

The Agency's Strategic Framework and Indicators *1995-1996*

Agency
Mission

Agency
Goal

Agency
Goal

Agency
Objective

Agency
Objective

Agency
Program
Approaches

Agency
Program
Approaches

**U.S. Agency for International Development
Performance Measurement and Evaluation Division
Center for Development Information and Evaluation
Bureau for Policy and Program Coordination**

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The Strategic Framework 1995/96

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- c. The Indicators for Agency Goals and Objectives for 1995/95



U.S. AGENCY FOR
INTERNATIONAL
DEVELOPMENT

AID
EXECUTIVE SECRETARIAT

1995 SEP 13 P 5:38

SEP 7 1995

ACTION MEMORANDUM FOR THE ADMINISTRATOR

FROM: SDAA/PPC: Janet Ballantyne *Ballantyne*
SUBJECT: Agency Strategic Framework 1995/96

Issue: Your approval of the concept and contents of the Agency Strategic Framework is required so that it can be used by all Missions and Offices for strategic planning and reporting results during 1995/96.

Discussion: In May, 1995, you charged PPC/CDIE with developing a simple and comprehensible system for measuring the agency's performance. A central component of the system is the Agency's Strategic Framework. The basic Framework concept was adapted from PRISM and already is used in most of the Agency's Missions and Offices. The concept was further developed during four Performance Measurement and Indicator Workshops. The Framework was refined by the Agency Sector Working Groups, led by PPC's Senior Policy Advisors, and used by each group to organize their recent sector reviews. Immediately prior to the reviews, PPC/CDIE briefed the M Bureau, the Sustainable Development Council, the Quality Council, and the Senior Staff on the concept and content of each sector framework.

The proposed Agency Framework presents, in a simple graphic, the *Strategies for Sustainable Development* and the *Implementation Guidelines*. It is a hierarchy of objectives and strategies displayed in five levels;

- * **U.S. national interests** considered when identifying recipients of foreign assistance
- * **Agency mission:** Sustainable Development: USAID's unique contribution to those interests
- * **Agency goals:** the long-term changes in countries which contribute to the mission

- * **Agency objectives:** significant development results that contribute to the Agency goals in each sector
- * **Agency program approaches:** the strategies and activities that operating units implement to achieve results which contribute to Agency objectives.

The completed Agency Framework will include common performance indicators. Sector working groups are currently selecting indicators for each Agency goal and objective to show the changes to which our programs contribute (a draft list has been delivered to the DA and the final selections will be in place by September 30, 1995). As countries cross "thresholds" established for goal indicators in each sector, graduation from assistance in that sector will be considered. When a country crosses the threshold in several of the five sectors, it will be considered for graduation from our entire program. Following the selection of common indicators we will modify the Agency's "Results Tracking System" and associated directives to include the indicators and how they will be measured and reported.

Besides presenting the essence of the Agency's strategic plan, the Framework will be used by operating units to focus their own plans on the principal objectives of the Agency. The Framework also provides a common frame of reference for analyzing and reporting and enhances our ability to manage for results.

PPC proposes that the Agency work with the attached Framework for a year before making further changes. An "open season" for considering improvements will be held in connection with the sector reviews in July each year.

Recommendation: That you approve USAID's Strategic Framework for 1995/96, as described in the attachments.

Approve: _____

Disapprove: _____

Date: _____

SEP 18 1995

Great!

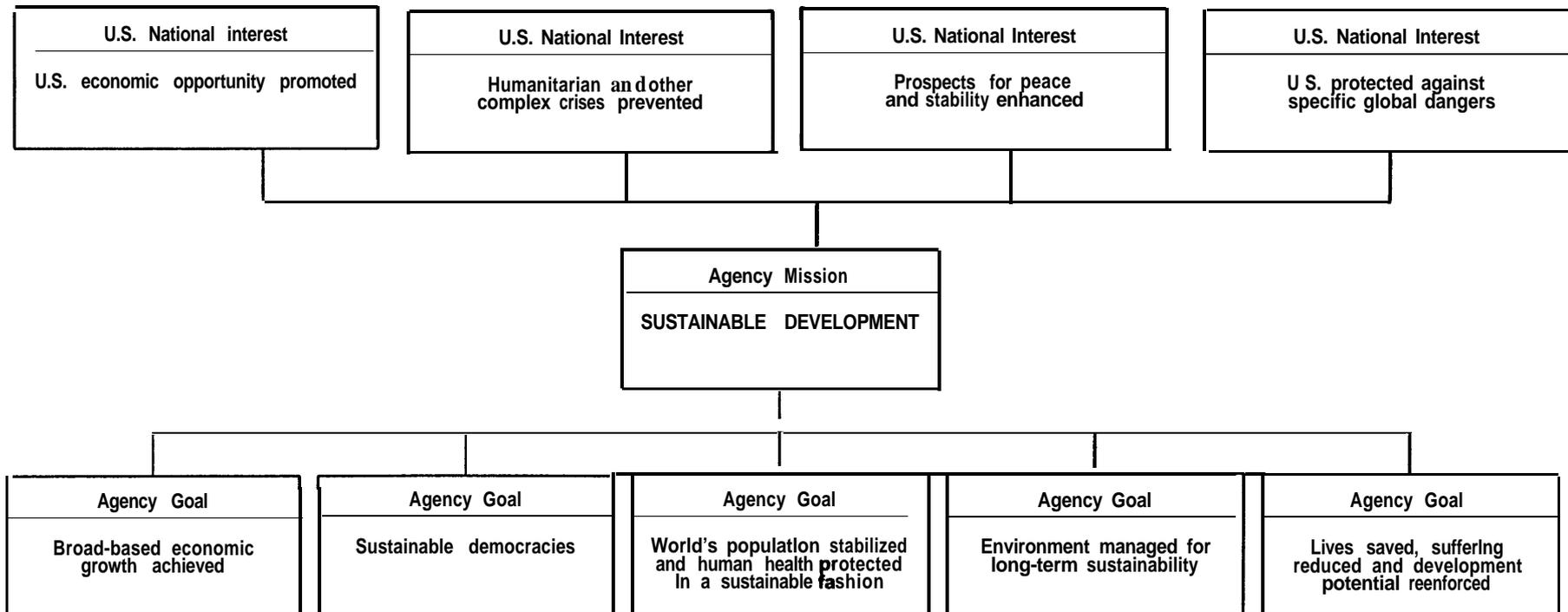
Attachments:

1. Agency Strategic Framework, Figures 1-7
2. Paper: U S A I D ' s Strategic Framework.

The Agency's Strategic Framework and Indicators 1995-1996

**U.S. Agency for International Development
Performance Measurement and Evaluation Division
Center for Development Information and Evaluation
Bureau for Policy and Program Coordination**

