (India,
- Percentage increase in number of eligible couples with access to year-round (institutionalized) family planning services (Nepal
- Contraceptive prevalence rate (Nepal, Philippines,

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- Private service sales of selected child survival goods and services i.e. ORS packets, etc. (India)
- Percentage of increase in eligible couples who understand principles of family planning and method options (Nepal)
- Number of children under three years of age and pregnant women receiving services (India)
- Percentage increase in immunizations of all at-risk children (Phil.)
- Percentage increase in DOH health centers delivering a broad range of family planning services. (Phil.)
- Percentage increase of pregnant women with tetanus toxoid immunization (Phil.)
- Private provision of preventive and curative health services.

24. Strengthen democratic institutions, increased voice and choice in local and national government (Bangla, Indon, Nepal

3

Indicators:

- Degree of support for free and fair elections (Bangla)
- Number of NGO coalitions in agroforestry, disaster preparedness and women's markets (Bangla,
- Level of active participation by private sector associations (Bangla, Nepal,
- Time required for approval of NGOs (Bangla
- Utilization of a parliamentary service to supply background and position papers for legislators (Indo
- Evidence of ability of assisted organizations to articulate the interests of their constituents (or the public at large), and to channel represented viewpoints effectively and responsibly to influence government decisions and/or public opinion (Indo

- Level of public awareness and sympathy for open-market policy positions, as measured in public opinion surveys (Sri Lanka)
25. Promote increased political pluralism through a new constitution, reform laws, and strengthened legislative and judicial institutions (Nepal)

Indicators:

- Workshops and seminars planned, including public fora, to facilitate public debate and discussion of constitutional issues. (Nepal)
- A new multi-party constitution drafted. (Nepal)
- A free, well-managed parliamentary election, with significant technical assistance and equipment (Nepal)
- Completion of studies of property rights, contract dispute resolution, election law, habeas corpus, and eminent domain by public interest law groups. (Nepal)

ANNEX 3

**LAC STRATEGIC OBJECTIVES AND PROGRAM PERFORMANCE ASSESSMENT:
Summary Conclusions**

7. Rural/Agricultural Production:

goals = incomes; economic growth; economic diversification; exports

strategic objectives = increased rural incomes [for specific groups], increased production and yields [for specific crops and/or from specific sources], increased [non-traditional] agricultural exports (see no. 4 above)

components = technology development and dissemination, markets efficiency, microenterprise

indicators = household incomes, off-farm employment [micro-enterprise], production levels, yields, agricultural diversification, on-farm investment

program outputs = adoption of new technologies, improved service coverage, improved physical or institutional infrastructure, better trained personnel, policy changes, private provision of services

8. Alternative Development:

goals = coca replacement; maintenance of stable, democratic institutions

strategic objectives = economic diversification

components = pure substitution, modified substitution, broad economic growth

indicators = non-coca employment, non-coca exports

program outputs = investments in non-coca economic activities, negative attitudes towards narcotics, policy changes

9. Economic Policy:

goals = economic stability; accelerated and sustainable growth

strategic objectives = fiscal and monetary stability, strengthened financial markets, market-determined prices [for specific factors of production, goods and services]

components = stabilization and structural adjustment

indicators = inflation, financing of fiscal deficit, domestic savings mobilization, positive real interest rates, elimination of price controls

program outputs = policies implemented, better trained policy makers

ANNEX 4

**FY91 ASSESSMENT OF PROGRAM IMPACT:
USAID/Malawi**

FY91 Assessment of Program Impact: USAID/Malawi

I. Overview of Special Factors Affecting the USAID Program

Two short term and two long term factors have had, and will continue to have, serious implications for the implementation of the USAID program in Malawi. These implications will influence both the Mission's capacity to achieve targeted values for various indicators, as well as the specific articulation of certain objectives.

Drought seriously reduced foodcrop production during the last year. Malawi's agricultural cycle is dominated by one, long rainy season. In early 1990, during the critical maize growing season, the rains ceased, resulting in rainfall 60 percent below normal. Foodcrop production was significantly reduced, including declines in maize (-13%), rice (-4%), sorghum (-25%), millet (-9%), beans (-33%), and potatoes (-32%). Only pulse production grew (+42%). The effect was foodcrop production down to just over 80% of last year's levels, on a per capita basis. The silver lining in these statistics is that the pattern of rainfall benefitted hybrid maize which matures more quickly than traditional varieties. Thus, the Mission will carefully monitor sales and use of hybrid maize seed over the next season in an effort to determine behavioral responsiveness.

Fuel price increases resulting from the continuing Gulf crisis have placed extreme pressure on imports, trade liberalization efforts, and transport costs. Imports have been, in the words of the Reserve Bank, "abnormally high" between late 1987 and the present. Recent reports indicated that import demand was finally slackening as a result of growing inventories, and the Government was anticipating the slowdown to coincide with the final phase of import liberalization. Plans are still proceeding for the introduction of the short, negative list of imports, but the rising fuel bill has posed a significant challenge to foreign exchange availability. The impact will also be felt on the transport bill. With one of the highest CIF margins in the world, the fuel price shocks will affect the price of agricultural inputs and the competitiveness of Malawi's exports. The next few months will be telling.

Malaria continues as a major killer of infants and children: statistics now show that up to 80 percent of the childhood cases of malaria treated appropriately with chloroquine do not clear the blood of malarial parasites. The extent of this expansion of chloroquine resistant malaria was undocumented before the Mangochi Malaria Research Project results, and has significant, long term implications for the financial and technical capacity of the health care system to combat childhood malaria.

Finally, an increasingly serious health problem facing Malawi is AIDS. While the full magnitude of the problem is not yet known, results from the Johns Hopkins University sentinel study at Queen Elizabeth Central Hospital in Blantyre now indicate that nearly 23% of the women using

the hospital's ante-natal clinic are HIV seropositive. The number has been rising rapidly, and the death tally will follow closely. WHO now expects infant mortality figures to rise on the basis of pediatric AIDS, and infant and child survival will be threatened further as increasing numbers of children become orphans. Mission estimates show that Malawi's IMR has already increased from 151 in the mid-1980s to 178 by 1990. The magnitude of this problem and its implications will lead the Mission to reassess its strategic objective to reduce infant and child morbidity and mortality. A more modest rearticulation, to reduce the rate at which infant mortality is increasing, is likely.

FY 91 Assessment of Program Impact: USAID/Malawi

Section II: Program Goals and Subgoals

The goal of the USAID/Malawi program is to:

Enhance the Economic Well-Being of the Average Malawian Household

Subgoals were defined as a logical midpoint between the goal and the strategic objective levels. The Mission's subgoals are:

- (a) to raise per capita income and improve food security; and,
- (b) to improve health status and improve workforce productivity.

To help assess progress made toward achieving these subgoals, the Mission identified seven key indicators to monitor on a regular basis. These are:

(1) Real GDP Increases -- the late 1980s saw a turnaround in Malawi's economic performance. After negative or slow growth for most of the 1980s, real GDP grew by 3.3% in 1988 and 4.3% in 1989, and is estimated to grow at 4.0% for 1990.

(2) Real GDP Per Capita Increases -- following the growth mentioned above, growth rates for both 1989 and 1990 are expected to exceed population growth for real per capita GDP growth of 0.6% and 0.3%, respectively.

