

A.I.D. Initiatives Progress Update

December 1991



One of a series of initiatives of
the U.S. Agency for International Development:

The Environment Initiative

The Democracy Initiative

The Partnership for Business and Development

Family and Development

The Evaluation Initiative



U.S. AGENCY FOR
INTERNATIONAL
DEVELOPMENT

The Administrator

December 20, 1991

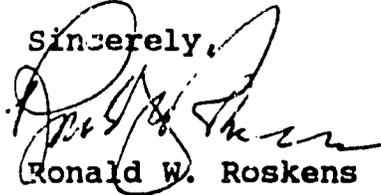
Dear Colleague:

This is the second report on the development and incorporation of the 1990 USAID initiatives into the mainstream of our programs. The first report -- issued last April -- described initial activities under the first programmatic initiatives of the environment, the business and development partnership, family and development, democracy and evaluation. (The May 1991 reorganization plan was a major result of the sixth initiative -- management -- and details have been provided in separate Reorganization Updates as well as progress reports from several task forces working on management reform.)

Since that time, considerable progress has been made in elaborating the concepts outlined in the initiatives and incorporating them into the Agency's ongoing programming process. The Democracy Initiative has led to the recently approved Democracy and Governance Policy Paper establishing a common Agency-wide framework and guidelines for the activities of the Operations Directorate. An Environmental Strategy Framework also has been developed and will be issued shortly. This will provide the basis for a common Agency approach to environmental issues. Within this framework, the Policy Directorate will be working closely with the Operations Directorate over the next several months to build from regional bureau programs to elaborate an Agency strategy. The Partnership for Business and Development has resulted in a number of specific activities, including the creation of a Capital Projects Office, a Center for Trade and Investment Services and initial consultations with the members of the Business Advisory Council. Initiating briefs are now being drafted to develop a new Trade and Development Policy Paper, which will establish a common foundation for Agency programs. The Family and Development Initiative's value is evidenced by the missions' emerging recognition of its applicability to USAID programs. The next steps in its implementation include workshops and training, including a meeting with Private Voluntary Organizations and linkages with universities.

The continuing maturation of these efforts will depend increasingly on the talents, skill, energy and commitment of field officers. Their efforts will determine how successfully we develop the objectives and perspective of the initiatives into realistic and effective assistance programs which are truly responsive to the needs of developing countries. Thus, future progress reports will not be in the form of communications from Washington, but will be seen in concrete results in the field.

Sincerely,

A handwritten signature in black ink, appearing to read "Ronald W. Roskens", written over the typed name below it.

Ronald W. Roskens

The Environment Initiative Progress Update

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THE ENVIRONMENT INITIATIVE

I. Overview

Concern for the environment and for sustainable use of resources is essential to USAID's assistance program because environmental degradation is a critical and growing constraint to development. Natural resources are essential to the economies of nearly all developing nations. Current policies and practices in most developing economies, however, have led to unsustainable consumption of natural resources. As a result, environmental degradation has impaired long-term economic growth and the potential for such growth, while deteriorating economies have further exacerbated environmental degradation (e.g., poverty has led to exploitation of marginal lands).

Heightened concern for the environment has provided the impetus for a significant expansion of USAID's environmental activities. This expansion has been encouraged by the Congress, the Administration, a vocal environmental non-governmental organization (NGO) community, and a growing number of developing countries. USAID is a leader in promoting environmental issues in the Organization for Economic Cooperation and Development (OECD). USAID's Administrator led the U.S. delegation, along with the Administrator of the Environmental Protection Agency, to the OECD Joint Ministerial meeting on environment and development in December 1991. USAID also is helping the U.S. government prepare for the U.N. Conference on Environment and Development (UNCED) to be held in Brazil in June 1992.

USAID's Environmental Initiative, which was announced in June 1990, has helped focus the Agency's environment and natural resource interventions. The initiative was an outgrowth of efforts by the Environmental Working Group, a 90-member group with representatives from all USAID geographic and central bureaus, to draw attention to and build upon the Agency's successful efforts at integrating environment and development programs.

II. Progress

A. The Agency Environmental Strategy

USAID has developed a new strategic framework for the environment to ensure a rational, focused program targeted on problems on which USAID can have the greatest impact. The framework identified five environmental problems that most directly affect USAID's developmental goals and objectives: loss of tropical forests and other habitats critical for biological diversity, unsustainable agricultural practices, environmentally-unsound energy production and use, urban and industrial pollution, and degradation and depletion of water and coastal resources.

The framework also includes three broad categories of approaches to be taken by the Agency in dealing with those constraints:

- Strengthening human and institutional capacity and building public awareness;
- Reforming unsustainable economic and environmental policies and practices; and,
- Encouraging private sector participation in promoting environmentally sound development activities.

Bureaus are tasked with focusing their efforts by using the criteria presented in the strategic framework for selecting problems and for developing solutions. Bureaus also will develop strategies that are responsive to the needs of each particular region and consistent with the Agency's global agenda. These will, in turn, be reflected in an Agency-wide environmental strategy that is both comprehensive and sensitive to the unique circumstances of each region.

