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**Final Report:
USAID/Senegal
Results Framework**

Submitted to

**United States Agency for International
Development/Senegal**

Submitted by

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October 21, 1997



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Ms Anne Williams
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Dear Ms Williams

The Mitchell Group, Inc (TMG) is pleased to submit our Final Report for USAID/Senegal's Results Framework

We congratulate the Mission for committing the time and resources to successfully manage a participatory strategic planning process. Not only does this process assist the Mission in formulating its 1998 - 2006 strategic plan, but it also promises to have a lasting impact on the implementation and sustainability of USAID's programs

TMG also wishes to commend MGP - Afrique for their excellent facilitation of the workshops. Our collaboration with MGP provided for continuity from the April and August workshops and enabled TMG to enhance the methodological rigor of the planning process

In our Final Report, we begin by summarizing the outcomes of the workshops. Based upon subsequent interactions with the Mission, TMG then proposes methodological refinements that are both consistent with the participatory process and USAID/Senegal's need to fine tune the strategy in accordance with its manageable interests and its resource availability, both human and financial

Thank you for the opportunity to partner with you in this exciting strategic planning process. We look forward to working with you again in the future

Sincerely,

Lloyd M Mitchell
President

Enclosures

The Mitchell Group, Inc (TMG)
Final Report
USAID/Senegal Results Framework

Executive Summary

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EXECUTIVE SUMMARY

USAID/Senegal contracted with The Mitchell Group, Inc (TMG) from August 22 through October 15, 1997 to assist the Mission and its partners in the process of refining its assistance strategy for the period 1998 - 2006. TMG's contract represents one element of USAID/Senegal's ongoing participatory process involving the Government of Senegal (GOS), the private sector, non-governmental organizations (NGOs), other donors, and USAID/Washington to develop and refine the Mission's own strategic plan. The degree of local ownership all contribute to a momentum that promises to have a lasting impact on the implementation and sustainability of USAID's programs.

TMG, collaborating with the Senegalese firm MGP-Afrique, conducted a training of trainers workshop for 34 participants and managed three strategic planning workshops for a total of nearly 200 participants. Our collaboration with MGP provided for continuity from the April and August workshops and enabled TMG to enhance the methodological rigor of the planning process.

The synergy between TMG, MGP, USAID/Senegal and USAID/Washington contributed to the successful resolution of week-long discussions into workable results frameworks. The Mission's commitment both to the letter and spirit of the process of customer-focused strategic planning only strengthened as the workshops progressed, despite the inordinate demands of end-of-fiscal-year responsibilities.

The results frameworks developed during the workshops are presented in their entirety in Section II. The workshop frameworks were an important step in the refining process and have been used as a springboard for those developed in Section III of the report. The results frameworks that TMG proposes are modified versions of the workshop frameworks based on additional Mission input and TMG's rigorous application of strategic planning logic.

The results framework in this text delineate the following three SOs (see graphic presentation)

- SO1 Sustainable increases in private sector income-generating activities in selected sectors
- SO2 More effective and democratic local government management of services and resources in targeted areas
- SO3 Increased utilization of child survival, reproductive health and STD-AIDS services in the context of decentralization