**Figure 1: USAID Strategic Framework 1995/96:
U.S. National Interests, Agency Mission and Agency Goals**



**Figure 2: USAID Strategic Framework 1995/96:
Agency Mission, Goals and Objectives**

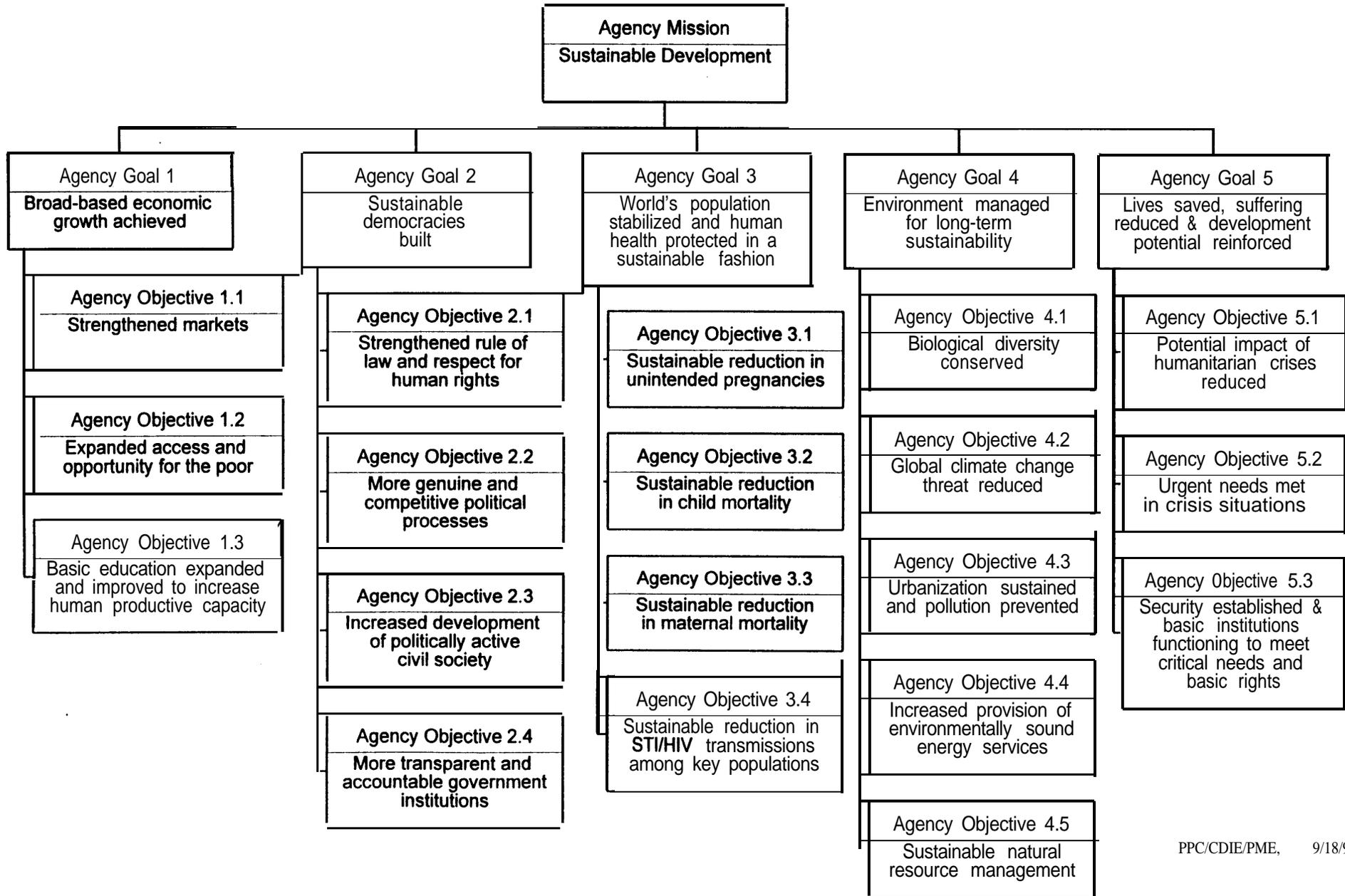


Figure 3a: Economic Growth Strategic Framework 1995/96

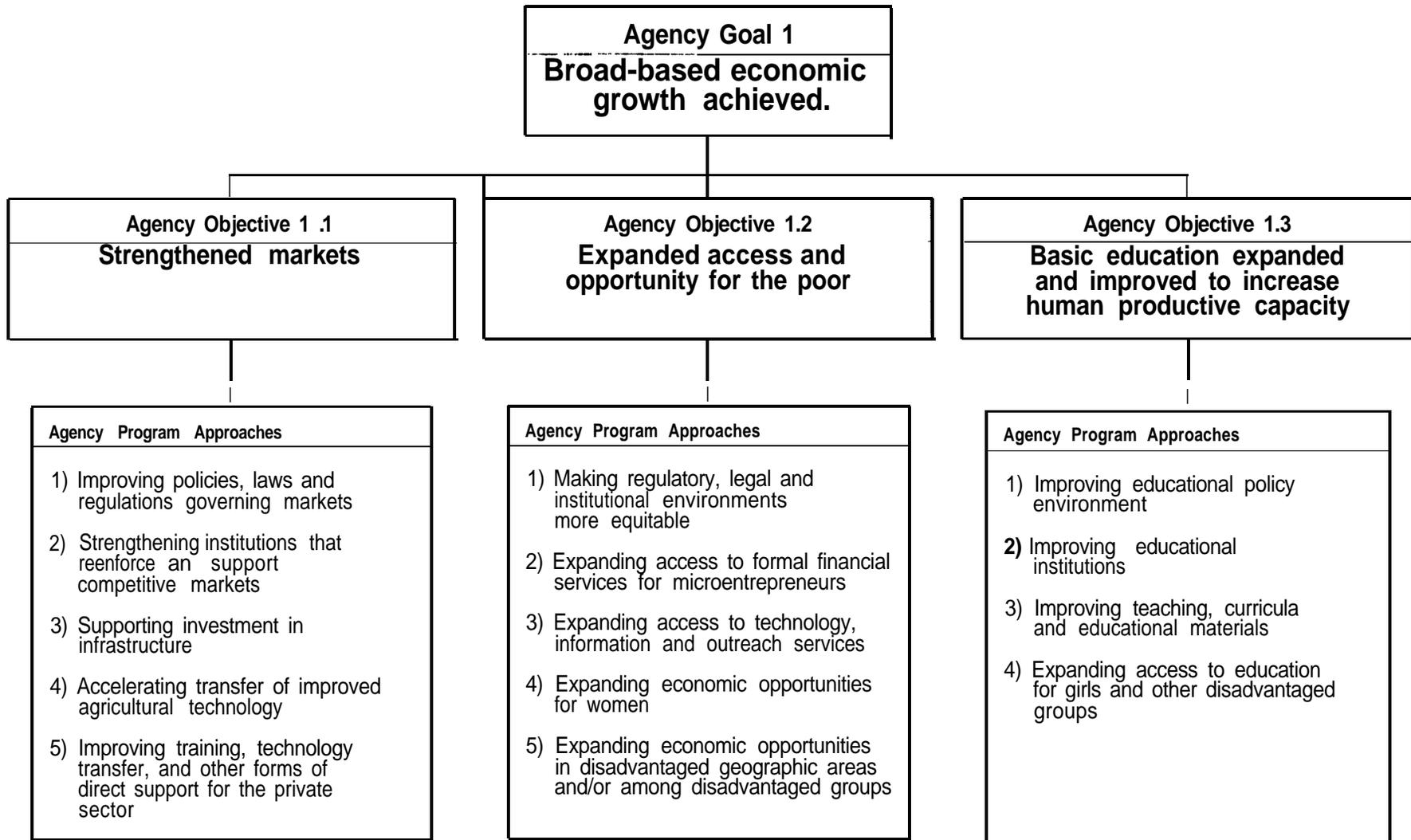


Figure 4a: Democracy Strategic Framework 1995/96

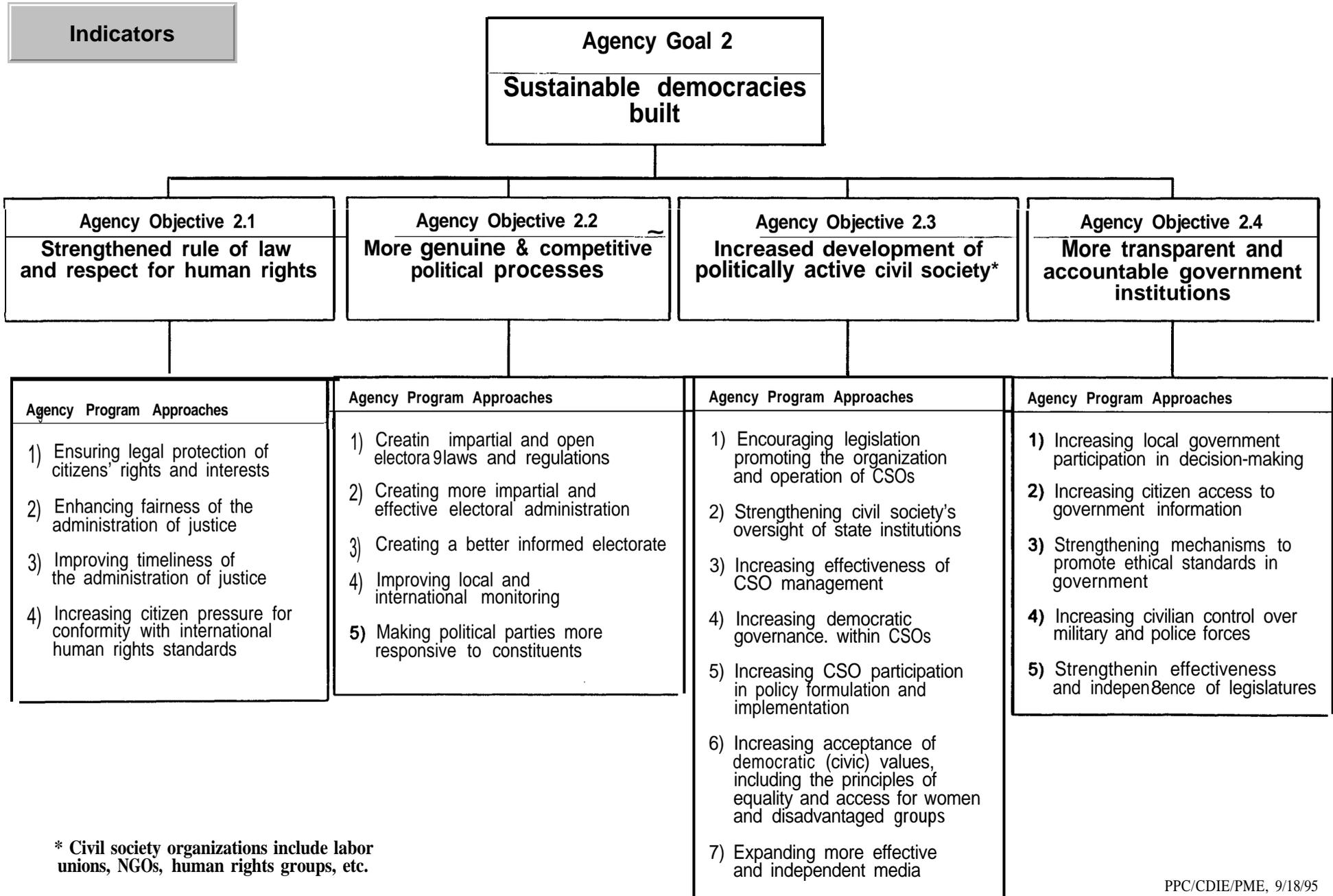
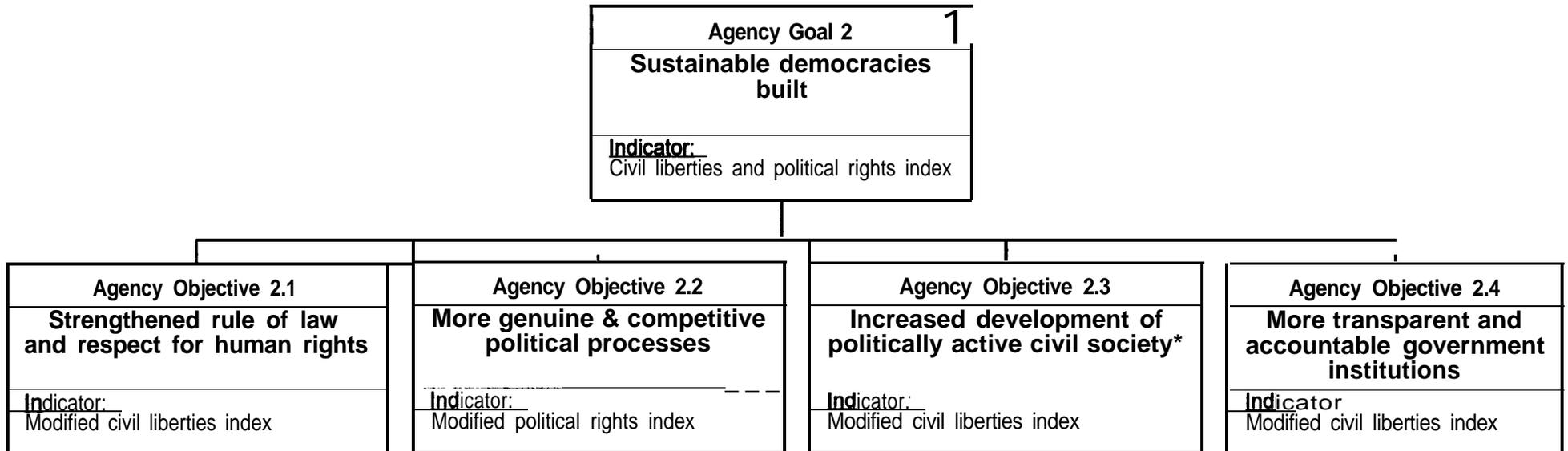


Figure 4b: Agency Democracy Goal and Objectives 1995/96, with indicators



* Civil society organizations include labor unions, NGOs, human rights groups, etc.