B. Bureau Interest in the Environment Grows

The growing interest of the regional bureaus in environmental issues is reflected in three important conferences held during the past six months. The bureaus for Latin American and the Caribbean (LAC), Asia (ASIA) and Africa (AFR) all brought together senior staff to explore the linkage of environmental activities to other ongoing and new bureau programs. In the case of AFR, it was to provide additional focus to an existing environment and natural resource strategy; in the case of LAC and ASIA, it was to help formulate new strategies and approaches. We anticipate that all regional bureaus will develop environmental strategies that focus on key problems within each region in the coming months.

Each of the regional bureaus and R&D have developed new environmental activities during the past six months. Most significant of these is the proposed U.S.-Asia Environmental Alliance, a major inter-agency effort led by USAID that will focus on U.S., host country and private sector responses to the principal environmental challenges facing the Asian region.

Among the new environmental programs in Asia are those in the Philippines (industrial pollution) and the South Pacific (natural resource protection). Other areas are active as well: El Salvador (coastal resources and sustainable agriculture), Brazil and Mexico (global climate change), Eastern Caribbean (coastal resource management), Peru (conservation of biodiversity and income generation), Nicaragua and Bolivia (natural resource management), Jamaica (development of environmental management

organizations) and Uganda (tourism, conservation and natural resource management). There also are continuing regional efforts in Eastern Europe and a new regional program for the Near East. Urban environmental impacts, for example, are receiving more attention in several regions.

C. Cooperating With Other Donors

USAID has a history of leadership in fostering cooperation with other groups -- multilateral and bilateral donors as well as U.S. and host country non-governmental organizations, federal agencies, universities and private sector business groups. USAID is equipped to play a strong and sometimes unique role in helping host countries overcome environmental constraints to development.

The Agency is redefining its relationship with Japan on aid and the environment. USAID has proposed that the United States and Japan collaborate to help developing countries build a global network of national Centers for the Conservation and Management of Natural Resources. The centers will generate the knowledge base necessary for the rational and wise use of resources critical to environmentally-sound economic growth. Establishing the centers will require a period of extensive consultation and preparation. USAID's proposal includes a two-year study phase to be used to answer the critical questions that must be addressed.

USAID continues to be a leader in the Development Assistance Committee (DAC) of the OECD in supporting environmentally-sound development. The Agency, in addition to drafting the DAC Working Paper on Development Assistance and the Environment's first Good Practices Papers on Country Environmental Profiles and on Environmental Assessments, now has the lead on Good Practices Papers for Pest and Pesticide Management and Environmental Economics.

USAID also collaborates with other donors through the Global Environmental Facility. The Agency is planning to develop as much as \$50 million of relevant environmental projects this fiscal year as part of the U.S. contribution to the facility.

D. Staffing Issues

The Environmental Initiative commits USAID to add 20 additional environmental staff each year for three years. However, efforts to obtain additional full-time equivalent personnel ceilings to hire and assign environment and natural resource personnel have fallen short.

Today there are fewer than 40 fully trained and experienced direct-hire staff working full-time on environmental activities overseas and in Washington. This is essentially the same number that was developing and managing our environmental portfolio when

it was one-half its current size. Relief is needed, both to help manage existing programs as well as to undertake the additional tasks that should be done. The Environmental Working Group has worked closely with USAID's personnel office to develop an approach to resolving the problem.

E. Staff Strengthening

Efforts to increase the number of USAID staff receiving training in environmental issues are now evident. A second two-week environmental orientation program for U.S. Direct Hires and Foreign Service Nationals for this calendar year recently was completed. A new three-week course on environmental assessment procedures was held in November 1991. Also, work is nearly completed on environmental modules to be presented at all meetings of mission managers and technical officers. In addition, a new Environmental Discussion Group Series, sponsored by the Environmental Working Group, has begun, with presentations by renowned environmental specialists.

III. Next Steps

The text of the Agency's first Unified Environmental Report has been completed. This is a trial run for a more complete report for 1992 (for which planning has begun). The next report will substitute for most of the individual environmental reports currently required by the Congress; congressional support for the idea is included in the FY 1992 appropriations bill. The timing of the next report (March 1992) will coincide with congressional committee hearings. The report will be available for distribution at the June 1992 U.N. Conference on Environment and Development (UNCED).

The Agency is continuing to play a role on the U.S. delegation that is preparing for the 1992 UNCED in Brazil. In addition to providing a full-time consultant to the U.S. UNCED office, USAID has participated in all three of the preparatory conferences leading up to UNCED and is working on a number of development-related issues that will receive attention during the conference.

The Democracy Initiative Progress Update

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THE DEMOCRACY INITIATIVE

I. Overview

USAID has responded decisively to the four mandates of the December 1990 Democracy Initiative. Every regional bureau now has offices dedicated to strengthening democratic institutions and political pluralism. Democracy is being integrated across the broad scope of USAID activities, and the Agency now is considering progress toward democratization as one factor in setting budget levels for each country.

Recent milestones of the Democracy Initiative include: approval of a new democracy and governance policy paper, senior management agreement on including an assessment of progress in democracy in the allocation process, democracy training programs for field staff and strengthened donor coordination.

II. Progress

A. Incorporating Democracy Across the Broad Range of USAID Activities

This first of the four components of the Democracy Initiative calls for USAID to incorporate support for democratic practices and values across the broad range of its activities. Since the most recent progress report in April 1991, several specific steps have been taken.

A policy paper with implementation guidelines for the Democracy Initiative was written, circulated and vetted throughout the Agency and approved by the Administrator.