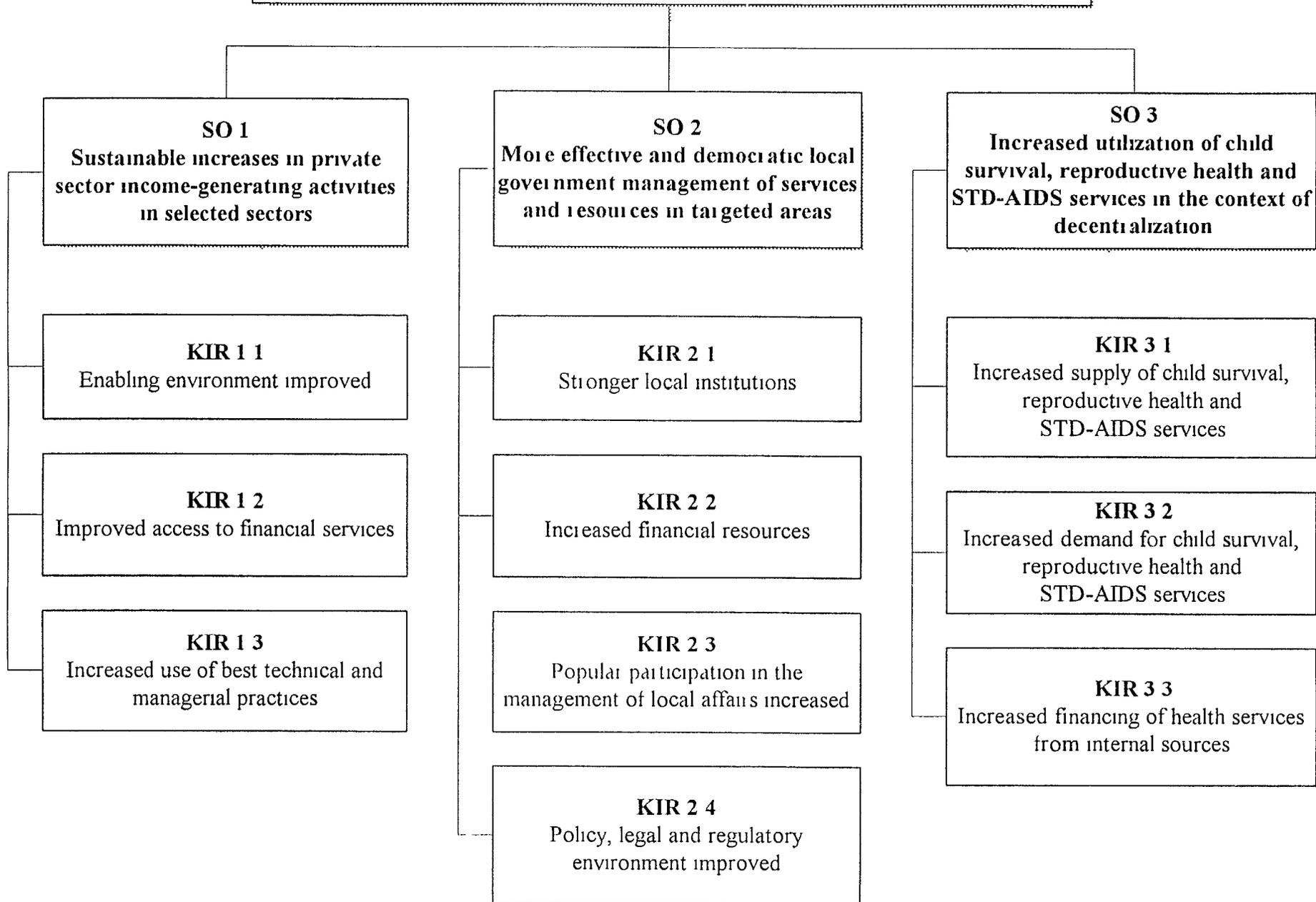
All three SOs emphasize the impact of, and developing role for, decentralized authorities. The new policy and operational environment affords Senegal and the USAID with an opportunity to manage for results: local definitions, local empowerment, local ownership in the provision/development of services and their utilization all offer an almost unparalleled potential for sustainability. By the same token, the perils of any new, especially decentralized process, are also real: private agendas, special interests, broader opportunities for graft and mismanagement, social upheavals have all appeared throughout the results frameworks as critical conditions.

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The Mission has attached their overall results framework to three major Agency goals: democracy and governance, environment and health. While the text commentary provides more contextual support for that second goal, the Mission may choose to reinforce its presence more explicitly in the results frameworks for SO1 and SO2, especially with regard to the intended emphasis on natural resource management.

USAID/Senegal has an excellent working body for its country strategic plan, but the 'bookends' of an overarching goal and implementable activities are two important components which remain blank at the moment, and which will condition further refinement of the results frameworks.

USAID/Senegal Goal: Sustainable Development



I Background

A Preparatory Workshops and Partnership Development

USAID/Senegal contracted with The Mitchell Group, Inc (TMG) from August 22 through October 15, 1997 to assist the Mission and its partners in the process of refining its assistance strategy for the period 1998 - 2006. TMG's contract represents one element of USAID/Senegal's ongoing participatory process involving the Government of Senegal (GOS), the private sector, non-governmental organizations (NGOs), other donors, and USAID/Washington to develop and refine the Mission's own strategic plan. TMG, working with the Senegalese firm MGP-Afrique, conducted a training of trainers workshop and managed three strategic planning workshops for individual strategic objectives.