Figure 5a: Population, Health and Nutrition Strategic Framework 1995196

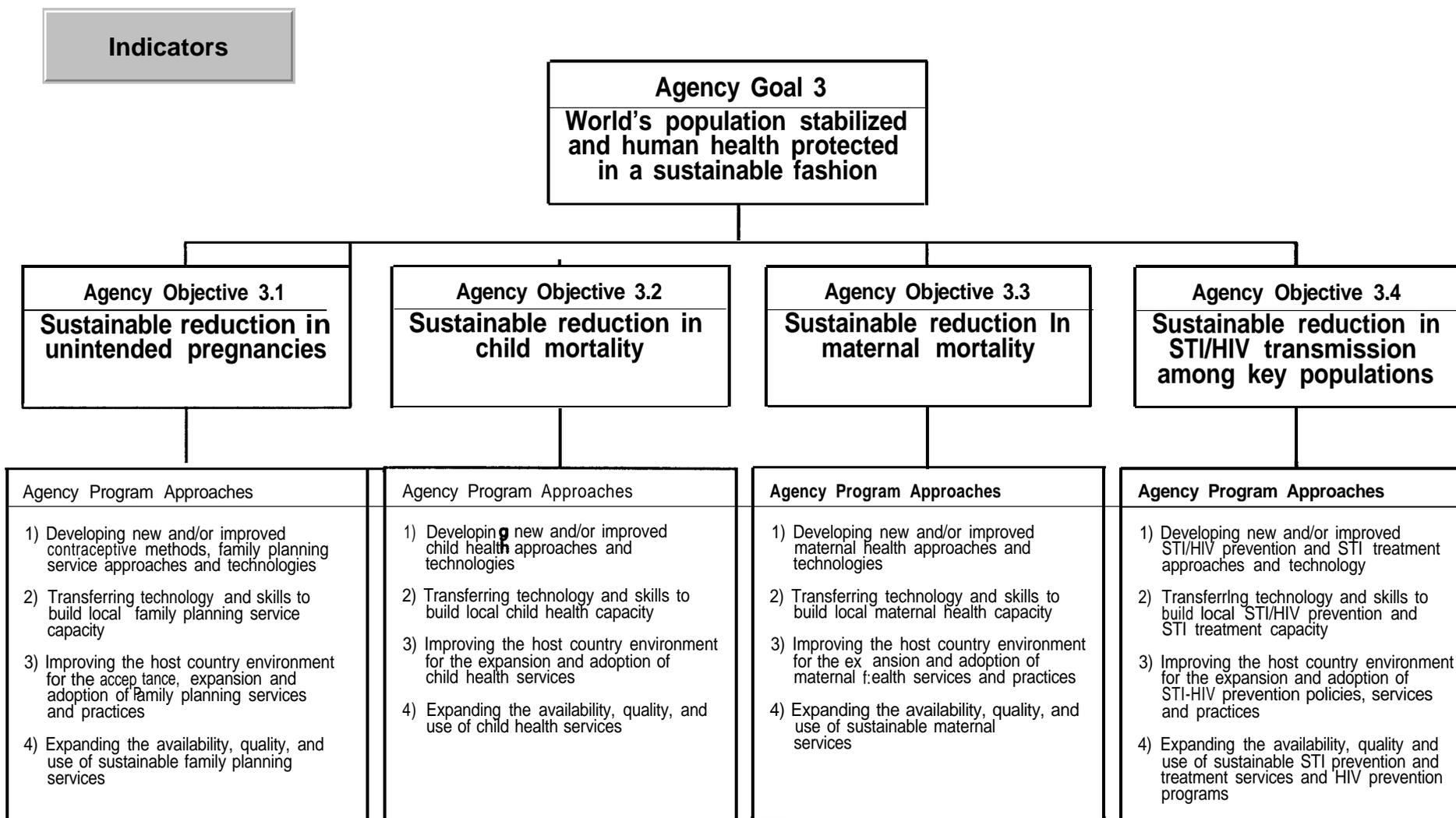


Figure 5b: Agency Population, Health and Nutrition Goal and Objectives 1995/96, with Indicators