In May, USAID offered the first pilot training course for field officers engaged in promoting democratic development. The course covered U.S. government interest in democratization, theory and application of democratic governance, Agency experience, and strategy development. Applications for the course were over-subscribed by 100 percent. Because the course evaluation determined it to be a success, a second (previously unscheduled) course was offered in September 1991.

The Bureau for Asia and Private Enterprise (now two bureaus -- Asia and Private Enterprise) developed a country framework that provides a common analytic approach for missions developing country programs. A field workshop for democracy officers is planned in January.

The Bureau for Africa (AFR) issued a joint State-USAID cable providing a conceptual framework and guidelines for USAID-funded democracy and governance activities in Africa.

The Bureau for Latin America and the Caribbean (LAC) is integrating democracy-building activities into its other

development programs in a variety of ways. One recent notable success was the complete revision of the primary school curriculum of Nicaragua, including a civic education component. LAC also is exploring broadening the criminal law focus of its administration of justice program to include civil law reforms needed to improve the legal, regulatory and judicial framework for private investment.

In FY 1991, more than \$2 million was obligated to the Consortium for Legislative Development for its continued work in strengthening legislatures in Latin America. Projects for strengthening judicial institutions in Latin America are operating in most LAC countries, and the bureau has developed mechanisms for supporting those missions without administration of justice projects. LAC also provides technical assistance to observer missions and electoral systems in the region to assist in carrying out elections more openly, honestly and efficiently.

The Bureau for Research and Development (R&D) initiated a two-year cooperative agreement with the National Academy of Sciences in support of their "Issues in Democratization" program. The cooperative agreement provides a venue for exploring issues and contributing to policy and program formulation.

B. Support for Democratic Institutions

This second component of the Democracy Initiative seeks to expand USAID's commitment to strengthening democratic and pluralistic institutions.

Approximately \$185 million was obligated in support of democratic institution building in FY 1991, with an additional obligation of about \$200 million planned for FY 1992.

In AFR, several mechanisms have been established to assist the bureau and missions to plan and implement democracy and governance activities: A new \$2 million project will provide funding for small human rights and democracy activities; \$1 million has been dedicated to technical electoral processes; a contractor will provide technical assistance with field assessments, designs and evaluations; personnel have been selected for the Center for Development Information and Evaluation (CDIE) democracy and governance information center; and the first ever democracy projects in Africa were approved for Mali and Mozambique.

The Bureau for the Near East (NE) signed a \$1.6 million cooperative agreement with AMIDEAST to provide technical assistance in building democratic institutions throughout the Near East. A field workshop for Near East officers working on democracy programs is planned for December 1991 as part of a

process leading to a Near East democracy program strategy and a bureau-level democracy project. The Bureau for Europe has broadened its program to include Albania, Lithuania, Estonia and Latvia.

LAC is integrating democracy-building activities into its other development programs in a variety of ways. One recent notable success was the complete revision of the primary school curriculum of Nicaragua (eight grades), including a civic education component, in less than a year. LAC also is exploring broadening the criminal law focus of its administration of justice program to include civil law reforms needed to improve the legal, regulatory and judicial framework for private investment.

C. Assessing Progress Towards Democracy

Two central yet distinct issues of assessing progress towards democracy continue to merit consideration. First, USAID must continue to address how best to develop and use the most reliable, comprehensive and practical method for assessing a country's progress. A second issue is the development of an Agency-wide approach that is sufficiently flexible and sensitive to widely varying regional conditions. For instance, AFR and LAC already factor progress toward democratic governance into their country allocation process.

To assist in examining these issues, what is now the Directorate for Policy (POL) held a technical experts meeting in early May through an R&D cooperative agreement with the National Academy of Science. Participants included regional bureau representatives, who reviewed the different systems developed thus far, assessed the strengths and weaknesses of these competing methods, and discussed the operational implications of each approach. Following this meeting, an options memorandum was developed and cleared by the appropriate regional and central bureaus and submitted to USAID senior management.

The Agency also has worked to expand the discussion of conditionality within the donor community and with our bilateral partners.

USAID set the agenda and selected the issue of democracy, governance and popular participation as this year's topic for the Tidewater Conference, the annual meeting of the heads of the bilateral development agencies. An informal sub-theme of the conference was "political conditionality," e.g., conditioning assistance on a nation's progress toward open systems of government, and assessing progress toward democracy.

POL funded a workshop on "assessing progress toward democracy" to be held in the first quarter of 1992. The session

will be open to all members of the Development Assistance Committee of the OECD.

D. Legislation for Rapid Response Capability

The Foreign Assistance Act of 1961, as amended, constrains USAID in responding quickly to democratic opportunities because certain countries are ineligible to receive any U.S. government economic assistance (e.g., countries that have communist governments, regimes that have resulted from the overthrow of an elected government, or regimes that violate human rights.

As discussed in the April progress report, these countries are precisely the ones that the United States may want to assist quickly if there is a "democratic breakthrough" and an opportunity to support and help consolidate a movement toward more open, democratic political systems. Consequently, the pending authorization legislation provides for a Democracy Contingency Fund, with annual funding of up to \$75 million available for democratic breakthroughs subject to congressional notification.