This series of workshops was the latest in an ongoing process, which emphasized the Mission's commitment to participation and customer ownership in its management strategy. In January 1997, USAID/Senegal conducted customer surveys of over 7,000 Senegalese throughout all ten regions. The surveys revealed that the majority of Senegalese are concerned about 1) income generation and jobs, to supplement their meager farm income and informal sector employment, and 2) the decentralization process which has changed the daily process of delivering services such as health care, education and natural resource management (NRM).

In addition to the customer surveys, USAID/Senegal invited the GOS, PVO/NGO and private sector communities, as well as eminent intellectuals to discuss their visions of the future of Senegal. To support the strategy development process, the Mission conducted sectoral studies on agriculture, health, macro-economy, education and the political and socio-cultural contexts.

In April, the Mission sponsored a three-day workshop attended by more than 200 participants facilitated by MGP. From the synthesis of the working groups, two strategic objectives (SOs) were identified and further refined as follows: SO1 "effective and sustainable decentralization in targeted regions" and SO2 "employment opportunities through sustainable private initiatives in target areas expanded."

Following the workshop, a four-person team led by Director Williams traveled to Washington for a parameters setting meeting on the two proposed SOs. AID/Washington provided guidance and encouraged the Mission to continue its strategy development efforts.

In August, USAID/Senegal contracted with MGP to facilitate and coordinate two workshops to further refine the proposed SOs. Each workshop was attended by over 50 participants (many of whom had attended the April workshop), representing GOS, PVO/NGOs, the private sector, other donors, USAID/Washington and USAID/Senegal. As a result of the workshops, the two SOs were further refined, key intermediate results (KIRs) and intermediate results (IRs) were developed for each SO, and causal relationships and critical assumptions were defined. The decentralization SO

incorporated both Maternal and Child Health/Family Planning (MCH/FP) and Natural Resource Management/Environment (NRM/E) issues. Following the workshop, USAID/Senegal decided to form a third SO for MCH/FP because a) USAID/Senegal is a leading donor in this area b) USAID/Washington and Congress consider this a very high priority, c) and it involves specific social service delivery issues best addressed through a specific SO

B Technical Assistance Provided

Within the context of USAID/Senegal's ongoing strategic planning process, the Mission contracted with TMG to assist USAID/Senegal and its partners in refining its new strategic objective (SO) statements and in developing its SO results frameworks and performance indicators, together with initial plans for monitoring and evaluation of the program. The tasks completed under the scope of work (SOW) were as follows:

| | |
|-----------------|--|
| 8/22 - 8/30/97 | Consultation with USAID/Washington and Pre-Departure Preparation |
| 9/1 - 9/3/97 | Consultation with USAID/Senegal and MGP - Afrique |
| 9/4 - 9/5/97 | Training of Trainers for Results Framework (RF) Facilitators |
| 9/8 - 9/12/97 | Workshop on Decentralization SO |
| 9/15 - 9/19/97 | Workshop on Income Generation SO |
| 9/22 - 9/26/97 | Workshop on Child Survival, Reproductive Health and STD-AIDS SO |
| 9/27 - 10/21/97 | Final Report Preparation |

TMG's consultation with USAID/Washington provided useful background to the ongoing dialogue in which USAID/Senegal developed its strategy. Given this background, TMG was better able to assist our client, USAID/Senegal, in its strategy formulation process. Meetings with USAID/Senegal enabled TMG to gain USAID/Senegal's perspectives on the process.

From the outset, TMG was favorably impressed with the work of MGP and sought to effectively collaborate with this local firm in order to best assist USAID/Senegal in its strategy development. During our teambuilding meetings from September 1-3, TMG and MGP decided to play the following roles, consistent with their individual contracts with USAID. TMG would contribute its methodological expertise to the development of the results frameworks, while MGP would assume primary responsibility for workshop facilitation and logistics. In this way, the continuity of the April and August workshops would be maintained and methodological rigor would be enhanced.