(3) Per Capita Food Production Increases -- foodcrop production estimates for 1989 and 1990 show the extent of the impact of the recent drought on production. Composed of estimates for maize, groundnuts, rice, beans, cassava, sorghum, millet, pulses, and potatoes, 1989 production was 2.007 million MT, while for 1990 it was only 1.733 million MT. In per capita terms, just over 80% of the 1989 volume of crops was produced in 1990. Led by a fall in maize output of 200,000 MT, virtually every food crop was adversely affected by the dryness, though mealy bug infestation and continued, though reduced, maize/groundnut relative price distortions also take a production toll. For maize, however, many have estimated that the effects of the drought would have been far worse if early maturing hybrid maize had not been planted. We hope to see that this, together with the recent breakthrough in flint hybrids, offers farmers a strong incentive to plant hybrid, and we will be monitoring this response.

(4) Infant and Child Malnutrition Decreases -- recent national level statistics (1982) suggest that there is a serious malnutrition problem among Malawi's children: 35% of all children weighed less than

80% of the normal weight for their age group, while 56% were physically stunted (2 or more standard deviations below average height for age).

(5) Infant and Child Mortality Rates Slacken -- as the following discussions detail, infant and child mortality rates are estimated to be rising, largely as a result of the expansion of chloroquine-resistant malaria (up to 80% of childhood malarial cases do not respond completely to appropriate chloroquine treatment) and pediatric AIDS. From the 151/1000 infant deaths in the mid-1980s, the number is now estimated at 178/1000, and rising rapidly.

(6) Average Wage Rate in the Rural Sector Increases -- no comprehensive estimates of rural wages were made before the recent USAID-sponsored study of the leasehold sector. Though more data is required and existing data need further analysis before an average real wage can be estimated, the following data are known for the 1989 agricultural year. Tenant remuneration averaged MK 621 annually (\$240), with the considerable standard deviation in values of MK 282 (\$109). Permanent labor consists of: adult males (70%), half of whom work for less than MK45.24 per month (\$17.53); adult females (7.6%) who earn approximately two-thirds of the male wage; and child labor (22.4%, under 15 yrs), nearly all of whom earn less than MK 20 per month (\$7.75). More information is required before an average wage estimate can be made, including the number of months permanent labor works, wages and working days of casual labor, and the effect of SMEs on rural employment and wages. When finalized, however, this information will give us a baseline as well as a better understanding of wages and the financial constraints facing the rural sector.

(7) Literacy Increases -- using primary school enrollment as a proxy for literacy, only 43% of 6- to 13-year-olds were enrolled in primary school in the 1988/89 school year. Although the number of students has grown, by 34% between 1984/85 and 1988/89, the number of primary school-aged children has grown even faster. The result is a falling proportion of the age group attending school.

It should be noted that while these indicators are important to understanding the impact and distributional effects of development in Malawi, they do not correspond directly to the USAID/Malawi program. In the case of literacy, for example, we recognize that an ability to read and write enhances one's well-being, but USAID/Malawi does not yet have a basic education portfolio. Similarly, the Mission only recently refined its agricultural objective to increasing production and productivity. Earlier objectives were cast in terms of improved research and extension services, with the hoped for, but unarticulated, production and productivity gains. As our measures of achievement change, so too will our Program continue to evolve.

STRATEGIC OBJECTIVE No. 1	Baseline Indicators	Actual and Projected		
		FY 1990	FY 1992	FY 1995
Increase Foodcrop Production and Productivity	1. National average maize production per unit of land increases (tonnes/ha) (a)	1.0	1.2	1.6
	2. Gross foodcrop production increases (million MT)	1.7	2.5	3.8
Sources: MOA Estimate, annual				
TARGET No. 1.1				
Intensify Smallholder Production of Foodcrops	1. Maize production per unit of land increases for smallholders (t/ha)	1.0	1.2	1.8
	2. Smallholder purchases of HYV maize seed increases (MT)	4.0	7.0	18.0
	3. Smallholder purchases of fertilizer increase ('000 MT)	100	110	130
	4. Smallholder use of farm credit increases (MK million) --approx 10% real increase per year	60	73	95
Sources:				
TARGET No. 1.2				
Reduce Discrepancies in Input and Output prices faced by Estates and Smallholders	1. Private sector/ADMARC sales of fertilizer increase ('000 MT)	48%	49 %	51%
	2. Private sector/ADMARC sales of HYV maize seed increase (MT)	12%	14.5%	19%
	3. Smallholder sales of burley tobacco at Auction increase (kg m)	0	3.0	4.0
	4. Reduce price differential between ADMARC and Auction for smallholder sales of burley tobacco	1991 crop will provide baseline		
Sources:				
TARGET NO. 1.3				
Increase Land Utilization on Estates Larger than 30ha	1. Land utilization rates increase: - estates 30-100ha - estates over 100ha	38%	39 %	40%
	2. Effective average estate wage rate increase	23%	25 %	28%
Sources: (1) USAID/Malawi:Mkandawire, Jaffee, and Bertoli; "Beyond Dualism"; 1990.				
TARGET NO. 1.4				
Reform and Strengthen Agricultural Institutional Framework	1. Agricultural budget/GOM budget increases: -Recurrent (%)	4.7 %	5.0 %	5.5%
	2. Agricultural Research budget increases in real terms -Recurrent (MK m)	7.0	8.5	11.5
	3. Fuel expenditures for Extension Services expand in real term (MK m)	1.5	1.8	2.4
	4. Time lapsed between conduct of the Annual Survey of Agriculture and the release of its data analysis report diminished(months)	20	18	12
	5. Increasing number of smallholders adopt agroforestry Techniques	to be statistically monitored		
	6. Increasing proportion smallholder lands devoted to HYV maize	to be statistically monitored		
Sources: Budget Documents, 1990/91				

Notes: (a) assumes fertilizer use increases annually -- to be monitored

Assessment of Program Impact: 0236J, 10/30/900

Strategic Objective Number 1: Increase Foodcrop Production and Productivity

Several additional points not captured in the above presentation of targets and indicators warrant specific mention this year:

- The Cereals Commodity Research Unit of the Ministry of Agriculture has identified two new, improved flint maize hybrids of particular importance. First, these two varieties, named MH17 and MH18, are 70% flint, thus overcoming serious problems of consumer preferences in earlier dent maize hybrids. Second, under field tests, these varieties have produced yields which averaged 200% increases over traditional varieties. The new stock is currently under seed multiplication, and is expected to be available to farmers within two maize seasons. Seed multiplication and sales are to be undertaken by the National Seed Company of Malawi, a private firm with Cargill participation.
- An Adaptive Research Team, developed under the Mission's MARE project, has, through field trials, discovered that MOA recommended levels of fertilizer application have been overstated. This challenge to conventional wisdom will be tested further, but is expected to result in a downward adjustment in recommended fertilizer applications with a significant cost reduction for Malawi's farmers.
- A private, agriculturally based firm, Lever Brothers, has embarked on a new diversification effort -- sunflowers. New to Malawi, sunflowers could well become an important oil crop important to both manufacturing and potentially to consumption of dietary fats.
- Recent advances under the MARE project to encourage a feedback loop among researchers, extension officers, and farmers is bearing fruit: the Ministry of Agriculture has decided to adopt the "Communications Project" nation-wide.
- The USAID sponsored Agricultural Training Branch of the Ministry of Agriculture has been recognized by other Ministries within the Government as an example of training excellence: the Office of the President and Cabinet has asked for workshops on training office design and strategies, while the Ministries of Health and Local Government are currently establishing their own training branches following the Agriculture model.
- And finally, in the design of the new Agricultural Sector Assistance Program, USAID/Malawi sponsored a study of the leasehold sector which presents a picture of the agricultural sector which is not nearly as sharply demarcated between smallholder and estate sectors as was previously thought. Over the 1980s, rapid registration of estate lands has come from the customary sector itself, reflecting its desires to grow burley tobacco and gain more secure tenure to its lands. The average size of registering leaseholds in 1989 was 26 ha, with registration often being undertaken by the head of an extended family which has been cultivating the land under customary tenure. As a result, rates of land utilization are markedly higher than in previous estimates. These statistics suggest that certain segments of the traditional sector -- the graduated smallholders -- have managed to join in the prosperity and productivity of Malawi's leasehold sector.