III. Next Steps

Now that the Democracy Initiative has been operative for almost one year, our progress increasingly will be measured in terms of implementation of the initiative's four components and impact. An issue for the near term should be how best to continue implementing the Democracy Initiative and what evaluative efforts will be necessary to accurately measure our successes.

USAID also must continue to strengthen coordination and cooperation with the Department of State's regional bureaus, country teams and other agencies and departments, such as the U.S. Information Agency (USIA) and the Department of Justice. This will be particularly important in light of the congressional request for a detailed report describing the programs and activities designed to promote democracy in foreign countries that are funded by State, USAID, USIA, or any other government agencies, including funding for programs and activities of the National Endowment for Democracy.

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The Partnership For Business & Development Progress Update

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THE PARTNERSHIP FOR BUSINESS AND DEVELOPMENT INITIATIVE

I. Overview

The Partnership for Business and Development initiative is composed of six discrete activities: a Capital Projects Fund, a Business and Development Network, a Business Advisory Council, Emerging Sectors in Development, Competitiveness through Universities, and Business Internships for Emerging Markets. The current status of each follows.

II. Progress

A. The Capital Projects Fund

The Administrator's May 1991 reorganization plan established an Office of Capital Projects and Engineering Services to house support for the Capital Projects Fund within the new Bureau for Private Enterprise (PRE). The office will place special emphasis on economically- and financially-viable capital projects addressing constraints to growth and development. The reorganization plan combines engineering -- the foundation of a capital projects program -- with the capital projects office to remedy the lack of a current central focus elsewhere in the Agency.

USAID plans to request \$100 million to establish the fund in Fiscal Year (FY) 1993. The Office of Management and Budget appears favorably disposed toward the concept of a fund and toward greater capital projects financing by USAID, although the financing source remains an issue.

The Capital Projects and Engineering Office will manage the centralized Capital Projects Fund, for which the Agency plans to seek legislative authority in FY 1993. The office also will provide support to regional bureaus and missions in identifying, developing and managing capital projects regardless of the source of financing.

B. The Business and Development Network

The Business and Development Network is a conceptual framework through which USAID will engage U.S. private sector leaders, firms and organizations to mobilize U.S. resources and know-how to focus on commercial opportunities in developing countries. The key mechanism of this nation-wide network is a centralized information center housed in the newly-created Center for Trade and Investment Services (CTIS) that will have information gathering, reporting and analysis capability.

CTIS will act as a full service, comprehensive "one-stop" information center within USAID for the collection and dissemination of information to U.S. firms on programs and

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activities that support international private enterprise in developing countries.

CTIS initially will be located centrally, within USAID, to permit close integration with the Agency's regional bureaus and missions. At a later date, it may be moved outside the USAID building to facilitate easier access by the private sector.

To establish CTIS, the following actions have been taken:

- A staff of 5-6 is being recruited;
- An implementation plan addressing space, equipment, a budget, etc., is being drafted;
- A scope of work for a data processing contractor is being developed;
- A CTIS design team leader is preparing the authorization documentation;
- Discussions were held with the Trade Information Center at the Department of Commerce, and similar meetings are planned with other U.S. government agencies to avoid duplication; and,
- Similar discussions are underway with the regional bureaus of USAID to ensure their cooperation and support.

A budget of \$1.2 million is planned for the first year, principally to cover the costs of the database system (hardware and a contractor to assist with installation of the system).

C. The Business Advisory Council

The council's official charter was filed with the Congress on August 2, 1991. USAID Administrator Ronald Roskens appointed to the council 17 senior members of corporate America from a wide variety of sectors.

The council will provide the Administrator with continuous advice and counsel on USAID's progress in managing the Partnership Initiative and in enhancing U.S. international competitiveness in the developing world. In addition, the council will offer a business perspective on ways to improve the U.S. foreign assistance program to enhance the role of U.S. private enterprise in international development.

The council plans to meet twice a year during its two-year authorization. The council may determine that subcommittee meetings are necessary at other times and may request an extension of the authorization beyond two years. Management and

funding support will be provided by the Private Enterprise Bureau's Office of International Business Development.

D. Emerging Sectors in Development

A number of activities have been launched in the energy and environmental areas. The Bureau for Asia and the Bureau for Research and Development (R&D) are preparing a market assessment in the Association of Southeast Asian Nations (ASEAN) countries of environmental technologies in which the United States has a "comparative advantage" and that are particularly appropriate to those countries. This assessment will be used in future programs for the Asia region. In the same area, the Asian \$500 million mixed credit program, financed jointly with Export-Import Bank, can be credited as a major first step toward meeting this activity's goals. The mixed credit activities undertaken to date in the four participating Asian countries have been mostly targeted to the telecommunications industry, with energy second. Both are high-growth, high-margin sectors that should lead to continued cooperation between U.S. business and the participating countries.

USAID has teamed up with the Environmental Protection Agency to assess market opportunities for U.S. environment and energy technologies in Mexico. In Eastern Europe, USAID is working with the Department of Energy's Fossil Energy and Renewable Energy programs to apply U.S. clean coal and renewable energy and energy efficient (European) technologies to Eastern Europe energy problems. USAID has sponsored energy workshops in the United States and missions to Eastern Europe to explore market opportunities in these areas.