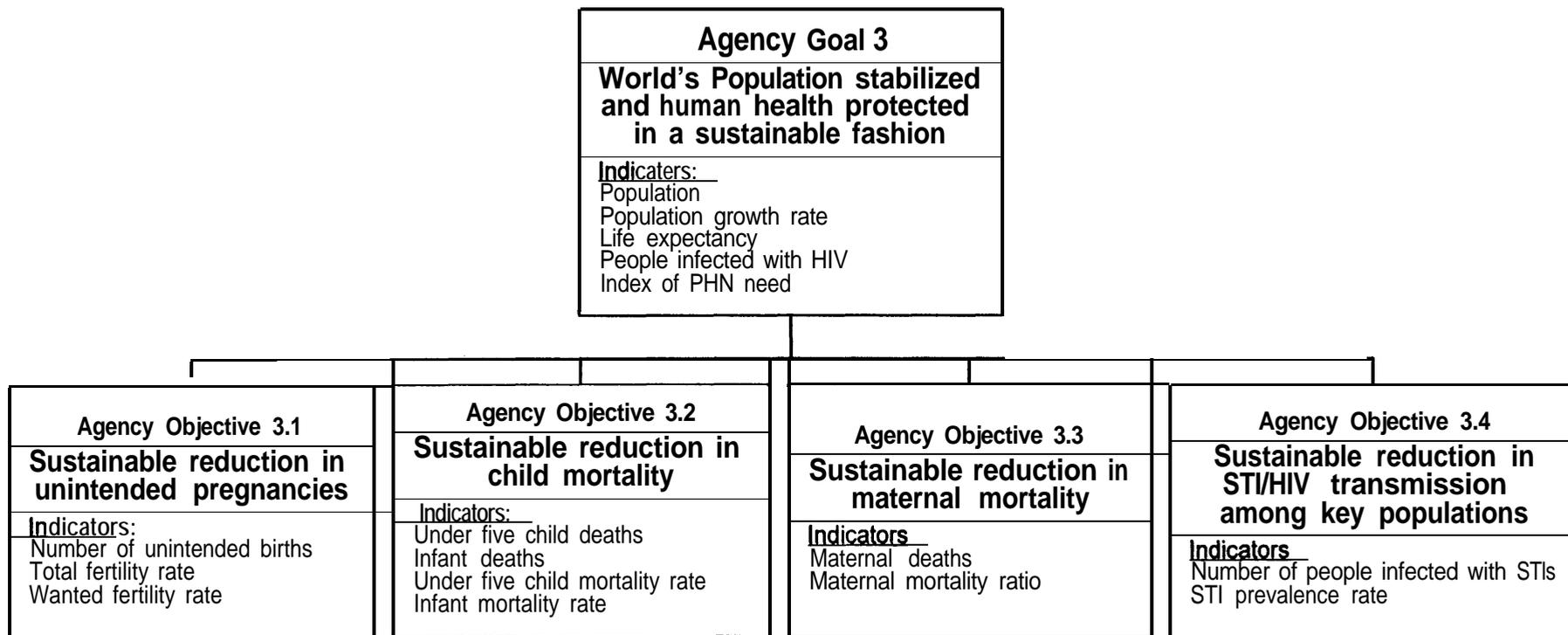


Figure 6a: Environment Strategic Framework 1995/96

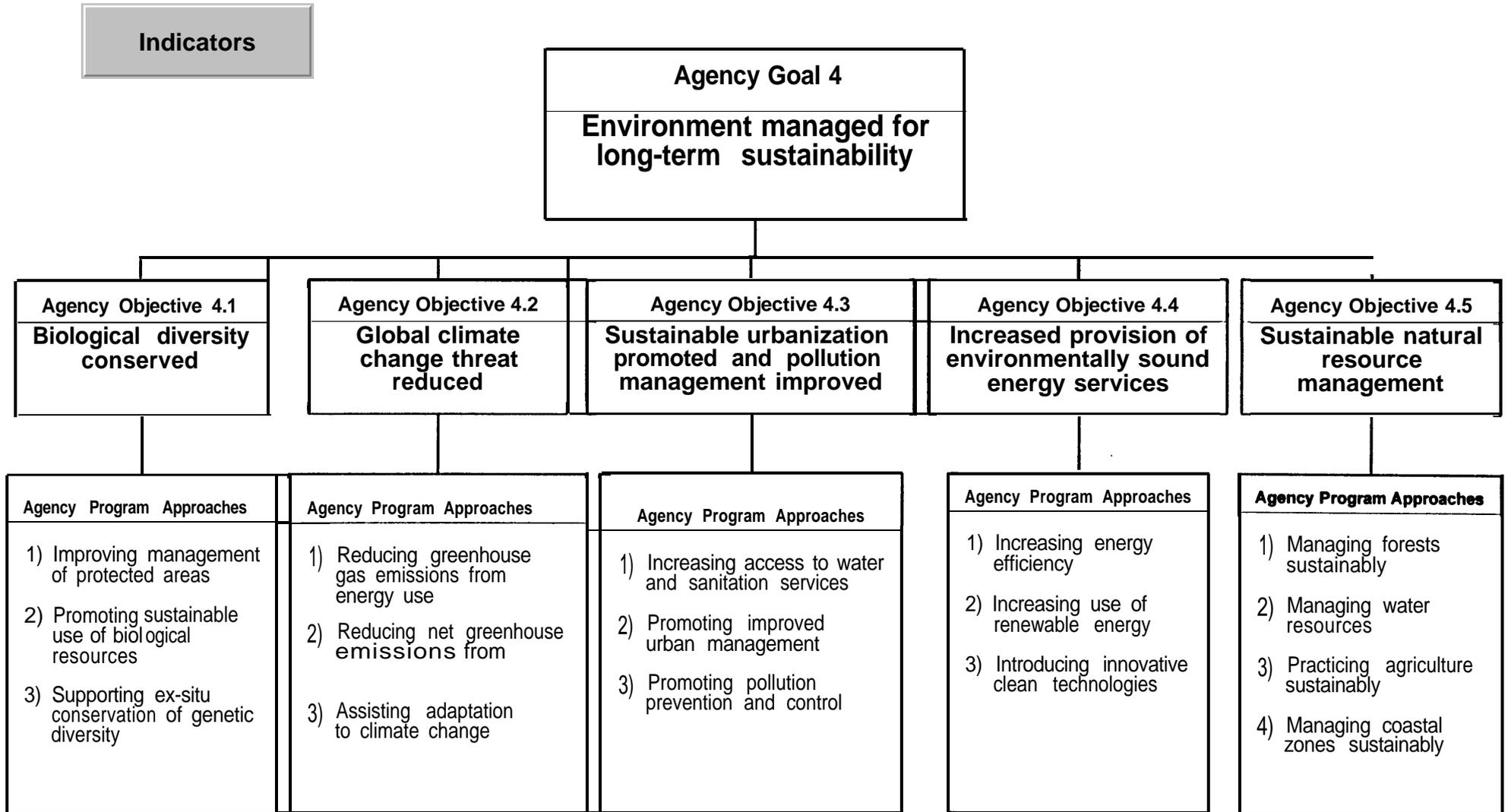


Figure 6b: Agency Environment Goal and Objective 1995/96, with Indicators

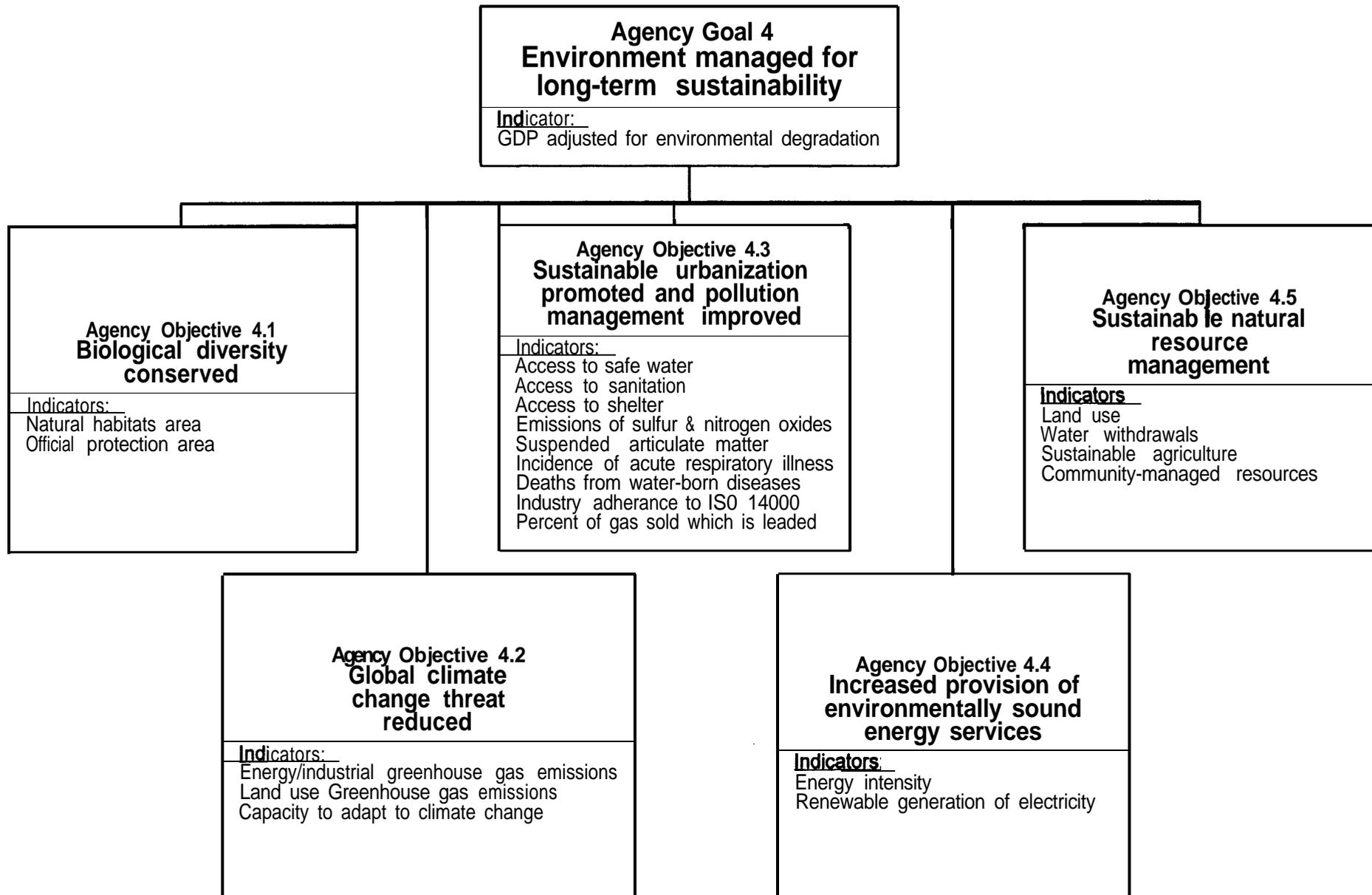


Figure 7a: Humanitarian Assistance Strategic Framework 1995/96

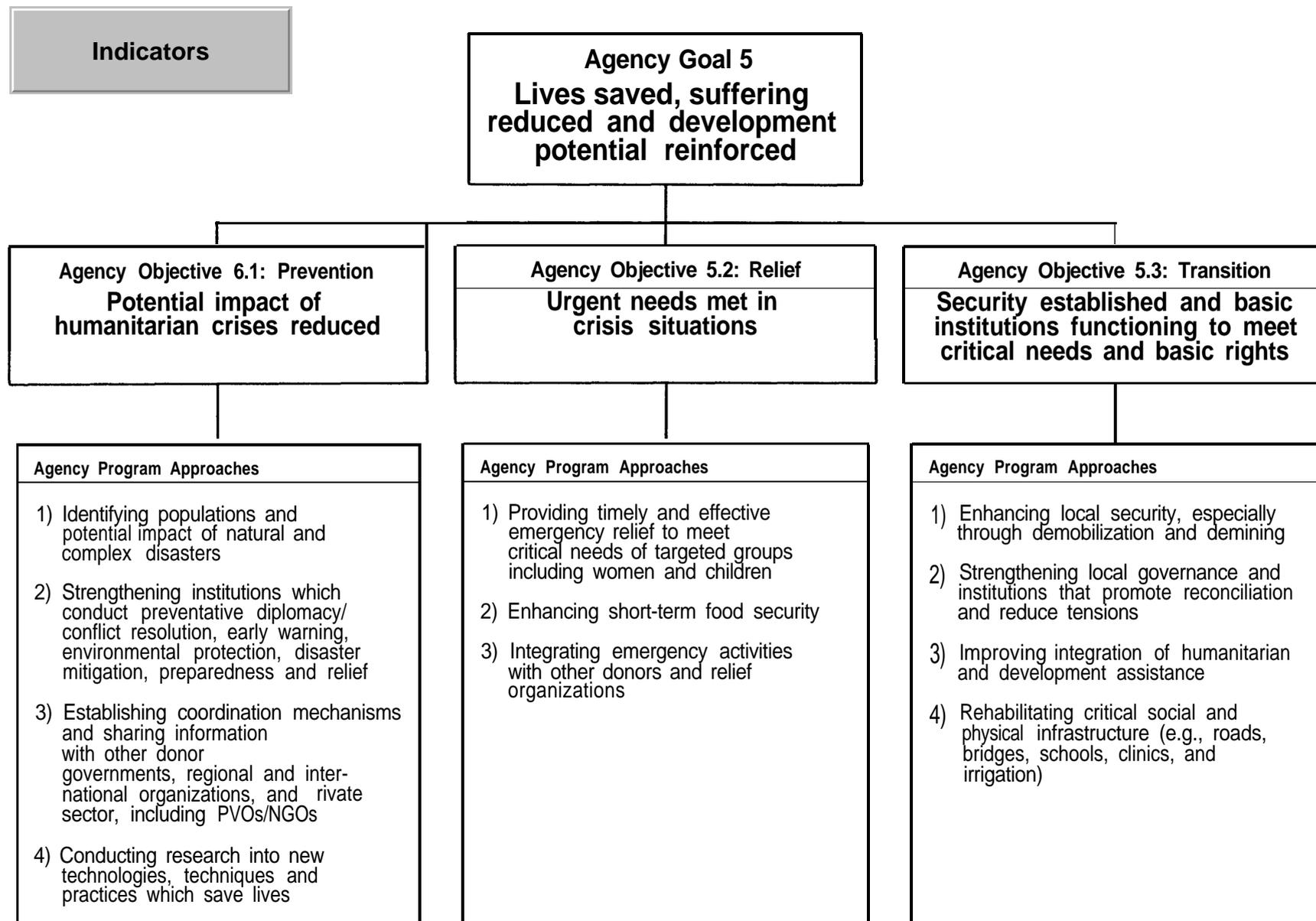
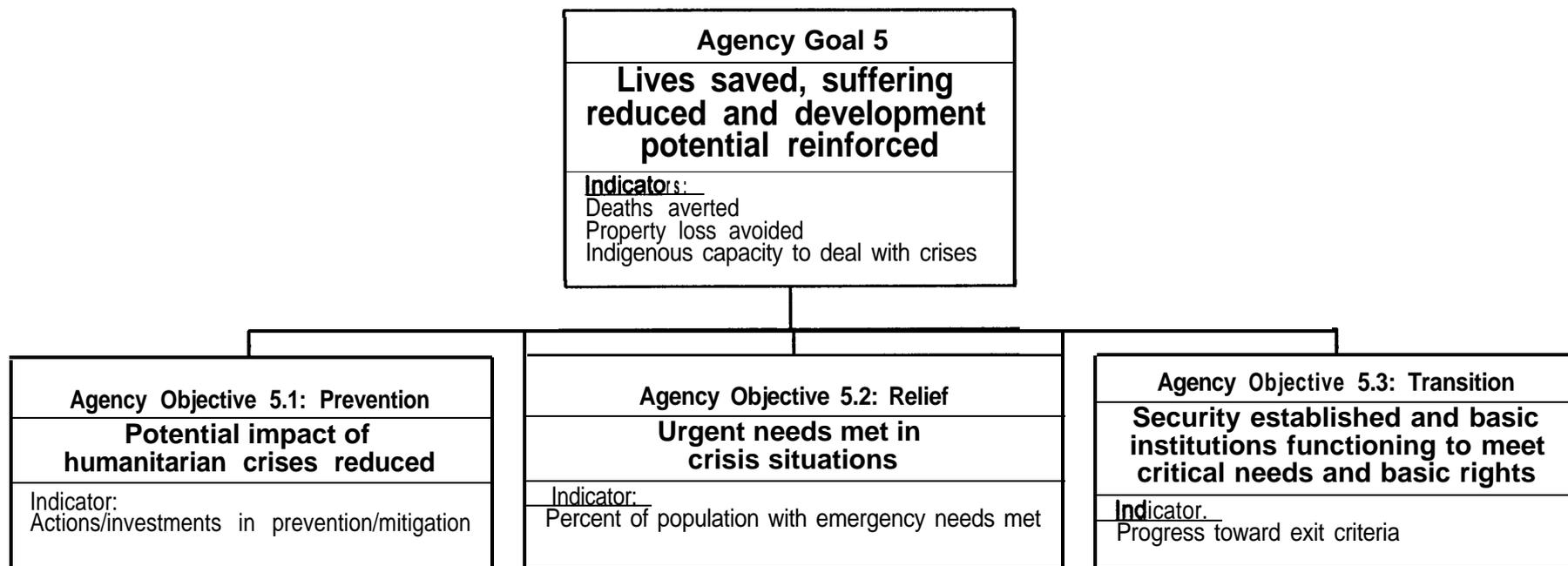


Figure 7b: Agency Humanitarian Assistance Goal and Objective 1995/96, and Indicators



**THE AGENCY'S STRATEGIC FRAMEWORK AND INDICATORS
1995/96**

APPENDIX A

**FREQUENTLY ASKED QUESTIONS
ABOUT
THE FRAMEWORK AND INDICATORS**

FREQUENTLY ASKED QUESTIONS ABOUT THE STRATEGIC FRAMEWORK (11/95)

1. What is the Agency Strategic Framework?

The Agency Strategic Framework is a simple diagram of Agency goals, objectives, and program approaches drawn from USAID's *Strategies for Sustainable Development* and the associated Implementation Guidelines.