STRATEGIC OBJECTIVE No. 2	Baseline Indicators	Actual	and	Projected
		FY 1990	FY 1992	FY 1995
Increase Off-farm Employment (a)	1. Employment on estates increases 2. Employment in small and medium enterprises (SMEs) increases 3. Employment in medium and large enterprises (MLEs) increases	407,393	449,800	496,600

Sources: (3) MLE employment for 1987 -- Monthly Statistical Bulletin for June, 1990;

TARGET No. 2.1

Expand Employment in SMEs	1. Number of SMEs increases (of which female owned) 2. Sales of SMEs increase 3. Average employment per SME increases 4. Average wage for SME employees increases	will report following upcoming survey		
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Sources: Periodic SME Survey

TARGET No.2.2

Expand Employment in MLEs	1. Number of MLEs increases 2. Sales of MLEs increases (total value of output, '000MK) 3. Average real wage for MLE employees increases (MK) 4. Index General Industrial Production (1984 = 100)	78,090 70,147 81 117.5	82,000 74,400 89 125	86,250 81,300 99 136
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Sources: (1) and (2) Monthly Average Earnings for 1987 -- Monthly Statistical Bulletin for June, 1990;
(5) Monthly Statistical Bulletin, June, 1990

TARGET NO. 2.3

Expand Financial Market Resources and Availability to Private Sector	1. Domestic Savings/GDP increases (1985 to 89 average: 5.6%) 2. Private/Public Sector domestic credit increases (85-89:0.7:1)(b) 3. Gross Domestic Investment/GDP increases (85-89:12.4%) 4. Private/Public Domestic fixed Investment Increases (85-89:0.5:1) 5. Bank competition - weighted int rate spread decreases) will report following upcoming - % new lending to SMEs increases) survey	0.5% 1.11:1 18.7% 1.10:1	6.0% 1.11:1 19.0% 1.10:1	10.0% 1.13:1 20.0% 1.12:1
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Sources: Reserve Bank of Malawi, Financial and Economic Reports, Quarterly

TARGET NO. 2.4

Expand and Strengthen Business Support Services	1. Number of SMEs receiving business and technical advisory services (BAS/TAS) expands (of which female owned)) will report following upcoming survey 2. For SMEs receiving BAS/TAS services, sales, employment, and/or average wages increase more rapidly than in SMEs not receiving services) M&E system will be an integral part of upcoming SME support project 3. Failure rate of SMEs receiving BAS/TAS services reduced)			
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Sources: Periodic SME survey and routine project monitoring and reporting

Notes:

- (a) Off-farm employment defined as one's own farm and includes other rural, agricultural employment, e.g. working on estate, food processing and distribution, etc.
- (b) Excluding statutory bodies
- (c) Mission will increase reporting on gender disaggregated basis (wages, employment, ownership) through survey work.

Strategic Objective Number 2: Increase Off-farm Employment

Under the Malawi Enterprise Development (MED) program, research was recently undertaken which has given us some useful insights into the performance of the SME sector over the last few years. In updating a small sub-sample of 30 firms from the 1986 READI survey of 1383 firms, the Mission learned:

- employment in sampled SMEs grew from an average of 4.93 people in 1986 to 6.43 people in 1990, an average increase of over 30%;
- average gross sales of SME firms doubled, from MK3815 to MK7325, thereby maintaining sales in real terms despite strong competition from imports -- which more than tripled in nominal terms during this period;
- real personal wages in the sample were maintained, suggesting that, between rising employment and constant real personal wages, the real wage bill for SMEs increased dramatically over this period;
- over two-thirds of the resampled respondents had increased their capital investment over the preceding period; and,
- many respondents described rapid expansion in their subsectors in the period between surveys -- two tailoring activities in 1986 had grown to 12 by 1990; three metalworking concerns had grown to 14 by 1990 -- this is a strong pattern of growth which must be explored further.

These are exciting figures since they are among the first verifications of growth among SMEs that we have seen.

For larger firms, the signs of growth have been captured in regularly collected statistics:

- the index of general industrial production (1984 = 100) increased from 100.8 three years ago to 117.5 today, an increase of 16.6%; over the same time period electricity production, which is used principally in manufacturing and industry, increased by nearly 21%; and,
- the unit value index for domestic export production increased by almost 30% during this time, with increases in every category but led by gains in edible vegetables and root crops (81%), fish (74%), sugar (68%), and coffee (52%). These levels of increase suggest that the product became more valuable either through additional processing or through substitution of higher valued produce for lower valued produce (e.g. chili peppers in the vegetable category), both encouraging signs.

STRATEGIC OBJECTIVE No. 3	Baseline Indicators	Actual and Projected		
		FY 1990	FY 1992	FY 1995
Reduce Fertility	Total fertility rate reduced (see discussion below)	7.6		5
Sources: Periodic Demographic and Health Survey				
TARGET No. 3.1				
Increase the Contraceptive Prevalence Rate	Contraceptive prevalence rate increased	3-5%		10%
Sources: Periodic Demographic and Health Survey				
TARGET No. 3.2				
Increase the Quality, Supply, and Accessibility of Child Spacing Information (a)	1. Number of new clients receiving modern child spacing services from MCH, PHAM and NGO health facilities increases	35,000		224,000
	2. Number of people receiving child spacing services from Community Based health workers increases	to be estimated		
	3. Gross private sales of modern contraceptives increases	to be estimated		
	4. Number of clinics providing child spacing services increases	171		300
Sources: MOH Child Spacing document, 1990				

Discussion:

USAID/Malawi's HPN office feels strongly that Government of Malawi official target values should be used whenever possible, and particularly with respect to the Child Spacing program. However, achieving a Total Fertility Rate (TFR) of 5.0 by 1994 appears extremely optimistic. Instead, the office is focussing its attention on increasing the Contraceptive Prevalence Rate (CPR) to 10% by 1995. Until a Demographic Health Survey is conducted and its results analyzed, however, the official GOM target TFR of 5 will be used.

Gross private sales of modern contraceptives are not currently known. It is known, however, that only three retail chains in the country sell these devices (MPL, PTC, and Kandodo in approximately 100 outlets). Efforts will focus, therefore, not only on estimating the number of private commercial sales but also on increasing the number of private retail vendors (to approximately 700 by 1995).

The Mission will make every effort to monitor the impact of NGOs on service delivery on a regular basis.

Notes:

(a) Information and services includes devices

Assessment of Program Impact: 0252J, 11/02/90

Strategic Objective Number 3: Fertility Reduction

In 1984, knowledge and use of modern contraceptive methods was negligible according to the Malawi Family Formation Survey. However, the foundations of a policy and program infrastructure have been constructed on which increases in contraceptive use are expected.