E. Competitiveness Through Universities

The Center for University Cooperation in Development was formally created in conjunction with the recent Agency reorganization as part of the Bureau for Research and Development. A University Task Force began in May 1991 to draft recommendations regarding the center's future portfolio. In November and December 1991, a broad representation from U.S. universities met in Denver and the Washington, DC, area to respond to the task force's draft report. Final recommendations will be reviewed by the Board for International Food and Agricultural Development and Economic Cooperation (BIFADEC) and passed on to USAID's Administrator.

While these general plans are being developed, the center has begun to implement the University Development Linkages Project, an activity planned in tandem with development of the Partnership for Business and Development concept. The project now has 13 cooperative agreements in place under FY. 1991 funding for linkage arrangements between U.S. and developing country

universities. Approximately the same number will be arranged for each of the next four fiscal years.

At the same time that the Linkages Project is strengthening competitiveness through universities in general, it is conforming to the specific partnership objective of creating ties between schools of business and management in the United States and developing countries. The fields of activity for four of the 13 existing cooperative agreements focus on management; one also targets the area of business.

F. Business Internship Program for Emerging Economies

The Business Internship Program will improve and sustain U.S. global competitiveness by contributing to the development of a group of highly-trained U.S. business professionals with the business skills needed to operate in the emerging markets of the developing world. At the same time, the primary objective of the U.S. student interns, recruited between the first and second years of their MBA programs, will be to strengthen business development in their host countries.

Responsibility for implementation of the Internship Program was recently assigned to PRE's Office of Emerging Markets. Initiation of a Project Identification Document will proceed following the solicitation of field comments on current ideas regarding the project. The resulting project will provide the framework within which this component will be carried out. A budget of \$1 million per year is planned for this two-year pilot project.

Previous plans to place the pilot group of interns during FY 1992 remain in place. Mechanisms are being explored to minimize the USAID management burden associated with implementing the project. Special attention will be given to the workload of field mission as their role in dealing with interns is defined. The Center for Development Information and Evaluation (CDIE) has begun researching similar intern programs and other issues that must be addressed in the detailed design of this activity, and design officers are beginning a dialogue with institutions responsible for implementing similar programs.

III. Next Steps

CTIS will be developed in stages, with initial emphasis on recruiting qualified staff and establishing the database. The center will, however, be ready to receive and answer inquiries from the business community before January.

The next Business Advisory Council meeting will be in the Spring of 1992. PRE and R&D will coordinate efforts and explore opportunities for U.S. business to participate in environmental

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technology applications in less developed countries. The Business Internship program will be outlined in a cable to the field seeking mission and regional bureau comments on its proposed design.

Family & Development Progress Update

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FAMILY AND DEVELOPMENT INITIATIVE

I. Overview

Since the April Progress Report, the broadened involvement of the central and regional bureaus and field missions has contributed much to the Family and Development Initiative. The initiative emphasizes the family system as a critical link in development, affecting as well as affected by the impact of development programs and projects. The family is not only a basic unit of analysis; it is also a fundamental unit of production and consumption around which resources are mobilized for economic development. Four areas for action -- family as an economic system, family as a social and a biological reproductive system, political choices and the family, and families at risk -- continue to provide the framework for implementing this strategy.

The initiative has been designed to encompass a range of analytic and programmatic activities that will increase the choices available to families and, as a result, contribute to economic and social development. Thus, the initiative can serve as a unifying theme for focusing programmatic efforts. In response to region or country-specific conditions, bureaus and missions can select relevant portions of the initiative around which to focus programs.

II. Progress

A. Impacts

A number of missions from the Latin America and Caribbean Bureau summarized their responses to the initiative for the annual budget submission in terms of using "the family as a starting point for analysis of what people need and as an organizing principle for mobilizing the energy of people to create progress."

USAID/Guatemala reports that the new Population and Family Health Services project will focus on improving the total health status of mothers and their children rather than working merely to reduce fertility and population growth rates. The Girls and Women in Development component of the Basic Education project is exploring new methods to change parental attitudes towards girls' formal education. Evidence shows that when girls complete primary education, families benefit from improved nutrition, health, productivity and, eventually, reduced levels of fertility.

USAID/Honduras reports that its portfolio takes into account the government of Honduras' identification of the family as the fundamental social and economic group in its 1990-94 Plan of Government.

USAID/Nicaragua identifies several projects and programs that focus on families. The demobilization, repatriation and reintegration of the ex-Resistance and their family members into productive Nicaraguan life is a prime example. Projects within the mission's quality of life objective are all aimed at strengthening the family and removing some major obstacles to its full participation in economic and social growth.

The Regional Office for Central American Programs (ROCAP) is taking a new look at the impact on women and men resulting from policies that shift employment from traditional to non-traditional agriculture exports.

The mission in Bolivia reports that social feasibility analyses of the Cochabamba Regional Development Project, the mission's principal activity in the coca growing areas, focused extensively on the family unit as the key to understanding the factors that would support a willingness to shift away from coca production.

In the Dominican Republic, a new Family Health project is being designed around the concept of the "Household Production of Health." Social analyses will study household health-seeking dynamics to alter and improve the health behaviors of the family.

The Regional Development Office/Caribbean is proposing an FY 1992 project on Health Sector Policy Initiatives that will examine the patterns of family use and payment for health care services as part of the process of formulating recommendations for encouraging further private payment for health services. The proposed FY 1992 project on Population Policy and Program Support will develop its strategies in recognition that the female-headed household is the primary family structure in the Eastern Caribbean. The proposed FY 1993 Basic Education and Training project will examine parental involvement in schools and ways to involve the community and family in changing attitudes toward technical and vocational training choices.