The framework is a tool for communicating USAID's development strategy and strategic plan. The framework establishes an organizing basis for strategy and performance reviews, budgeting, and external reporting.

2. What are Agency goals and objectives?

Agency goals and objectives are those changes in developing country conditions that USAID has identified as critical for sustainable development. USAID works with its development partners to contribute to change in these important areas. In reviewing Agency performance and preparing the annual performance report, USAID assesses the progress of countries in which we are working toward achieving these goals and objectives.

3. What about Agency program approaches?

The Agency program approaches are the primary ways -- the kinds of program and policy interventions -- through which USAID contributes to Agency goals and objectives in a country. These approaches build on successful strategies currently being used in the field. They were refined by USAID's senior technical and policy advisors to ensure that they reflect current best advice.

4. What is the relationship between the Agency Strategic Framework and country and other programming?

All country, regional and global programs must contribute to the Agency-wide goals and objectives represented in the Agency strategic framework. Every proposed strategic plan (country, regional or global) must include a discussion of the linkage of the strategy to Agency goals and objectives.

Each operating unit's strategic objective must be linked to one Agency goal. It may be linked to other Agency goals on a secondary basis if necessary.

Each operating unit's strategic objective should also be linked to one or more Agency objective within its primary goal. Most activities represent one or more of the Agency approaches listed under the Agency objectives. Operating units should identify the program approaches they are using -- both in their strategies and their R4 reporting.

5. Can missions pursue activities that contribute to an Agency objective but that don't coincide with the program approaches listed for that objective?

Yes. The list of approaches is a work-in-progress. We will be seeking to improve the list of approaches over the coming year. It would be helpful to hear from missions and other operating units about program approaches which they consider especially effective. And, regional bureaus will likely want to learn about new and innovative approaches (and the results they achieve) in country strategy and R4 reviews.

6. Why have indicators been developed for the strategic frameworks?

Agency-wide working groups have developed indicators to monitor the progress of countries toward Agency goals and objectives, both for USAID-assisted countries and for other countries where we want to track development progress. This information will help us assess Agency performance and report on it in USAID's annual report on performance. While we will be assembling time series data on these indicators, we will not be setting performance targets. USAID may, however, identify thresholds (or ranges) for indicators at the goal level as one basis for considering if a country should graduate.

We will also be developing menus of indicators for the Agency program approaches. These menus will be based on current best practice and mission experience with the indicators they are using to monitor performance. Operating units are free to determine which, if any, indicators from these menus they will use.

7. Can we attribute any changes in these country indicators to USAID's programs? Don't they represent high level changes in country conditions that are often far removed from what we do on the ground?

Certainly, there are only a few cases in which we can directly link the results of specific USAID interventions to changes in these country level indicators. But these

indicators of change related to Agency goals and objectives do provide an important "frame of reference" for analyzing country programs and Agency performance. These are the key development changes which we want to address with our development partners.

8. How will information on Agency indicators be factored into budget decisions?

These data will be used in assessing Agency performance as an input into budget decision-making. With additional contextual information, they provide a reasonable picture of a country's development status, how that country compares to other countries in critical development areas, and how that country is progressing over time. This is an important reference point for analyzing USAID's contribution. It also provides a clearer basis for Agency-wide strategic planning and reporting under the Government Performance and Results Act of 1993 (the GPRA).

These kinds of data (along with other information on program performance, policy priorities, technical capabilities, and foreign policy significance) are already being used by USAID managers at all levels in setting priorities and allocating budgets.

The Agency indicators could be likened to red warning lights on a car dashboard. If countries fail to make progress with respect to Agency goals and objectives, or even slip back, that's cause for concern. It's something we'd want to explain and do something about, if possible. Similarly, if a country performs particularly well, we'd want to understand that, too. The warning lights don't provide answers, but do raise important questions.

9. Analyzing these kinds of data is complicated and requires sector and country knowledge. How will this analysis be carried out? Who will participate?

Analysis of the indicator data will be a part of the program and budget reviews of each sector. These reviews will draw upon expertise from PPC, the regional bureaus, and technical staff from the Global and Humanitarian Response Bureaus. These data may also be used by operating units themselves as a basis for relating the performance of their programs to broader development changes.

10. Won't getting all this data on Agency goals and objectives be an enormous burden on country missions?

We certainly hope not. Wherever possible, the Agency working groups selected indicators for which data were available from secondary sources. Such data are fairly well established in areas like economic growth, population, and health. In

newer program areas like environment and democracy, USAID may need to be more proactive in developing indicators and collecting data -- along the lines of our pioneering work in creating a worldwide demographic and health data base.

While we have tried to minimize the burden on missions and other operating units in collecting data on these performance indicators, there may be occasions when data on specific indicators may be requested. Any such decisions will be made judiciously and in consultation. Better data are only worth getting if their value to the Agency outweighs the costs of collecting them.

11. What happens if a mission believes that data for certain indicators in their country are inaccurate?

We have selected indicators for which comparable data are available from generally accepted sources. Any concerns about the accuracy of data will be examined with Missions and Bureaus.

12. How should Missions use the Agency indicators in their programming? Should Missions specifically design their programs to affect the Agency indicators?

Missions should certainly design programs around the Agency goals and objectives, which reflect what we would like to achieve as an Agency, but not around the Agency indicators themselves. These Agency indicators represent the best data we can obtain from secondary sources and reflect national level changes that are substantially beyond most missions' manageable interest and the scope of their strategic objectives. Changes in these indicators are likely to be only indirectly linked to mission programming and budgeting, which should more directly reflect a mission's performance in achieving its own strategic objectives and intermediate results.

We recognize, moreover, that the Agency indicators are not necessarily the *best* indicators of what our programs are trying to accomplish in particular countries, but reflect practical considerations and worldwide availability. Certainly, such high level Agency indicators should not drive mission programming.

13. Are there any plans to update or revise the framework and indicators based on experience?

The current framework and indicators aren't perfect. They represent an important first step in systematically setting out and tracking Agency goals and objectives. We will use this framework in program planning and review this year and evaluate its

appropriateness and utility. Each year, as part of the Agency-wide sector review, goals, objectives and indicators will be updated, as necessary.

14. How can Agency staff contribute to changes in the Agency Strategic Framework and indicators?

In addition to the more formal Agency-wide annual review mentioned above, we would welcome hearing your suggestions, concerns, or issues with the Strategic Framework and indicators at any time. We would also be glad to try to answer any questions you may have about the frameworks or performance monitoring and evaluation for your own program or more generally. Just email us through the Agency's PM&E Hotline.

THE AGENCY'S STRATEGIC FRAMEWORK AND INDICATORS 1995/96

APPENDIX B

USAID's Strategic Framework

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USAID'S STRATEGIC FRAMEWORK

What is it?

USAID's strategic framework is the hierarchy of the Agency's mission, goals, objectives, and program strategies taken from the Agency's strategic plan (currently the Strategies for Sustainable Development and the Implementation Guidelines). The framework is one of the tools we use to manage for results. Its strength comes from its simplicity, but it has its limitations. Additional tools are needed to analyze cross-cutting concerns, such as integration, sustainability, and participation. The framework summarizes Agency policy and reflects the results being sought by Missions and offices (operating units). It is a conceptual diagram which illustrates the causal links between:

1. the Agency's mission and the national interests which USAID serves by fostering sustainable development;
2. the Agency goals and objectives and the Agency mission; and,
3. the objectives which the operating units pursue to contribute to the achievement of the Agency objectives, goals and mission.

How can it be used?

It is a tool which can be used:

1. To **communicate** the essence of the Agency's strategic plan, by clearly articulating Agency goals, objectives and strategies.
2. To **focus operating unit strategy plans**, by ensuring that their strategic objectives and intermediate results are explicitly related to Agency priorities.
3. To **analyze and report results** of Agency programs for internal and OMB reviews, Congress, and the annual report required by the Government Performance and Results Act (GPRA).
4. To **contribute to management decisions**, by providing performance and results information for program direction and resource allocations.

The components of the framework -- see figures on pages 5- 7.

- * *U.S. national interests* considered in identifying recipients of foreign assistance
- * The *Agency mission* -- Sustainable Development; USAID's unique contribution to those national interests
- * The *Agency goals* -- *the* long-term changes in countries which contribute to the mission
- * The *Agency objectives* -- significant development results that contribute to Agency goals in each sector.
- * The *Agency program approaches* -- the strategies and activities that operating units implement to achieve results which contribute to the Agency objectives.

Performance Indicators

Performance indicators are dimensions of goals or objectives which are measured to assess progress being made towards the goal or objective. Baselines and targets are the values of performance indicators at the beginning and end of the planning period. We will consider graduating countries from assistance in each sector as the values of goal indicators approach targets or "thresholds" established by the Agency for each country.

Agency mission. There are no distinct performance indicators at this level at this time. Success in reaching the Agency's mission is determined by examining performance for each of the Agency goals.

Agency goal indicators. Indicators of goal achievement are changes in country characteristics. Goals are long-term (10+ years) objectives. Changes in their indicators may be slow and only partially caused by USAID programs. The targets established for the goal indicators are the "threshold" values which show at what point USAID assistance may no longer be needed in a sector. Policies regarding exit strategies and graduation are being developed and will be promulgated this fall.

Agency objective indicators. Agency objectives are medium-term (5-8 years) and their indicators are also country characteristics. Measurable change in their indicators may take several years. Changes in these indicators may be more directly related to USAID programs than changes in goal indicators.

Agency program approaches. Each of the Agency's program approaches has a menu of indicators, primarily derived from the indicators being used by operating units for their strategic objectives. Within each approach we will assess the

effectiveness of the strategies by analyzing the performance indicators for the strategic objectives and intermediate results of the operating units.

Analysis and Reporting

Agency mission and goals. At this level we will examine and report on global, regional, and national trends in 25-30 common indicators (5-6 for each goal) representing changes in country conditions and taken primarily from existing international databases of development indicators.

Agency objectives. Here we ask: What progress are the countries, where we are working making towards achieving key objectives in each sector? How does their progress compare with countries not receiving our assistance? How do trends at this level compare with trends at the goal level? Are there management or technical issues that require further analysis? Data will be drawn from international databases.