To name a few key initiatives with which USAID is associated:

- Ministry of Health (MOH) facilities at which child spacing information and services are available have increased from 1 in 1983 to 171 in 1989;
- over 2000 health workers have received Family Planning (FP) training or orientation since 1984;
- we have planned and budgeted for the institutionalization of FP training into national MOH pre- and in-service training programs;
- a social marketing program has been designed and is set for an early 1991 launch;
- a family welfare association has been approved by Cabinet and will likely begin operations early in 1991;
- a RAPID population and development policy analysis model has been completed, people trained in its use, and seminars have been held to share the model and its policy implications;
- a community based distribution pilot project is in operation and will soon offer guidance on how best to replicate and expand family planning services at the community level;
- the first voluntary surgical contraception project is underway; and
- the supply and distribution of contraceptives has been improved and dramatically increased.

As evidence of these and other program efforts, there has been a substantial increase in knowledge among women of modern methods between 1984 and 1988 (e.g. from 4.1% to 71% for the pill); new contraceptive clients at MOH facilities increased from 2,975 in 1984 to approximately 35,258 at the end of 1989 (MOH National Child Spacing Programme document); and the modern method contraceptive prevalence rate, while still very low, has likely increased from 1% in 1984 to the 3 to 5% level in 1990 (TMCS March 1988/Srivastava February 1990 paper).

STRATEGIC OBJECTIVE No. 4	Baseline Indicators	Actual	and	Projected
		FY 1990	FY 92	FY 1995
Reduce Infant and Child Morbidity and Mortality (a)	1. Neonatal mortality decreases	48/1000		
	2. Infant mortality decreases	178/1000	see discussion	
	3. Child mortality decreases	335/1000		

Sources: Mangochi Malaria Research Project; 1990; Note that official GOM IMR is 151; see discussion which follows regarding possible rise in IMR.

TARGET No. 4.1

Strengthen the Institutional Capability of Public and Private Sector Health Institutions to Increase the Quality, Supply, and Accessibility of Primary and Preventative Services, including AIDS Control and Child Spacing	1. Total Primary health care budget increases in real terms (mMK)	1,070		
	2. Health Budget/total GOM voted budget increases (b)-Recurrent	5.7 %		
	3. National per capita health surveillance personnel increases	1:15,000	1:11,000	1:5,000
	4. National comprehensive system for gathering, processing, and analysing national demographic health established by 1992			
	5. Private sector provision of health services expands (PHAM plus NGOs)	40 %		45 %

Sources: Budget Statistics: Government Budget Documents, 1990

TARGET No. 4.2

Improving Monitoring and Treatment of Malaria	1. Percentage childhood malaria cases correctly treated at MOH facilities increases	60 %	90 %	
	2. Percentage childhood malaria cases correctly treated at home increases			not currently collected

Source:

TARGET No. 4.3

Reduce Deaths Due to Diarrheal Disease	1. Children receiving correct ORT/ORS treatment from MOH staff increases	70 %	90 %	
	2. Children receiving correct ORT/ORS treatment at home increases	60 %	65 %	
	3. Access to piped, potable water improves for targeted population			group to be identified and monitored

Sources:

Notes:
 (a) See following discussion on the impact of AIDS on infant and child deaths, and on the difficulty of disaggregating cause of statistics
 (b) Includes all expenditures: the President, Miscellaneous Statutory Bodies, Pensions and Gratuities and Public Debt, plus all voted expenditures.

Assessment of Program Impact: 0253J, 11/02/90

Strategic Object Number 4: Reduce Infant and Child Morbidity and Mortality

Malawi's infant mortality rate (IMR) and child mortality rate (CMR) are among the world's highest; those rates, however, are now thought to be rising. Based on nationwide empirical work in the mid-1980s, Malawi's IMR was estimated at 151, with a CMR of 330. Studies from the late 1980s, specifically from the Mangochi Malaria Research Project, indicate that the IMR has already risen to between 170 and 180 on a nationwide basis, and to 178 within the sampled population. This worsening arises from two areas, malaria and pediatric AIDS, and is expected to continue through the 1990s. WHO estimates that pediatric AIDS will become a, and in some countries the, major cause of death among infants and children. As a result, various experts are now calculating that IMRs and CMRs could rise by as much as 50% during the 1990s. In Malawi this means an IMR of up to 267, and a CMR of up to 495 by the year 2000.

That a rise is likely to face Malawi is unquestioned: the numbers are already increasing. HIV seroprevalence among a sub-population of urban women of reproductive age increased from 2% in 1985 to 22-23% in 1990. An estimated 30% of the children born to these women will themselves develop, and succumb to, pediatric AIDS. A large portion of the remainder face increasingly uncertain survival as the deaths of their AIDS-infected parents leaves them orphaned. Compounding these problems of survival is an increasingly pernicious chloroquine-resistant form of malaria. Transmitted by a mosquito far more likely to bite a human host over an animal, the evolving malarial parasites are increasingly resistant to traditional chloroquine treatment -- levels of resistance in excess of 80% are reported in children.

In view of these numbing statistical possibilities, USAID/Malawi's original hope to help reduce IMRs and CMRs over the next five years appears premature. Our aspirations have now taken on a sobering rearticulation: we will use whatever human and financial resources are available to help stem the expected rise in infant and child mortality.

Despite the growing magnitude of the problem, USAID/Malawi, the Government of Malawi, and other donors -- most importantly UNICEF and the World Bank -- continue to fight hard against appalling odds. Recent achievements with which USAID is closely associated include:

- establishing and maintaining a health information system which monitors malaria by recording clinic visits, hospitalizations, and malaria-associated mortality which has helped alert health personnel to the changing nature of the problem;
- establishing and maintaining an antimalarial drug effectiveness monitoring system which is helping to improve recommended drug treatments;
- through advocacy, lobbying, and financing, USAID/Malawi is associated with the first major increase in MOH established staff in years. health service delivery systems desperately require the addition of these posts; and,
- due to USAID/Malawi's involvement over the last several years, children in MOH clinics receive correct ORS/ORT treatment 70% of the time (up from 42% just two years ago) and the percentage of the rural population having access to piped water increased to an estimated 15% by 1990.

STRATEGIC OBJECTIVE No. 5	Baseline Indicators	Actual and Projected		
		FY 1990	FY 1992	FY 1995
Control the Spread of AIDS	<ol style="list-style-type: none"> 1. Incidence of STDs reduced 2. Rate of increase in HIV Seroprevalence for representative target population does not exceed 2% 	to be estimated 2%	2%	2%

Source: (2) HIV Seroprevalence among urban, pregnant women;
Johns Hopkins University: HIV/AIDS sentinel study at Queen Elizabeth Hospital, Blantyre.