The Office of Women in Development (WID) supports a range of project and program activities that focus on gender in the context of intrafamily dynamics. Some of the projects that bear most directly on the initiative are in the agricultural and education sectors. In the agriculture sector, WID supports projects that seek to achieve family food security through inputs that raise women farmers' productivity, since women often are responsible for the production of subsistence food crops essential to family survival. In the area of education, WID supports research and technical assistance for improved female education since education of females results in greater child survival, family planning and improved family health and welfare.

Building on the Early Childhood Development activities funded by the Agency, the Office of Education is proposing a new integrated childhood development project entitled FAIRSTART. This project will support Agency policy and program efforts to increase child survival and development from birth to the age of entry to primary school. This will be done through strengthening the knowledge, technical and experiential base available for the formulation of policy and for the planning, dissemination and implementation of early childhood care and development activities. The Education Office has also taken the initiative into account in several other project development activities. The FY 1992 project ASANTE addresses adult literacy needs and will specifically target women with families.

The Africa Bureau, through its African Training for Leadership and Advanced Skills (ATLAS) project, convened a conference and workshop in Uganda in mid-October on "The African Family: Issues in Family Health, Population and the Environment." The two-day conference, which was attended by 75 mid-level African public and private sector participants, reviewed current development thought on the necessity of sectoral integration in the areas of health and nutrition, agriculture and natural resource management, and population and family planning. The conference also promoted the concept of the African family as an integrating unit as well as the point of human impact resulting from increasing challenges and pressures.

A smaller group of 25 participants took part in a follow-on workshop for management training in the conceptualization and design of specific projects and programs featuring intersectoral linkages in these areas. The conference and workshop addressed the theme of the family as "a critical unit of analysis" and the identification of innovative ways to increase the mobilization of family resources to stimulate economic growth and social development -- the two major dimensions of the Agency's Family and Development Initiative.

B. More Expertise Available

R&D funds the cost of a senior expert who will provide full-time technical services to accelerate implementation of the initiative. This social scientist also will be responsible for the day-to-day backstopping, coordination and monitoring of strategic and analytic activities designed to promote Agency-wide implementation of the initiative.

C. Communication and Dissemination

Presentations on the Family and Development Initiative have been made by senior R&D staff at a number of meetings of USAID staff and of outside groups. These have included participation in presentations on all of the initiatives at the Development

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Studies Program, annual meetings of regional bureau technical staff and quarterly meetings of the Research Advisory Committee and the Board on International Food, Agricultural Development and Economic Cooperation.

The Second Annual Convocation of the International Nutrition Network Exchange on May 6 and 7 was devoted to the theme of Empowering Families. Dr. Jane Jaquette of Occidental College delivered the keynote address on "Empowerment for Household Food Security." She summarized past and current work on this topic, stressing that recent increased attention to the family unit involves empowering the family. "This objective must be viewed, however, in light of the current devastation of families by modernization, which has resulted in a breakdown of values, destruction of kinship patterns and reinforcement of some patriarchal aspects of traditional family forms by the State," Jaquette said.

In concluding remarks, Norge Jerome, director of USAID's Office of Nutrition, stressed that those involved in the network need to take the rapid changes occurring in the roles and structures of families into account in their work. Jerome said, "The challenge is to find new opportunities for partnering in order to help families achieve well-being as part of their social and economic environment."

Special attention was directed to the Family Initiative during the June retreat meetings of the Advisory Committee on Voluntary Foreign Assistance (ACVFA). ACVFA revisited the topic of this and other initiatives in its September 24th meeting, discussing positive actions to help USAID move the initiative along. The committee's strategy on the initiatives will be issued in the near future. One of the proposed actions under this strategy, a meeting for Private Voluntary Organizations (PVOs) on the Family and Development Initiative jointly sponsored by USAID and ACVFA, is scheduled to take place in February.

III. Next Steps

Several events over the next few months will lead to a refinement of Agency strategy on this initiative and to a review and clarification of the extent to which the initiative will be reflected in more focused bureau and mission programs.

The Bureau for Africa has prepared a draft statement of its Approach to the Family and Development Initiative for review and comment. Consistent with the principles of programming for results of the Development Fund for Africa, the bureau has tentatively selected three areas in which it will report on its efforts and try to measure progress. Two areas are likely to be measurable in terms of their impact on people, whereas the third will be an effort to deepen the bureau's knowledge prior to

designing activities that affect peoples' lives. The three areas of focus that have been proposed are:

- Parental involvement in children's schooling;
- Expanding the role of males in planning their families; and,
- Understanding the factors involved in achieving family food security.

The draft statement discusses in some detail each problem, potential development activities to ameliorate the problems and means of tracking progress. The draft has been circulated to AFR/Washington and the field; comments will be incorporated into the bureau's statement of approach.

USAID plans to support the preparation of papers and reviews for a workshop early in 1992, "The Family: A Critical Link in Development." This workshop, which is being planned and funded through R&D, will:

- Provide a review of previous research and existing literature on specific aspects of the family in development, including examination of conditions under which the family focus is critical to development; identification of cost-effective research methodologies; and identification of critical analytical gaps.
- Identify and recommend priorities for appropriate interventions that USAID can make to facilitate the productive participation of families in the development process.