Agency program approaches. Here we can examine the approaches and the expected and actual results from operating units using the same strategy. Within each group we can examine performance by analyzing the changes in the indicators of the strategic objectives and intermediate results and reviewing the narrative explanations in annual performance reports. Performance data on strategic objectives and intermediate results for all USAID-assisted countries is available on the automated, agency-wide, performance tracking system.

Results can be “rolled up” in various ways to provide a more complete picture of our results and their significance. For example, we can aggregate results across countries and look at regional trends when operating units have the same objectives and indicators. We can report and compare progress being made within a group of units pursuing the same strategy. We can compare the progress of units using different strategies to reach the same objective -- interpreting the results with caution. We can assess Agency contributions to changes in country conditions by comparing trends in country level indicators with trends in strategic objective and result indicators. We can identify successes and failures to provide a basis for further investigation. We can provide information for management decisions.

Performance Measurement and Evaluation

Both performance measurement and evaluation are required to ensure that Agency resources are deployed most effectively towards Agency goals and mission. They are distinct, but complementary, ways of obtaining information for decisions.

Managers use **performance measurement** to track their results. The Administrator and other stakeholders, through GPRA, will use performance measurement to assess how well the Agency is performing its mission. The core of the system is a clearly defined hierarchy of objectives, which is derived from development theory and practical experience. A limited set of performance indicators for each objective is measured to assess progress towards that objective. Performance measurement answers questions about “**whether and if**” results are being achieved on schedule, at cost and if expectations are being met. Performance measures provide clear insights about where more in-depth evaluations should be done.

Evaluation can answer managers’ questions about “**how and why**” results are, or are not, being achieved. They can examine both intended and unintended results and more complex issues such as sustainability. They enable us to go far beyond performance measurement to examine and describe the fuller impacts of our activities. Performance measures are useful in evaluation, but they provide only a portion of the information required for impact assessment and management decisions.

To analyze our results we need both performance measures and evaluations. **These** are the integral parts of an effective results management system. Shortly USAID will have a broad base of performance data regarding all its programs. We can use this information to plan our evaluations more strategically -- which in turn will improve our performance measures.

Implications for Missions and Offices

Missions and Offices will be able to use the Agency Framework as guidance when they develop and revise their country strategic plans. The Missions will be able to designate the Agency Objectives to which their activities contribute. They will also be able to indicate which program approaches they are using to reach their objectives and, wherever possible, choose an indicator or indicators from a menu of indicators associated with each Agency program approach. Operating unit objectives not linked to an Agency objective will have to be clearly explained in the Mission strategic plan.

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Figure B-1: Agency Strategic Framework: Principal Components

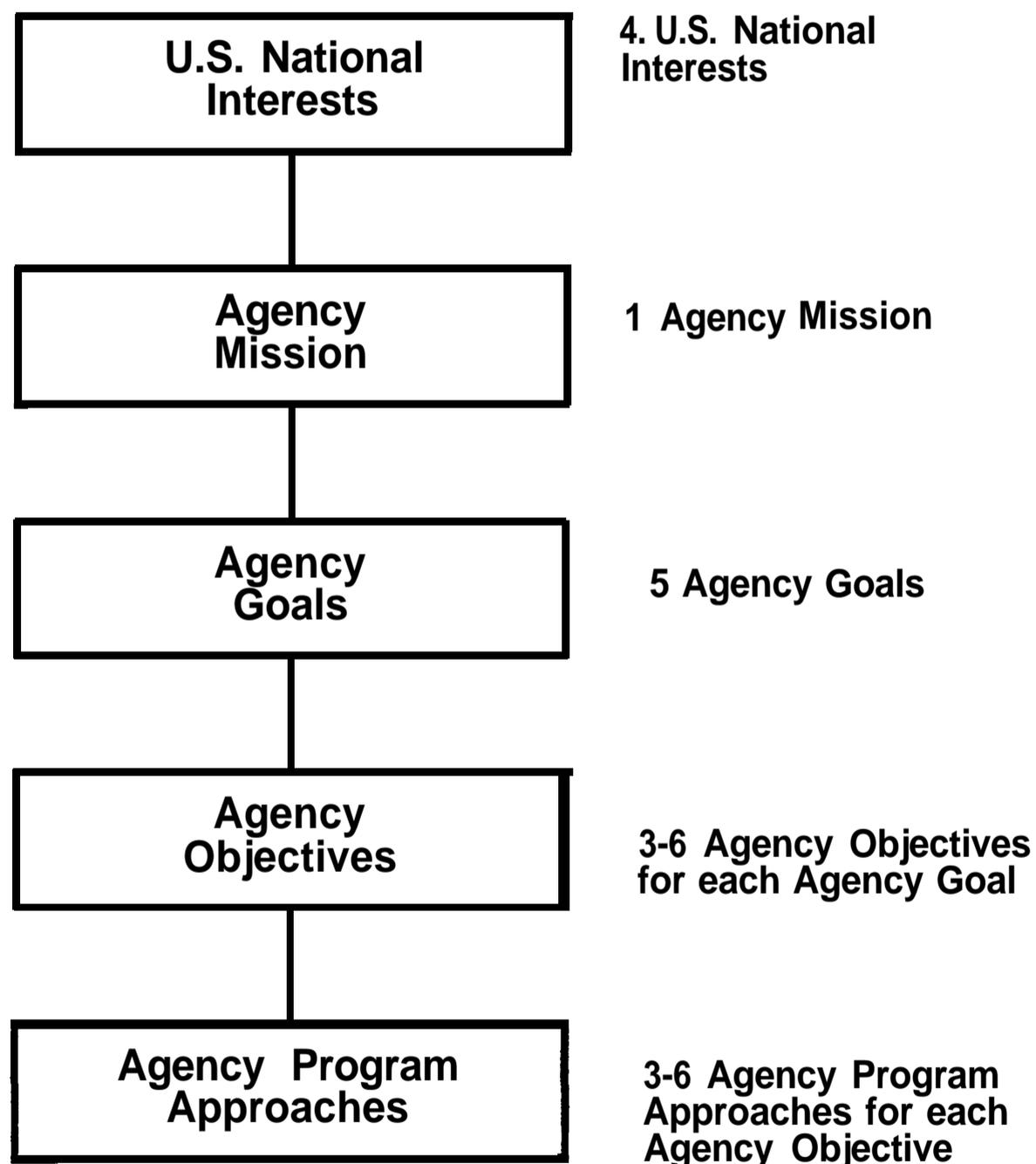


Figure B-2: Agency Strategic Framework: Expanded Version of Components

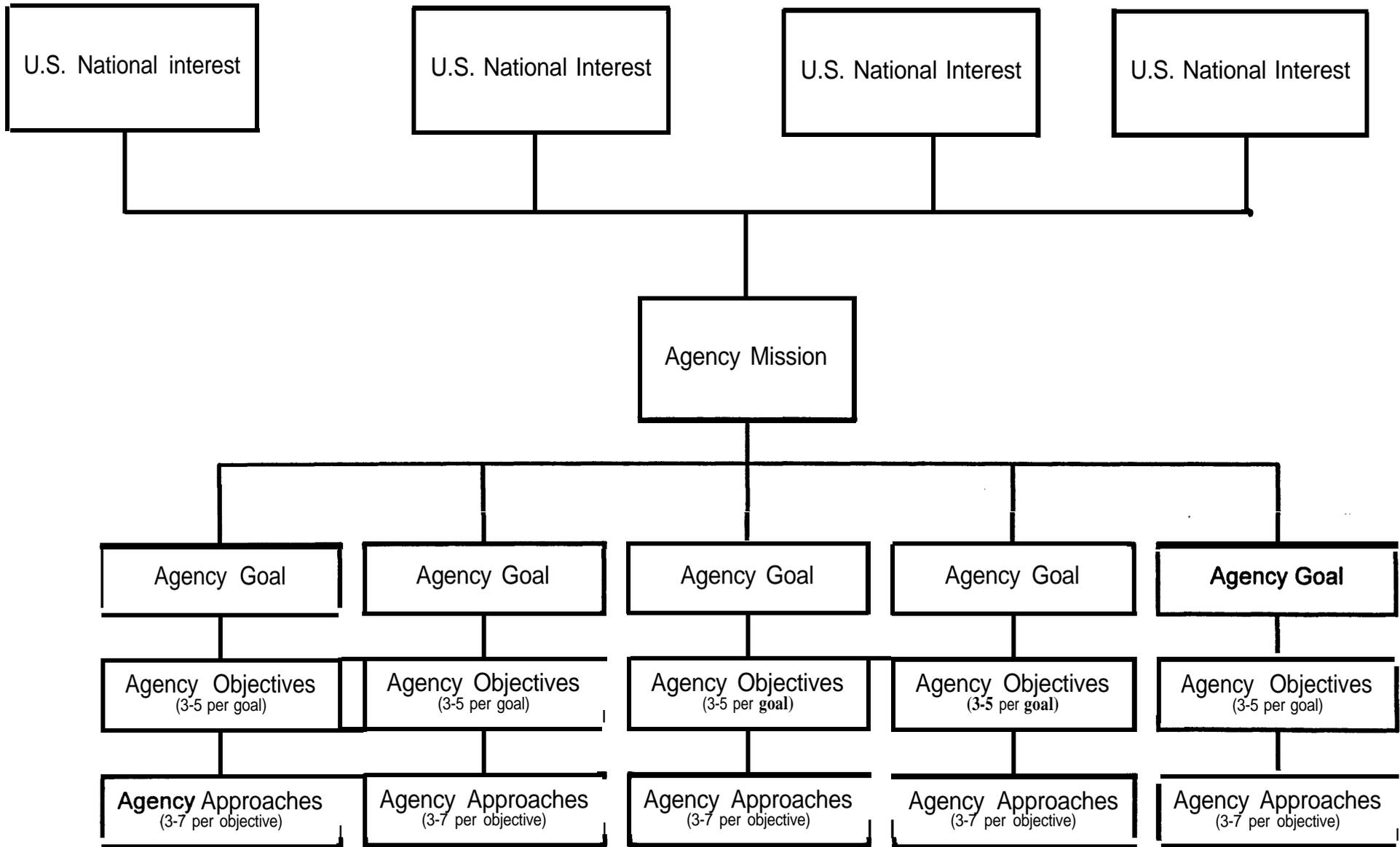
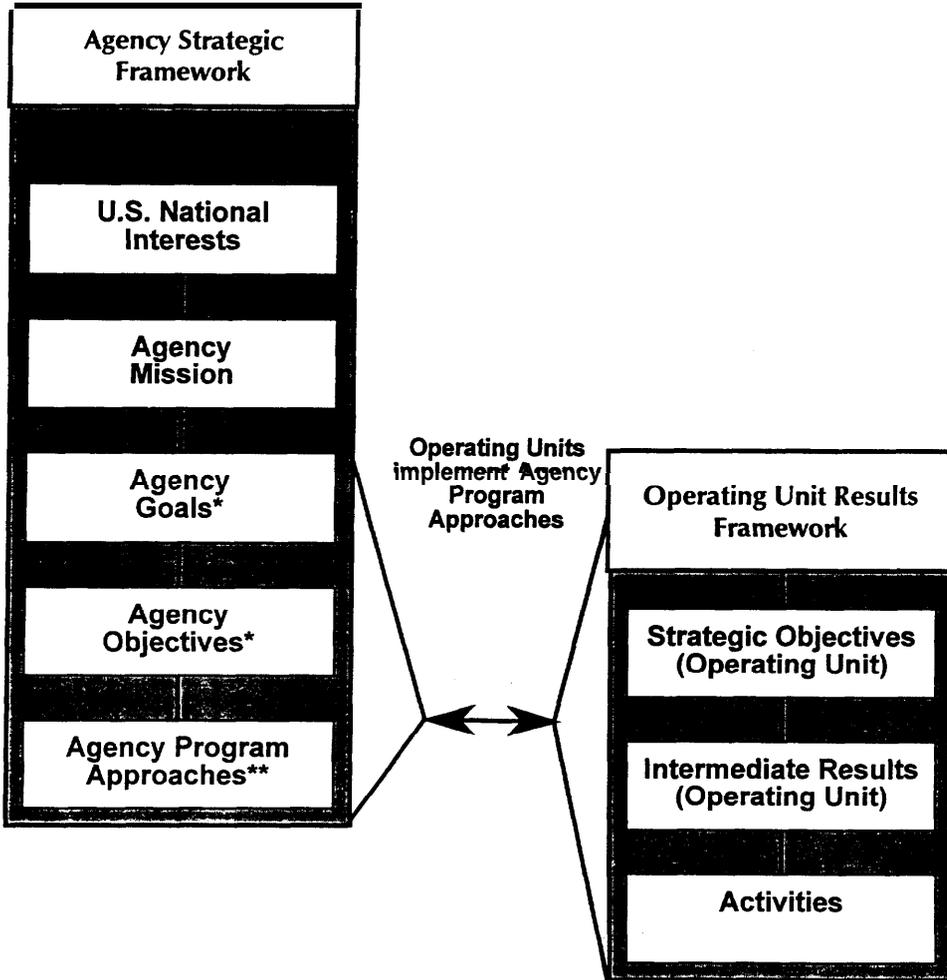