TARGET No. 5.1

Establish and Strengthen the Capacity of Public and Private Sector Health Institutions to Plan and Implement AIDS Control Program (ACP)	1. Number people receiving AIDS-related services and information from MOH and PHAM facilities increases	not currently collected
	2. Number people receiving AIDS related information from Community based Health workers increases	not currently collected
	3. AIDS Program integrated into preventative health care systems by 1992	operational by 1992
	4. Surveillance systems providing current and timely reporting of HIV Seroprevalence and AIDS cases operational by 1991	established by 1991
	5. Public reporting on the incidence of AIDS undertaken and regularized by 1991	regularized by 1991
	6. Condom sales and distribution among target population increases	not currently collected

Source:

TARGET No. 5.2

Increase Knowledge and Practices Associated with the Prevention of STDs and AIDS among Schools Age Children	1. Knowledge of AIDS and how to prevent it increases: number of courses and pamphlets distributed in schools increases	system to be established
	2. No new incidence of HIV seroprevalence in target population of young people by 1995 (target group and method of sampling to be determined in conjunction with Ministry of Health)	system to be established

Source:

One of the most tragic aspects of the current AIDS epidemic is its impact on infant on child mortality. With one of the world's highest infant mortality rates (IMR) already, AIDS is expected to push the numbers 30 to 50% higher -- from the currently estimated range of 170/180 to up to 270 by 2000. Approximately 150,000 children are expected to die from the disease by 2000 (Elizabeth Preble; "Impact of HIV/AIDS on African Children"; Social Science Medicine; Vol. 31, No. 6). In light of these estimated increases, the USAID/Malawi program, focussed on malaria and diarrheal disease control as well as on AIDS prevention information, is expected to help reduce the rate of increase in the IMR.

In this, local and international experts agree that it will not be feasible to disaggregate IMR or Child Mortality Ratio (CMRs) by cause to allow, for example, mortality due to malaria or diarrhea to be monitored separately from mortality due to AIDS.

The AIDS Control Program (ACP) of the GOM does not have quantified targets related to reducing the number of AIDS cases or HIV Seroprevalence. Current efforts address the needs associated with establishing the ACP, including analysis of the problem. USAID/Malawi will work with the ACP in this area, particularly with respect to children, and then help establish target values. The Mission will also work with the ACP to encourage their surveillance of the disease through random sampling of the target groups.

Objective Number 5: AIDS Control

The first confirmed case of AIDS in Malawi was reported in 1985. At the end of 1990 there will likely be 15,000 confirmed cases. HIV seroprevalence among one sub-population of urban women in the reproductive age group rose from 2% in 1985 to 22-23% in 1990 (Johns Hopkins University Research on HIV/AIDS at Queen Elizabeth Central Hospital). Almost 10% of all adults in Malawi over the age of 15 are thought to be HIV positive (unofficial estimate, 1990). As a result, infant and child mortality rates, already among the world's highest, are believed to have increased to the 170-180/1000 range (see earlier discussion on Strategic Objective Number 4).

USAID/Malawi is one of the main donors to the Government of Malawi's AIDS Control Program (ACP). Achievements with which USAID is associated include:

- development of initial AIDS policies and control program design;
- an increase in the number of condoms distributed by the ACP from 0 in 1987/88 to approximately 14 million in 1990;
- the design of a computerized HIV/AIDS monitoring and surveillance system;
- the design of an AIDS education-in-the-schools program which is ready for nationwide introduction in 1991;
- the development of a nationwide AIDS IEC program through NGOs; and
- the provision of AIDS training to over 800 health workers.

As a result of these and other efforts:

- knowledge of the condom, virtually nil in 1984, increased to 58% in 1988 and is probably substantially higher in 1990 (the 1990/91 SOMARC baseline survey should provide an updated and more detailed look at condom knowledge and use);
- general knowledge of AIDS, virtually nil in 1985, has increased to 93% in 1990 (Kishindo: AID KAB Survey); and,
- seroprevalence among 6,290 women attending antenatal clinic at Queen Elizabeth Central Hospital during the 12 month period between October 1989 and September 1990, while averaging 22.6%, at least does not appear to have been increasing at the distressing rate of increase seen between 1985 and 1989.

ANNEX 5

AFRICA BUREAU MISSION PROGRAM LOGFRAMES

ANNEX 5

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COUNTRY	MOST RECENT STRATEGIC OBJECTIVE-FY91 API	PREVIOUS STRATEGIC OBJECTIVES	COMMENTS
BOTSWANA	<ol style="list-style-type: none"> 1. Increase in the number of Batswana owned enterprises in the nonmineral sectors of the economy 2. Increase of 106,306 new jobs in the nonmineral private sector bewteen 1989/90 and 1996/97 3. Improved quality and relevance of basic education 4. Increased contraceptive prevalence rate from 30% in 1988 to 40% in 1996 	<ol style="list-style-type: none"> 1. Increased private investment in nontraditional sectors (1/90 Program Logframe) 2. Raised level of basic ecucation (1/90 Program Logframe) 3. Increased contraceptive prevalence rate (1/90 Program Logframe) 	<p>Inconsistency between the SO's to be cleared up in subsequent Mission document</p>
BURUNDI	<ol style="list-style-type: none"> 1. Improve the nutrition and welfare of small farmers in Burundi 2. Decrease Infant Mortality Rates (IMRs) by 25% 		<p>Mission due to submit CPSP in CY91 and will update SO's</p>

AFRICA BUREAU MISSION PROGRAM LOGFRAMES

COUNTRY	MOST RECENT STRATEGIC OBJECTIVE-FY91 API	PREVIOUS STRATEGIC OBJECTIVES	COMMENTS
CAMEROON	<p>1. Increase the role and efficiency of private markets</p> <p>2. Increase efficiency with which public services in agricultural (food) research, higher agricultural education and health (in 3 provinces) are provided</p>	<p>1. Develop a market-oriented private sector (FY90-92 Action Plan)</p> <p>2. Reduce the the private sector with an emphasis on agriculture (FY90-92 Action Plan)</p> <p>3. Increase the public services in agriculture, higher education, and health are provided (FY90-92 Action Plan)</p>	<p>Change in SO's not formally reviewed with Bureau</p>

AFRICA BUREAU MISSION PROGRAM LOGFRAMES

COUNTRY	MOST RECENT STRATEGIC OBJECTIVE-FY91 API	PREVIOUS STRATEGIC OBJECTIVES	COMMENTS
CHAD	<ol style="list-style-type: none"> 1. Contribute to the lower cost transport of people and goods over the Chadian road network 2. Contribute to the administrative and financial stability of the GRC to continue development-related activities 3. Increase agricultural incomes, production, and food security and develop private businesses in areas affected by USAID activities 4. Lay the groundwork for making sound investment decisions in health through support for an information system and training health workers and promoting family planning 		Mission due to submit CPSP in CY91 and will update SO's
GAMBIA	<ol style="list-style-type: none"> 1. Increase private sector investment 2. Increase agricultural incomes through the economically efficient utilization of natural resources 		SO's proposed by Mission not formally reviewed by Bureau

AFRICA BUREAU MISSION PROGRAM LOGFRAMES

COUNTRY	MOST RECENT STRATEGIC OBJECTIVE-FY91 API	PREVIOUS STRATEGIC OBJECTIVES	COMMENTS
GHANA	<ol style="list-style-type: none"> 1. Help create productive employment in the private sector, especially agriculture 2. Finance some of the costs of the Structural Adjustment Program 3. Reduce fertility rate to 6.1 by 1995 4. Establish a quality, equitable and financially sustainable primary education system in Ghana by year 2000 		Mission due to submit CPSP in CY91 and will update SO's
GUINEA BISSAU	<ol style="list-style-type: none"> 1. Create/reinforce a supportive environment for private sector growth 2. Strengthen rural entrepreneurship 		SO's based on FY 91-95 CPSP approved 5/90
GUINEA	<ol style="list-style-type: none"> 1. Remove structural constraints to agriculture-related development 2. Establish competitive agricultural marketing environment conducive to increased trading of agricultural goods 		Mission due to submit CPSP in CY91 and will update SO's