Senior-level technical USAID staff will participate in this workshop, which should provide a basis for informed and targeted discussions by Agency staff to arrive at an appropriate longer term strategy for the initiative.

The National Association of Social Workers (NASW) has sought USAID support, through the Family and Development Initiative, for the forthcoming international symposium, World Assembly '92. The theme of the meeting, "Improving the Human Condition," emphasizes building strategies by strengthening families, meeting the challenges posed by demographic changes, enhancing empowerment, developing human capital, dealing with human and physical disasters and responding to political and economic changes. The Administrator has agreed to serve on the Blue Ribbon Committee of the symposium and the Assistant Administrator of R&D has been invited to be a guest commentator in the NASW News. The Agency will be an exhibitor at the meeting and WID will be responsible for a panel session.

The Family and Development Working Group has proposed a training program for Agency staff. Discussions are under way to explore several options, including a course to be done under the Development Studies Program contract, similar to the democracy course, and a module that would be part of the Office of Training and Staff Development's USAID Initiatives Training Program.

The Evaluation Initiative Progress Update

December 1991



One of a series of initiatives of
the U.S. Agency for International Development:

The Environment Initiative

The Democracy Initiative

The Partnership for Business and Development

Family and Development

The Evaluation Initiative

THE EVALUATION INITIATIVE

I. Overview

Strengthening evaluation in the U.S. Agency for International Development is a key part of the Administrator's emphasis on management excellence. The Center for Development Information and Evaluation (CDIE) was assigned the lead role in expanding the Agency's evaluation capacity. Specifically, CDIE was asked to make evaluation more useful to senior managers for making more informed programming and policy decisions and for reporting more convincingly to Congress about the Agency's performance. In response, CDIE has nearly completed a major reorganization and expansion of functions designed to result in more comprehensive, rigorous and independent evaluations in USAID. A new Office of Evaluation within CDIE recently has been established, and additional staff and resources are being secured to undertake these expanded responsibilities.

The main elements of CDIE's strengthened and broadened evaluation mandate include responsibilities for:

- Program and Policy Assessments -- Field-based assessments and special studies focused on program and policy performance and impacts;
- Operations and Management Assessments -- Assessments of the effectiveness of key Agency-wide operational procedures and management systems for achieving development results;
- Ongoing Reviews of USAID's Portfolio Performance -- Comprehensive monitoring of program performance in major areas of the portfolio and for reporting results annually to the Administrator;
- Dissemination of Evaluation Findings -- Tailored written reports and oral presentations of key evaluation findings for the Administrator and senior management, for operating bureaus and missions, for external audiences such as congressional committees, other government agencies, the Organization for Economic Cooperation and Development (OECD) and its Development Assistance Committee (DAC), and the broader development community;
- Development of an Agency-wide Monitoring and Reporting System on Program Performance -- A system to track, measure and report on program performance USAID-wide.
- Strengthened Mission and Bureau Evaluation Systems -- A program of expanded technical assistance and guidance to improve the design and implementation of program

performance evaluation systems and periodic review of progress achieved.

- Improved Evaluation and Data Collection Methodologies -- Improved evaluation research and data collection methodologies used by the Agency and standards for more rigorous, empirically-based and objective evaluations; and,
- Evaluation Training Courses -- Development of training courses and workshops for USAID staff and host country counterparts in innovative evaluation methods and program performance information systems.

II. Progress

A. Implementing the Administrator's Evaluation Agenda of Program and Operations Assessments

In the fall of 1990, CDIE drafted an agenda proposing topics for CDIE's FY 1991-1993 evaluation work plan. After obtaining broad support and input from USAID bureaus, operating units and numerous Missions and receiving several responses from Congress, the evaluation agenda was approved by USAID Administrator Roskens and distributed widely in January 1991.

The FY 1991-1993 agenda, which will be revised and updated annually, included plans to complete eight major field-based assessments of Agency programs, six assessments of key operational and management systems issues and eight "desk studies" over the next three years. Although unanticipated and lengthy delays in approval of the reorganization and in recruitment of staff have affected CDIE's capacity to implement the Evaluation Agenda, considerable progress has, nevertheless, been made.

Field-based program assessments have been completed in all regions. An assessment of export and investment promotion programs in the Latin American and the Caribbean region was completed and reports finalized. A second phase of assessments, focusing on Asian business promotion programs, was designed over the summer and is now underway. Evaluation teams have finished their fieldwork in India, Indonesia and Thailand.

Building on four child survival program assessments completed earlier, CDIE initiated and completed a fifth assessment in Haiti this summer. Fieldwork also was completed on the first two assessments of family planning programs, in Kenya and the Philippines.

Finally, fieldwork and a draft evaluation report have been completed on USAID's experience in supporting democratic

initiatives in Eastern Europe. CDIE also has completed a draft synthesis report on the previous series of policy reform program evaluations in African countries. Looking ahead for 1992, contracting work is in process on the field assessment of USAID's counter-narcotic efforts.

Progress was made on the operations and management assessments. Design and methodology have been developed for the "In-Country Presence Study," a major assessment of USAID's in-country field presence. Teams have been recruited and currently are conducting field work in ten USAID missions. CDIE also has contracted the services of an outside expert to review and assess USAID's experience to date with performance-based budgeting.