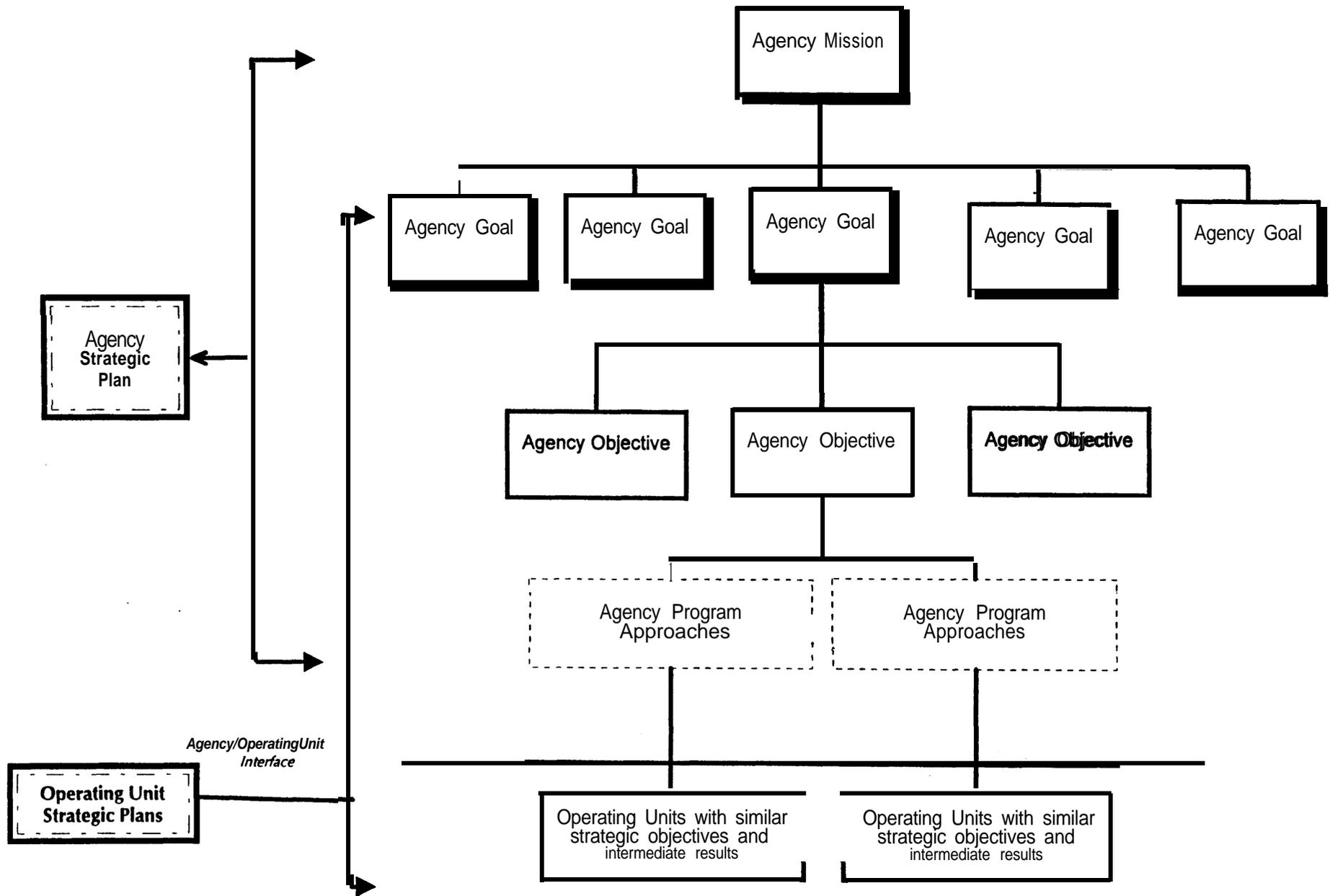
Figure B-3: Agency Strategic Framework: The Link between the Agency Strategic Framework and Operating Unit Results Framework



*Indicators with standard, cross-country comparable definitions; data primarily from international sources

**Indicators with similar definitions, commonly shared by Missions; data primarily from Mission sources

Figure B-4: Relationship of Agency & Operating Unit Strategic Plans



**THE AGENCY'S STRATEGIC FRAMEWORK AND INDICATORS
1995/96**

APPENDIX C

THE INDICATORS FOR 1995/96

1. Information Memorandum for the Administrator, October 6, 1995	C-1
2. Economic Growth Indicators	C-4
3. Democracy Indicators	C-5
4. Population/Health Indicators	C-8
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6. Humanitarian Assistance Indicators	c-11



U.S. AGENCY FOR
INTERNATIONAL
DEVELOPMENT

OCT 6 1995

INFORMATION MEMORANDUM FOR THE ADMINISTRATOR

FROM: AA/PPC, Colin I. Bradford

SUBJECT: Performance Indicators for Agency Goals and Objectives

The attachment to this memorandum lists the performance indicators which have been selected for the Agency's Goals and Objectives specified in the Agency's Strategic Framework which you recently approved. These indicators will track the development changes which USAID seeks to help bring about in countries where we work.

The consideration of indicators began in February, 1995 when CDIE distributed "Draft Agency Results Frameworks". These frameworks were used to develop indicators in four workshops which were co-sponsored by PPC with the appropriate Global Center or the Bureau of Humanitarian Response, between March and July, 1995. These workshops involved more than two hundred staff from all parts of the Agency and many of our development partners. Subsequently Sector Working Groups, with representatives from a central and regional bureaus, refined the Agency Framework as they prepared for the Sector Reviews in July. Some of the Sector Working Groups have also taken the lead in developing the lists of indicators.

Many concerns and issues were raised by the teams as they struggled with the selection of indicators. This led to a set of working assumptions which addressed some of the issues and provided important guidance as the groups moved forward. The key working assumptions are:

1. The "Agency indicators" reflect country performance on a limited number of key dimensions of the Agency goals and objectives. They do not usually directly reflect the performance of USAID's programs -- they reflect country performance to which USAID contributes.

2. **USAID program performance is tracked with the “program indicators”** of strategic objectives and intermediate results which are presented in mission results frameworks.
3. The indicators act like “signal lights” on a dashboard telling us if and how fast we are progressing towards our destination. The full understanding of country and program performance, however; require the collection of much more data than is available in the results tracking system. Sound programming and budget decisions require that indicator data be supplemented with performance information from evaluations and case studies of both our own and our partners programs and that this be factored in with political, social, financial, and other information prior to any decision.
4. Data for the Agency indicators should, ideally, be available in recognized published sources, for most of our recipient countries, and brought up-to-date regularly.
5. All Agency and program objectives and indicators will be available to all Agency staff in the new management system (NMS) so that they can use them when appropriate.
6. The Agency indicators will be used to assess and report on broad performance of USAID-assisted countries for the sector reviews, annual performance reports, the Congressional Presentation, and other reports. In these reports the performance data will be supplemented with additional analysis and narrative.
7. The targets set for Agency goal indicators will act as thresholds for our consideration of programs and countries for graduation.

The working assumptions do not address completely all the issues raised during the selection of the indicators and the groups working on their implementation and use will continue to explore and resolve the remaining issues as outlined in step 2 below.

In keeping with the principles of re-engineering and USAID as a learning organization, I present these lists of indicators as first step in a continuing process of development and refinement. I propose the following as the next steps:

1. PPC will provide the 1995/96 Agency Strategic Framework and the Agency Performance Indicators to all Agency staff, together with the working assumptions listed above and a list of frequently asked questions (FAQs) and issues, with answers, raised during indicator development. Staff will also receive the revised Implementation Guidelines.

2. The Sector Working Groups will address and seek clarification and resolution of the following issues:
 - a. Is the reliance on data from secondary sources too limiting and will it force the Agency to use indicators that do not adequately reflect goals and objectives? Do we need to collect additional data in some areas to capture better the changes we are seeking to bring about?
 - b. Will indicators, rather than objectives, determine design of our programs? Will Missions design their programs to reach objectives or to "look good" on certain indicators?
 - c. How can we more closely relate changes in Agency objective and goal indicators to the results of our programs?

3. PPC/CDIE, working with the G, BHR, Regional and M Bureaus, will assemble a database of indicator measures and prepare them for entry into the NMS.

4. Bureaus and Missions will be asked to vet the indicators and the database and provide suggestions for their improvement.