AFRICA BUREAU MISSION PROGRAM LOGFRAMES

COUNTRY	MOST RECENT STRATEGIC OBJECTIVE-FY91 API	PREVIOUS STRATEGIC OBJECTIVES	COMMENTS
KENYA	<ol style="list-style-type: none"> 1. Increase contraceptive prevalence 2. Increase agricultural productivity and farm income 3. Increase private enterprise employment while reversing the decline in real wages 	<ol style="list-style-type: none"> 3. Increase the level and productivity of private investment (FY90-95 CPSP) 	<p>Modification in third SO requested in CPSP Program</p> <p>Review SO's 1 and 2 based on FY 91-95 CPSP approved 3/90</p>
LESOTHO	<ol style="list-style-type: none"> 1. Increase portion of the population with basic skills for labor force entry 2. Improve long run sustainability and increase production in selected agricultural subsectors 3. Improve health and production of population 		<p>Mission due to submit CPSP in CY91 and will update SO's</p>

AFRICA BUREAU MISSION PROGRAM LOGFRAMES

COUNTRY	MOST RECENT STRATEGIC OBJECTIVE-FY91 API	PREVIOUS STRATEGIC OBJECTIVES	COMMENTS
MADAGASCAR	FY91 API due 1/91		Mission due to submit CPSP in CY91 and will update SO's
MALAWI	<ol style="list-style-type: none"> 1. Increase foodcrop production and productivity 2. Increase off-farm employment 3. Reduce fertility 4. Reduce infant and child morbidity and motality 5. Control the spread of AIDS 	<ol style="list-style-type: none"> 1. Increase agricultural productivity and production (FY90-95 CPSP) 	SO's based on FY90-95 CPSP approved 12/90
MALI	<ol style="list-style-type: none"> 1. Increased private sector participation in the economy 2. Increase incomes in the areas of high productive potential 3. Improve the delivery of health and education services 		AID/W review of SO's and overall Program Logframe still pending

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AFRICA BUREAU MISSION PROGRAM LOGFRAMES

COUNTRY	MOST RECENT STRATEGIC OBJECTIVE-FY91 API	PREVIOUS STRATEGIC OBJECTIVES	COMMENTS
MOZAMBIQUE	<ol style="list-style-type: none"> 1. Sustain an effective food safety net for the urban poor and those displaced and severely affected by war and natural disasters 2. Reduce, among target population groups, dependence on external food aid to meet subsistence requirements 3. Establish a policy environment conducive to private agricultural production and marketing 4. Increase the role of the market in allocating productive resources to private producers 		<p>SO's based on FY90-93 Concept Paper approved 3/90</p>
NIGER	<ol style="list-style-type: none"> 1. Increase agricultural growth on a sustainable basis 2. Increase the scale, diversity and efficiency of agro-pastoral markets 3. Increase the coverage and quality of the health care delivery system 		<p>Mission due to submit CPSP in CY91 and will update SO's</p>

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AFRICA BUREAU MISSION PROGRAM LOGFRAMES

COUNTRY	MOST RECENT STRATEGIC OBJECTIVE-FY91 API	PREVIOUS STRATEGIC OBJECTIVES	COMMENTS
RWANDA	API not received yet		Mission due to submit CPSP in CY91 and will update SO's
SENEGAL	<ol style="list-style-type: none"> 1. Increase Cereals Production 2. Promote a dynamic market economy 3. Improve family health 		Mission due to submit CPSP in CY91 and will update SO's
SWAZILAND	<ol style="list-style-type: none"> 1. Increase contraceptive prevalence rate from 17 to 30% 2. Increase the number of Swazis who effectively direct, manage, and participate in national development 3. Increase the number and size of viable Swazi-owned businesses 		SO's were presented in FY91-92 Action Plan, reviewed and approved in 9/90

AFRICA BUREAU MISSION PROGRAM LOGFRAMES

COUNTRY	MOST RECENT STRATEGIC OBJECTIVE-FY91 API	PREVIOUS STRATEGIC OBJECTIVES	COMMENTS
TANZANIA	<ol style="list-style-type: none"> 1. Increase rural road utilization 2. Increase birth-spacing practices by men and women 3. Increase the number of Tanzanian individuals in public and private sectors capable of implementing ESAP 		<p>SO's to be presented and reviewed in FY91-93 Action Plan in 2/91</p>
TOGO	<ol style="list-style-type: none"> 1. Reduce infant mortality and fertility 2. Increase rural savings and volume of food crops stored 3. Increase non-traditional exports 		<p>Mission due to submit CPSP in CY91 and will update SO's</p>

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AFRICA BUREAU MISSION PROGRAM LOGFRAMES

COUNTRY	MOST RECENT STRATEGIC OBJECTIVE-FY91 API	PREVIOUS STRATEGIC OBJECTIVES	COMMENTS
UGANDA	<ol style="list-style-type: none"> 1. Provide sustainable increases in crop yields at acceptable cost, leading to higher rural incomes 2. Demonstrate the superiority of private sector in production, distribution, and marketing, including exports 3. Increase and diversify sources of foreign exchange through, (a) support to export production, processing and marketing and (b) tourism associated with natural resource management 		Mission due to submit CPSP in CY91 and will update SO's

AFRICA BUREAU MISSION PROGRAM LOGFRAMES

COUNTRY	MOST RECENT STRATEGIC OBJECTIVE-FY91 API	PREVIOUS STRATEGIC OBJECTIVES	COMMENTS
ZAIRE	<ol style="list-style-type: none"> 1. Improve health status, with emphasis on increasing the rate of child survival and reducing the fertility rate 2. Increased sustainable crop production and productivity for domestic and export market 3. Improve the provision of sustainable transport infrastructure services and maintain road and river infrastructure 4. Increase production and productivity of private enterprises, with emphasis on manufacturing, transport, and agribusiness 	<ol style="list-style-type: none"> 1. Improve health status, with emphasis on increasing the rate of child survival and reducing the population growth rate (FY90-93 Action Plan) 2. Increase production, productivity, and rural household income, with emphasis on the Bandundu and Shaba regions (FY90-93 Action Plan) 3. Improve the sustainable transport infrastructure services and maintain road and river infrastructure, 	<p>SO's proposed by Mission in API not formally reviewed by Bureau for their differences from FY90-93 Action Plan reviewed and approved in 6/90</p>

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AFRICA BUREAU MISSION PROGRAM LOGFRAMES

COUNTRY	MOST RECENT STRATEGIC OBJECTIVE-FY91 API	PREVIOUS STRATEGIC OBJECTIVES	COMMENTS
ZAMBIA	1. Increase rural incomes	particularly in Bandundu and Shaba (FY 90-93 Action Plan)	Mission due to submit CPSP in CY91

ANNEX 6

WRITTEN COMMENTS OF WORKSHOP PARTICIPANTS

Respondent No. 1

How will these indicators or whatever reporting system that comes out of this process relate to the current agency-wide activity code/special interest code system, i.e., will the AC/SI system be taken into account? If not, how will the agency insure that the data from one does not contradict the other?

Respondent No. 2

The principal use of this system will be to inform Congress about A.I.D. activities. Thus, the "bottom-up" approach to developing the system is less efficient than determining the now empty boxes that must be filled.

The approach must include development, geo-political, drug and U.S. market perspectives. Management decisions with respect to programming development investments can more efficiently be accomplished through country program M&E efforts, conferences with field personnel and a few good studies.