On September 4-5, TMG conducted a training of trainer workshop for RF facilitators. The workshop was attended by 34 participants, including 17 participants from USAID/Senegal, 14 MGP participants and three partners (Ministry of Decentralization official, private sector representative and a member of a health NGO). The two objectives of the workshop were 1) to gain a common understanding of RFs and 2) to be able to facilitate RF working groups effectively. Since most of the participants had prior facilitation experience, the TOT focused primarily on defining terms, discussing examples, working on case studies, and responding to questions on RF methodology.

The subsequent three weeks were devoted to conducting workshops for decentralization, income generation and health. Graphic presentations of the RFs proposed by the focus groups are provided in Section II below.

We congratulate USAID/Senegal for investing the time and resources to undertake a wide-scale participatory approach. Having arrived at the culmination of a six-month participatory process, there was already ample evidence of participant ownership in the strategic planning process which became more pronounced as the workshops progressed. Some concrete indicators of this process included

- a deeper understanding among USAID and its partners of challenges and opportunities related to decentralization, income generation and health,
- an ability of participants to see their role in the context of the whole, and
- an opportunity for participants to work collaboratively with a wide spectrum of actors in each sector.

Not only does this process meet the Mission's short-term needs (e.g., a 5-8 year strategic plan), it also promises to have a lasting impact on the implementation and sustainability of USAID's programs.

II Synthesis of Focus Group Results Frameworks (RFs) and Bridge to Proposed RFs

The three workshops were distinguished by an enormous verve and enthusiasm among the nearly 200 participants. Inclusions, deletions and compromises were the occasions for spirited debates over language, definitions, and causal linkages. Different sensibilities, different backgrounds, different agendas all contributed to a potentially explosive combination. Yet consensus was reached, and formulations created which represented the greatest agreement possible. The results frameworks briefly presented below, and provided in the following graphics, illuminate the outcome of the meetings.

Detailed descriptions of the process have already been provided to the Mission in MGP-Afrique's reports. Workshop participants understood that these frameworks are part of the overall process which the Mission is pursuing in developing its own results frameworks. TMG and MGP explained to participants that the Mission would make additional changes as it finalized its strategy in order to fine tune the strategy precisely in accordance with its manageable interests and its resource availability, both human and financial. The Mission provided an overview strategy statement to all participants, which included three draft SOs and their underlying assumptions. The RFs, developed by large and small working groups, reflected this guidance. At the end of each workshop, a core working group (*comite restreint*) further refined the formulation of each RF and presented their work to USAID/Senegal senior management for review.