5. PPC/CDIE, working with the G, BHR, and Regional and M Bureaus, will use the indicators in the 1995 Annual Report on Program Performance and FY 1997 Congressional Presentation. As we prepare the Sector Reviews in 1996 we will review their utility, make recommendations for changes, and develop paradigms for using the indicators in programming and budget decisions.

Attachments:

1. List of Agency Indicators by Sector

Clearances:

PPC/CDIE:SSmith _____ Date _____
 SDAA/PPC:JBallantyne _____ D a t e _____
 ES:AWilliams _____ Date _____
 DA/AID:CLancaster _____ D a t e _____

Proposed Indicators for Economic Growth Goal and Objectives

AGENCY GOAL 1: Broad-based Economic Growth Achieved

Indicators:

1. Growth rate of GN Pper capita
2. Modified Human Development Index based on: Per capita income in purchasing power terms; Life Expectancy; Literacy rates; Ratio female to male enrolment rates in primary school - (as an indicator or women's status, which in turn reflects whether economic growth is broad -based)
3. Trends in the incidence of absolute poverty

AGENCY OBJECTIVE 1.1: Strengthened markets

Indicators:

1. GDP Growth rate
2. Export Growth rate
3. Agricultural Growth rate
4. Investment Growth rate
5. Modified Economic Policy Performance Assessment index reflecting trade, foreign exchange, monetary and fiscal policy, and inflation

AGENCY OBJECTIVE 1.2: Expanded access and opportunity for the poor

Indicators:

1. Calorie supply per capita
2. Trends in income distribution

AGENCY OBJECTIVE 1.3: Basic education expanded and improved to increase human productive capacity

Indicators:

1. Primary enrolment ratios
2. Primary completion rates
3. Number of years to produ an "x" grade graduate

Proposed Indicators for Democracy and Governance Goal and Objectives'

AGENCY GOAL 2: Sustainable democracies built

Indicator:

1. Civil Liberties and Political Rights as defined in the Freedom House Index.

Measures: Freedom House

AGENCY OBJECTIVE 2.1: Strengthen rule of law and respect for human rights

Indicators:

1. Modified Civil Liberties Index based on the following questions
 - a. Are there free and independent media, literature and other cultural expressions?
 - b. Is there open public discussion and free private discussion?
 - c. Is there freedom of assembly and demonstration?
 - d. Is there freedom of political or quasi-political organization?
 - e. Are citizens equal under the law, with access to an independent, nondiscriminatory judiciary, and are they respected by the security forces?
 - f. Is there protection from political terror, and from unjustified imprisonment, exile or torture, whether by groups that support or oppose the system, and freedom from war or insurgency situations?

Measures: Freedom House, disaggregation of the Civil Liberties Index

AGENCY OBJECTIVE 2.2: More genuine & competitive political processes

Indicators:

1. Modified Political Rights Index based on the following questions:
 - a. Is the head of state and/or government or other chief authority elected through free and fair elections?
 - b. Are the legislative representatives elected through free and fair elections?

Freedom House publishes an annual survey of Political Rights and Civil Liberties. These two indices consist of 22 questions. The indicators listed under each Agency DG goal and objective consist of some combination of the 22 questions identified in the Freedom House indices.

- c.. Are there fair electoral laws, equal campaigning opportunities, fair polling and honest tabulations of ballots?
- d. Are the voters able to endow their freely elected representatives with real power?
- e. Do the people have the right to organize in different political parties or other competitive political groupings of their choice, and is the system open to the rise and fall of these competing parties or groupings?
- f. Is there a significant opposition vote, *de facto* opposition power, and a realistic possibility for the opposition to increase its support or gain power through elections?
- g. Does the county have the right of self-determination, and are its citizens free from domination by the military, foreign powers, totalitarian parties, religious hierarchies, economic oligarchies or any other powerful group?
- h. Do cultural, ethnic, religious and other minority groups have reasonable self-determination, self-government, autonomy or participation through informal consensus in the decision-making process?
- i. Is political power decentralized, allowing for local regional and/or provincial or state administrations led by their freely elected officials? [optional].

Measures: Freedom House's Political Rights Index

AGENCY OBJECTIVE 2.3: Increased development of politically active civil society

Indicators:

1. Modified Civil Liberties Index based upon the following questions:
 - a. Are there free and independent media, literature and other cultural expressions?
 - b. Is there open public discussion and free private discussion?
 - c. Is there freedom of assembly and demonstration?
 - d. Is there freedom of political or quasi-political organization?
 - e. Are there free trade unions and peasant organization or equivalents, and is there effective collective bargaining?
 - f. Are there free professional and other private organizations?
 - g. Are there free businesses or cooperatives?
 - h. Are there free religious institutions and free private and public religious expressions?
 - i. Are there personal social freedoms, which include such aspects as gender equality, property rights, freedom of movement, choice of residence, and choice of marriage and size of family?
 - j. Is there equality of opportunity, which includes freedom from exploitation by or dependency on landlords, employers, union leaders, bureaucrats or any other type of denigrating obstacle to a share of legitimate economic gains?

Measures: Freedom House, disaggregation of the Civil Liberties Index

AGENCY OBJECTIVE 2.4: More transparent and accountable government institutions

Indicator:

1. Modified Governance Index based upon the following questions:

- a. Is there freedom from extreme government indifference and corruption?
- b. Are all costs and revenues related to major public investments included in the national budget?
- c. Does the military report to and fall under the ultimate control of the civilian government?
- d. Is the entire military budget included in the national budget?
- e. Is there a published legislative agenda?
- f. Do ministries publish their program and operating budgets?
- g. Do public employees receive their salaries on a regular basis?
- h. Are there uniform civil service regulations for the administrative branch?
- i. Do local government control expenditures under their own budget?

Measures: Freedom House, disaggregation of the Civil Liberties Index and in-house analysis.

Proposed Indicators for Population/Health Goal and Objectives

AGENCY GOAL 3: Stabilize World's Population and Protect Human Health in a Sustainable Fashion

Indicators:

1. Total world's population
2. World's population growth rate
3. Life expectancy of women/men in the developing world
4. # of people infected with HIV
5. Summary index of PHN need

AGENCY OBJECTIVE 3.1: Sustainable Reduction in Unintended Pregnancies

Indicators:

1. # of Unintended births
2. Total fertility rate
3. Wanted fertility rate

AGENCY OBJECTIVE 3.2: Sustainable Reduction in Child Mortality

Indicators:

1. # of Under five child deaths
2. # of Infant deaths
3. Under five child mortality rate
4. Infant mortality rate

AGENCY OBJECTIVE 3.3: Sustainable Reduction in Maternal Mortality

Indicators:

1. # of Maternal deaths
2. Maternal mortality ratio

AGENCY OBJECTIVE 3.4: Sustainable Reduction in STI/HIV Transmission Among Key Populations

Indicators:

1. # of people infected with STIs
2. Selected STI Prevalence rates

Proposed Indicators for Environment Goal and Objectives

AGENCY GOAL 4: Environment Managed for Long-Term Sustainability

Indicator: GDP adjusted for environmental degradation

AGENCY OBJECTIVE 4.1: Biological diversity conserved

Indicators:

1. Area of remaining natural habitats*
2. Area under official protection

AGENCY OBJECTIVE 4.2: Global climate change threat reduced

Indicators:

1. Greenhouse gas (GHG) emissions from energy and industrial sources, expressed as CO₂ equivalents
2. Net GHG emissions from land use changes, as CO₂ equivalents
3. Country capacity to adapt to climate change*

AGENCY OBJECTIVE 4.3: Sustainable urbanization promoted and pollution prevented

Indicators:

1. Access to safe drinking water
2. Access to sanitation
3. Access to shelter
4. Emissions of sulfur and nitrogen oxides
5. Concentrations of suspended particulate matter
6. Incidence of acute respiratory illness
7. Deaths from water-borne diseases
8. Percent of gasoline sold which is leaded
9. Industry adherence to int'l environmental management standards (ISO14000)*

AGENCY OBJECTIVE 4.4: Increased provision of environmentally sound energy services

Indicators:

1. Energy intensity (total commercial energy consumption/GDP)

2. Share of electricity generation from renewable sources (solar, wind, geothermal, hydro, biomass)

AGENCY OBJECTIVE 4.5: Sustainable natural resource management

Indicators:

1. Land use changes (cropland, permanent pasture, forest and woodland, etc.)
2. Water withdrawals as a percentage of water availability
3. Area under sustainable agricultural practices*
4. Area of community-managed forests, fresh water and marine resources*

* New indicator proposed; requires further definition and data collection.

Proposed Indicators for Humanitarian Assistance Goal and Objectives

AGENCY GOAL 5: Lives Saved, Suffering Reduced, and Development Potential Reinforced

Indicators:

1. Deaths averted
2. Property loss avoided
3. Increased indigenous capacity to deal with crises

AGENCY OBJECTIVE 5.1: Potential Impact of Humanitarian Crises Reduced

Indicator:

Significant actions/investments in crisis prevention/mitigation in crisis prone countries

AGENCY OBJECTIVE 5.2: Urgent Needs Met in Crisis Situations

Indicator:

Percent of vulnerable population with emergency needs met.

AGENCY OBJECTIVE 5.3: Security Established and Basic Institutions Functioning to Meet Critical Needs and Protect Basic Rights

Indicator:

Progress toward pre-determined, crisis-specific, exit criteria.

PME HOTLINE
(formerly PRISM Hotline)
PPC/CDIE/PME



WHAT IS IT? -The

Performance Measurement and Evaluation Hotline.

- * Information, advice, and referrals on strategic planning and performance measurement, program evaluation, and data collection methods and plans within a reinvented USAID. Also, reviews of missions' draft strategic frameworks, and information on the Agency's Strategic Framework, "PME" best practices, and lessons learned.

WHO IS IT FOR?

- * USAID staff and their development partners. The latter should submit requests through their USAID partner.

HOW CAN YOU USE IT?

- * Type "HOTLINE" in the USAID e-mail address list and choose "PME HOTLINE@CDIE.PME@AIDW" from the list of hotlines.
- * Internet: pholine@usaid.gov

WHAT SHOULD YOU INCLUDE IN YOUR REQUEST?

- * Your question or issue. Briefly explain why you need the information, how you will use it, and when you need it.
- * Name and address of person to whom we should send our response and follow-up or clarification questions. We will use e-mail as much as possible, but will also use fax, courier, international mail and pouch.

WHEN WILL REQUESTS BE ANSWERED?

- * We will acknowledge your request within two working days and include an estimated response date. We will normally respond within one to four weeks.

WHERE WILL REQUESTS BE REFERRED?

- * When we cannot answer directly from CDIE/PME, we will refer your request to the most appropriate office in USAID/W, and actively follow-up with them to facilitate a rapid response.

@@ Contact person regarding this notice is Graham B. Kerr, PPC/CDIE/PME, 703-875-4116.