Given the multi-purpose use of AID by Congress, perhaps the "PVO" model of reporting on "saved souls" is apt. In some places and respects, AID may well be more like a PVO umbrella project than a World Bank.

Respondent No. 3

1. That indicators chosen are too abstract, sky-high, and the issue of attribution to AID's efforts is not considered, i.e., they will be meaningless numbers.
2. Managerial interest at the mission level is sacrificed in selection of objectives and indicators.
3. Evaluation studies (drawn from analytic agenda) should be part and parcel of system of CDIE's reporting on "program performance."
4. How much money is CDIE willing to put into technical assistance to missions for PPIS exercises?
5. That costs and technical aspects of information collection and analysis are overlooked when considering the feasibility of selecting Agency-wide indicators.

Respondent No. 4

Concerns

We should call "time out" and take a hard look at indicators that we typically use for mission strategic objectives. I'm concerned that they may be done too much by the seat of our pants, given limited time and access to people in Mission during our TDYs. They in general may not be bad -- but could they be better? I would like to have "more intelligent" arrows in the quiver if possible.

Suggestion

Work with sector council on topic-specific working groups in Agency to discuss indicators (on the Strategic Objective level) as a means of incorporating any advances in learning. This should include issues of how to measure and some notion of "reality" in light of country capability, monies, etc.

I think it is particularly important to do this if we are going to have Agency-wide indicators (which I am uncomfortable with quite frankly) -- but even in the absence of Agency-wide indicators, it would be a good idea to take stock.

Respondent No. 5

Issues/Concerns

- Feeling that our audience (whom we are reporting to) has not been sufficiently well-defined, resulting in our not knowing exactly what reporting information they (a) want, (b) need, (c) expect.
- Concern that we not lose sight of the development issues/problems to-be-solved aspect of this indicators' exercise; I believe we need to focus much more effort on getting our objectives straight, analyzing what development problems need to be resolved, then, and only then, developing indicators to measure achievement. Otherwise, we get into the fix of indicators "driving" objectives.
- Probably most important for me is the need to develop criteria for developing comparability of measures across countries, regions and defining levels of "people level impact" in such a way that comparison across levels can be made and consistency achieved.

Respondent No. 6

With respect to information for whom and for what purpose:

We provide a lot of information to Congress via periodic reports -- aren't they getting the information they need to make the decisions that individual Congressmen are interested in? Many of these reports are related to legislative earmarks or targets. It seems to me that our discussion of some kind of an "Agency-wide" system won't have much impact on Congress with respect to allocation of resources.

Whatever happened to the "Blueprint for Development?" From my view it probably best expressed what the Agency was trying to achieve. Did it die because it did not correctly depict A.I.D., i.e., all the political and other demands placed on it. We viewed it as a central "top-down" document that missions didn't buy into? We didn't follow it up with identifying indicators by which we could measure impact. If that document was killed, how can we expect our current initiative to succeed?

Respondent No. 7

1. Strategic Objectives

Are these also Bureau/Agency goals that may be/may not be achievable? Are these vision statements? Data/information for both are available at this workshop and elsewhere.

2. Indicators

To what extent can we come up with indicators that are measurable? Environment vs. child survival. Info/data are available for areas identified here and elsewhere.

3. Logframe uses linear model to get at goal or super goal. Within this context, Bureaus can develop win/win situations for identifying not only indicators but also objectives (measurable) and indicators. Branches of hypothetical tree(s) may also have our logframes.

4. While there are other exercises planned by CDIE to cover the role of empirical evidence for go/no go situations, what is role of research in the context of this exercise. None?

Respondent No. 8

1. This evaluative process has been long going on -- this indicator exercise is nothing new - - it is an effort to "centralize" the process or bring in new constituents into the process -- not to rationalize it (let's not fool ourselves) -- it won't bring us peace, certainty, or objectivity -- we should stop expecting it.

The process of going through it is an important organizational one and will assist the obvious transition that AID is in -- it helps us communicate and reflect.

We should stop promising this -- as a panacea -- as a solution -- it certainly isn't.

2. Problem about telling people about results will not be soived by this process. Congress gets tons of information now -- issue is utilization and political reputation -- AID has had reputation for a number of reasons which indicator exercise won't help.

Problem is world global order, role of U.S., use of foreign assistance vs. pawn of national policy, etc., etc., -- indicator exercise won't change reality.

3. Indicators evolve, go in and out of "style" -- and are attached to political rhetoric -- foolish to treat them as a "product".
4. Need a language to describe our accomplishments which is full of images, beauty, emotive quality, etc. -- not indicators.
5. An understanding of a situation is complicated -- looking at a few indicators cannot hope to capture this complexity.

Respondent No. 9

One concern I have is a perception that some among the workshop participants may still question why central senior management want and need an Agency-wide Program Performance Info System. Another concern, which I perceive others having and which I share, is just how the process will be carried out of bringing about greater Agency-wide correspondence in strategic objectives and/or indicators so as to yield a meaningful and useful (e.g., to the Administrator in reporting to Congress and in making broad policy and programmatic decisions) core for an Agency-wide system (i.e., in Marty Hanratty's terms, bringing oranges and apples closer to oranges and oranges).

Third, can we tell Congress "no?"

Respondent No. 10

Notion of defining "core" program as the intersection of Bureau sets is a (probably) viable approach, but may work better if categories of countries are differentiated by level of development: that way, the area of commonality would increase as share of total program within each country grouping.

Still need to address the issue of "political" programs -- will ENE and LAC be held to same or different development standards for their ESF programs?

The time lag issue is going to be a very tough one, tougher than we think now.

The key to making this all work will be to decide early on what uses this information will be put to, and to make that clear to all info suppliers.

There is much more of a consensus that this kind of Agency-wide system is needed than I expected!

Respondent No. 11

Conclusions

- There is a great diversity of strategic objectives now within the Agency and even greater diversity of indicators.
- To develop an AID-wide system that will meet senior management and external needs, there has to be a procedure for agreeing on AID-wide objectives (and then, indicators).
- CDIE could assist in process by categorizing and synthesizing what objectives "emerge" from the Mission/Bureau "bottom-up" approach begun at the workshop.
- In addition, such a syntheses needs to consider "top down" objective statements (to be found in A/AID's Mission Statement, 4+1 initiatives, A/AID's five "target" areas) as well as external objectives set by State Department, Congress, etc. (Also, objectives of technical offices and indicators).
- One issue is how all-encompassing the objectives should be -- include all objectives, even if only one Bureau does it -- or just those areas where most/all Bureaus have objectives.

Respondent No. 12

Trends are not performance indicators.

Development theory and experience suggest that countries at similar levels of development will have similar problems. The surprising or not so surprising commonality of objective supports this.

A common set of indicators which measure performance against commonly held objectives is critical.

CDIE can control the process of common indicator development by providing consultants to assist mission/bureau development indicators.

Underlying discussion is a mistrust -- center vs. mission control question. This needs to be confronted and made transparent. Creative tension enhanced not conformity. This is the basic issue to who is responsible and for what.

If mission/bureau are to spend more time on monitoring, what is to be given up.