Desk studies are underway on USAID's experience with capital projects, which will be followed by field work in selected countries, "Safety Net" programs aimed at lessening the negative impacts of policy reform programs, export promotion in Korea, and democratic initiatives. The latter study has already been used for OECD/DAC meetings on this subject.

CDIE will brief Agency leadership on the results of field-based program and management assessments soon after field work is completed. For example, a briefing on the findings of the export promotion study and the preliminary results of the in-country presence study will be presented in February 1992.

CDIE also has prepared, competed and selected two major contracts to provide needed services in support of CDIE's Evaluation Agenda, including:

- The Evaluation Technical Services Contract -- to provide specialized technical and evaluation expertise in support of CDIE's agenda of program and operational assessments and related evaluation studies; and,
- Publications Support Contract -- to provide editing, word processing, desk top publishing, graphic artist and other services for publishing evaluation reports.

B. Progress in Developing PRISM

As part of the Evaluation Initiative, CDIE was asked to develop a comprehensive, Agency-wide program performance information system to better inform program, policy and budget decision-making at all organizational levels. Substantial progress has been made over the past nine months to define, plan and implement the PRISM system. Since the Administrator's approval of the PRISM plan in April 1991, CDIE has mobilized a wide range of Agency staff that has been working energetically to further develop and implement the system. CDIE also has

sponsored a series of Agency-wide briefings on what PRISM is, how it will be implemented and who can use it.

The development of an initial PRISM database has begun based on abstracting and coding strategic objectives provided by USAID missions. The first phase of building the PRISM database is nearly complete. This database consists of more than 250 strategic objectives and more than 1,000 indicators from about 50 missions. This database has provided a starting point to:

(1) Identify Key Activities -- By "clustering" or grouping many mission strategic objectives into a few broad categories, we can begin to see a clearer picture of what USAID is trying to accomplish in terms of specific priorities and goals;

(2) Review Program Targets -- The database provides a unique overview of USAID's developmental agenda, i.e., what missions expect to accomplish over the next 3-7 years; and,

(3) Strengthen Systems -- Better linkage of operational-level PRISM subsystems for data entry, reporting and analysis is possible because the PRISM database provides a comprehensive structure for Mission strategic objectives, indicators and targets.

Three developmental workshops for USAID Washington and field staff were conducted during July and August. Participants helped CDIE to identify 19 clusters of Agency-wide strategic objectives that could provide a basis for assessing program performance. These clusters were further aggregated into four broad Agency-wide themes. CDIE selected nine priority groupings from the larger set for initial emphasis in the first round of PRISM development. Finally, CDIE used the workshops to establish criteria for selecting performance indicators such as clarity, commonality and practicality.

As a by-product of the summer PRISM workshops, CDIE sponsored four ad hoc working groups representing a broad range of Agency staff to further clarify the 19 clusters and four themes: Private Sector Economic Growth, Human Development, Democratization and Environment.

CDIE successfully designed, competed and selected a PRISM support contract that will substantially expand CDIE's technical assistance and training capabilities. This will help strengthen the evaluation systems of missions and operational units, as well as support implementation of the Agency-wide PRISM system.

CDIE chaired the Programming Reform Task Force Subgroup on Performance Measurement, successfully integrating PRISM as a key

component to streamline Agency programming and to reorient USAID toward managing for results.

C. Reorganizing CDIE and Recruiting Staff

The Administrator approved and announced a plan to strengthen the evaluation function at the end of October 1990. Because of delays arising from the USAID reorganization, progress in reorganizing CDIE to implement the evaluation initiative has proceeded more slowly than anticipated. Nevertheless, some important milestones have been achieved:

Under the approved CDIE reorganization, the two former Divisions of Development Information and Evaluation have been upgraded to offices. Within the new Office of Evaluation, two divisions have been established: a Program and Operations Assessments Division (POA) and a Systems Design and Support Division (SDS). POA will conduct field-based assessments and special studies of the Agency's programs and operations, and SDS will strengthen the Agency's evaluation function at all levels by providing technical assistance, training, guidance, system integration and quality control of Agency evaluations.

On the recruitment front, five foreign service and two civil service officers recently have joined CDIE's Evaluation Office. With the reorganization recently approved, CDIE is beginning to fill the remaining vacancies.

III. Next Steps

CDIE continues to finalize plans for carrying out the evaluations and studies cited earlier. CDIE also will update its evaluation plan as part of the "agenda concept." In addition, CDIE carried out the following specific activities in December:

- Workshop Co-sponsored -- CDIE and the Bureau for Research and Development jointly sponsored a National Research Council workshop on how to measure the performance of research programs.
- Preparation for Reporting on PRISM Started -- CDIE prepared a briefing on the status of the Agency-wide Program Performance Information System for the Administrator. The report summarized the progress made in developing PRISM and illustrated its use, providing indicators and data for 4-6 selected Agency strategic objectives. The briefing provided an opportunity for senior management to compare the Agency-wide strategic objectives that emerge from strategic planning efforts at the mission, bureau and office levels with their own views about Agency objectives. The Administrator's review meeting was preceded by a meeting of the PRISM

Coordinating Committee, chaired by the Policy Directorate and composed of selected senior representatives of the Operations and Finance and Administration Directorates.