Respondent No. 13

1. Essential to have clarity on strategic objective(s) and targets for the performance monitoring system as basis to identify indicators and to review it to update it.
2. Essential to have a clear analytical agenda that informs strategic objectives and guides analysis/interpretation of what the indicators mean in development terms.
 - What is AID doing/how well/how strategic re: resources, strengths of the agency.
3. Desirable to build on existing system -- translate the same kinds of activities with the same descriptors cross-regions.
 - work toward more uniform use of indicators to measure the same thing -- but need to have clear criteria for identifying what is common (cf. diagram from group).
4. Efficiency/simplicity essential -- not too many indicators -- the strategic objectives should drive it.
5. Not lose sight of people level impact/human component of development.
6. To the extent possible, identify ways the earmarks could be integrated into one system rather than separate items to respond to Congress.

7. Use the reporting requirement more effectively to promote the accomplishments of the agency (e.g., in CP).
8. Systems take a long time to establish; need longer-term goals and shorter term outputs to show AID is doing something now.

Respondent No. 14

1. Indicator specification in the absence of a structure of objectives is dangerous -- as it may/is likely to lead the Agency in trivial or irrelevant directions. The AID "initiatives" will not meet this need.
2. Process of monitoring/evaluation needs to be explicitly built into discussion to greater extent than so far done (Cindy's four level chart only) -- non-participation of LAC Bureau, sense that CDIE has not yet clearly thought about and defined options for process establishment are evidence that we have got a long way to go in this area.
3. Beginning to see broader understanding of links between objectives and indicators and differences between monitoring (indicators) and evaluation.

Respondent No. 15

This gives a flavor of the diversity AID has been through. Multiple exercises like this have failed. MBO version failed. Missions are not data collection units. They don't have the time (money). They don't have the skills.

WHO MAKES THE CHOICES?

We need to be less substantively analytical (the hard part is making the choices) and more tactical -- based on our lessons of what has worked and what hasn't. DHS has worked and missions like it. CP reporting system works OK. Missions hate it -- it only gets estimates. MBO did not work. Missions could not manage it.

Management theory reinforces that those who need the data take the responsibility to collect it. If we are going to require missions to report, we had better be very strong in supporting them (like the DHS experience or better). In addition, we should have ONLY 5-10 core indicators required. Absolutely no more.

Issues

Are indicators required for all missions with a particular type of program or only those with big programs? Who decides? How?

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Isn't there some way that CDIE can be more active about getting data to keep down or avoid the requirements on missions. If in many cases Missions will have to fall back on other sources of data (e.g. government-which are weak in most cases), why not send a CDIE person out there to sit around in the Ministries and get a sense of what reports there are, what data, what those numbers really represent, etc.

Respondent No. 16

1. Understanding and/or defining what the info is going to be used for and what the Administrator and AAs think the key questions are rather than trying to constantly read their minds accurately would help flesh out the system. We know what Congress wants or doesn't want. What do the Agency's leaders want or need to know? How can we get them to say so and then look for the programmatic fit and/or gaps.
2. The issue of resource allocation based on data is serious. How to maintain project monitoring which is realistic in face of higher order info demands?
3. How to collect info on what areas are really going well and say something positive once in a while about both the Agency and the people in it who are trying to meet all the "fractionated" expectations and still do development.

Respondent No. 17

- What is the cost to field mission staff? (who are already overburdened).
- What are the financial, staffing and technical design concerns/issues about any new Agency PPI system? (The exercise is far from costless and when do laws of diminishing returns come in).
- Are there proxy indicators which are easier and less costly to attain and can serve both AID/W and Mission needs?
- Are there areas of Agency initiatives (e.g., biodiversity, global warming) where AID should be prepared to decline major participation in indicators (leave it to the NSA, NOAA, USGS, EPAs of the world)?

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Respondent No. 18

Guiding Principle: Take debate away from indicators, but toward goals.

Assume:

1. There are broad objectives the Agency has been seeking to achieve.
2. Some of these goals are better articulated at the bureau (continental) level.
3. Some of these goals are better articulated at mission (country) level.
4. Each set of goals should (is) being sought through the monitoring of performance indicators that track these goals.

Then:

5. To the degree that the Agency, the Bureau, and the missions are pursuing these goals and achieving these goals, the Congress, the GAO, and the public will be satisfied (debate may then center around the goals, not the Agency's activities or lack of direction).

Some Concerns

Q. Is there a way to aggregate objectives and indicators?

A. Yes, by taking liberties - CDIE license.

1. Report very broadly

ex. USAID has following three broad objectives:

- a) Econ Devt.
- b) Alleviation of Poverty
- c) Other thing

2. Summarize/Aggregate like a report card.

1985-1990:

72 projects/programs worldwide in 62 countries financed at level of \$400m p.a.

59% have achieved their stated targets (or 80% their stated targets).

Of the 41% of unsuccessful programs, 14% failed because of termination, etc.

(62)

Details by Bureau:

Bureau A

Country 1

Country 2

Q. Can we report aggregate indicators on broad objectives and on functional areas side by side? and earmarks? on a third side?

Respondent No. 19

Larry Implications

1. We should narrow the focus: recognize that suitable performance indicators cannot be developed for all major core areas.
2. We require more conceptual clarification about the concepts such as output indicators, performance indicators and impact indicators.
3. More attention needs to be given to the time element. For many indicators discussed and used, 5-7 years may be required before any changes can be discerned (e.g., fertility rates).
4. Commonality should not be confused with sameness. The problem which we could face is about aggregation of data generated by similar, though not identical, indicators.
5. The problems of data collection and analysis are more serious than is realized by the group.

Respondent No. 20

Friedline's comments very important: bottom-up approach can go only a certain distance; to serve the Administrator's desires (fewer things, better, identifiable results), the exercise must eventually serve as a guide to decisions - on focus; - on resource allocation.

People-level indicators are easier and necessary to all constituencies. Indicators for democratization and for private sector objectives present a serious challenge; and serve a smaller set of constituencies.

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Respondent No. 21

1. Many macro/county-level indicators can be collected/and/or managed centrally by CDIE/ESDS and by cooperating with other control data systems - D.H.S., IBRD, FAO, WHO.
2. For indicators which must come from missions. CDIE MUST provide comprehensive TA; and pre-defined data collection system or "tech package."

CONCERN -- CDIE has historically done a poor job in providing concrete, actionable technical guidance to missions re evaluation, data collection and analysis, information etc.... PPIS seems to be an improvement but CDIE must still go much further in TA for real implementation of operational data collection systems.

Respondent No. 22

Positive - Indicators are important/necessary to measure effective resource use. This is true at the project/program, portfolio (Mission sector) - Mission and Bureau levels.

Concern - Group III's Omission of Objectives. Need objectives hopefully based on development theory confirmed by analysis. Common themes misses the point, e.g., private sector is means not an end.

Concern - In reviewing the lists, with the exception of AFR, the Agency appears to be moving away from development. Again, this is a perception given the focus on means rather than ends.

Concern - While these are common themes, the indicators will vary. Even when indicators are the same, data bases vary. To develop a common framework will require considerable investment in Data Acquisition and Analysis that go beyond Mission funds.

Concern - Must be consistent with Bottom-Up/Decentralization.

Respondent No. 23

1. Need agency level goals - three or four which encompass all objectives/indicators; but at that level no indicators will accurately reflect agency performance (broad sustainable economic growth, environment, democracy).
2. Subgoals (objectives) developed at field level (mission) should be assigned to Agency level goals. Together such general statements should be constant across Missions.
3. Urban issues need inclusion or at minimum acknowledgement at mission level.
4. Indicators at program level should be similar for similar programs -- across missions.
5. Next step -- need to integrate central bureaus better into this evaluation, performance monitoring process. All work cannot be based on geographic mission basis.