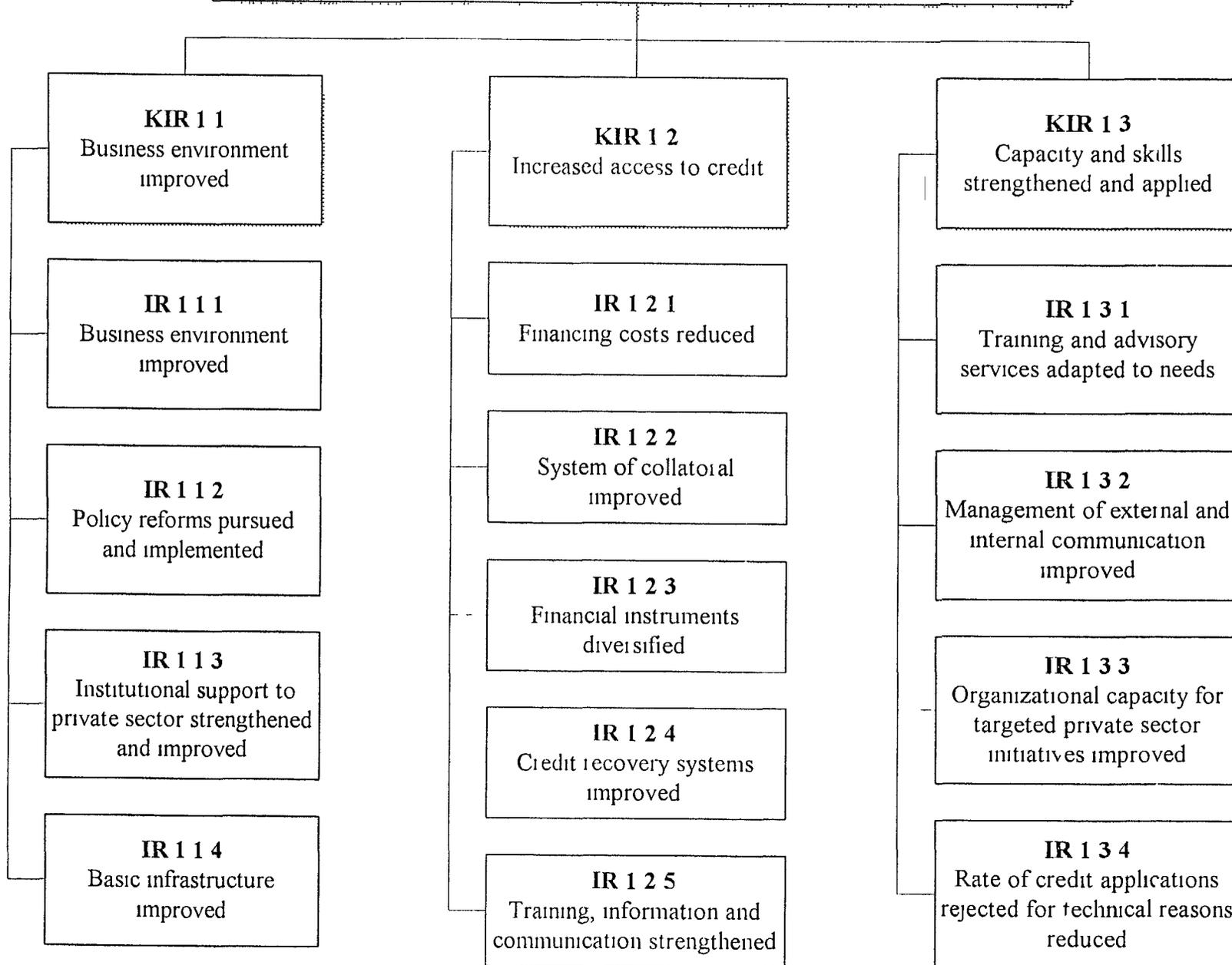
SO 1 Income Generation

With 61 private and public sector participants, the workshop on income generation defined a strategic objective (which became SO 1) based on the needs of the entire sector, following the guidance from prior workshops. Subsequently, in the core working group (*comite restreint*), the results framework was adapted to focus on USAID interventions. There was considerable debate about including the word "participation" in the SO statement, which, while linked, nevertheless emphasized slightly different outcomes. The first of these was increased participation in private sector income-generating activities, and the second was increased private sector income-generating activities. The KIRs under both SO formulations delineated improving the business environment, increasing access to financing, and using/reinforcing skills and systems.

This SO had considerable revision between the focus group effort and that used in this report. The first and fourth KIRs were substantially modified at both the KIR and IR levels, while the second and third KIRs were modified primarily at the IR level. To a large degree, these represented an incorporation to achieve higher level results.

KIR 2.1 changed from skills to institutions, with the IRs emphasizing both skill development and quality of information and management processes. The original formulation had not included that focus on quality.

Focus Group Strategic Objective 1
Increased participation in private sector income-generating activities
or
Increased private sector income-generating activities



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KIR 2.2 compressed three IRs which focused on local management and distribution of funds into a single IR and greatly simplified the remaining, central-focused IR. However, the intent of the KIR remained constant, i.e., it was a product of both central funding and greater decentralized management and funding. The Mission may still choose to use the details from the old formulation of the SO as part of its indicator package.

KIR 2.3 reformulated four IRs into three while retaining the general thrust of improving process and information access. The initial IR 2.3.1 becomes more streamlined as the new IR 2.3.3. The earlier

IR 2.3.2 is deleted as redundant of the KIR itself, and the original IR 2.3.3 and IR 2.3.4 are now the new IR 2.3.1 and 2.3.2, but retain their focus on managing the participatory process and improving its information resources.

KIR 2.4 focusing on NRM under the Decentralization SO was eliminated because its language repeated the SO statement and because NRM was intended to be integrated throughout the SO. A new KIR 4 was added to focus on the policy and regulatory framework which arose as an issue throughout working group discussions.

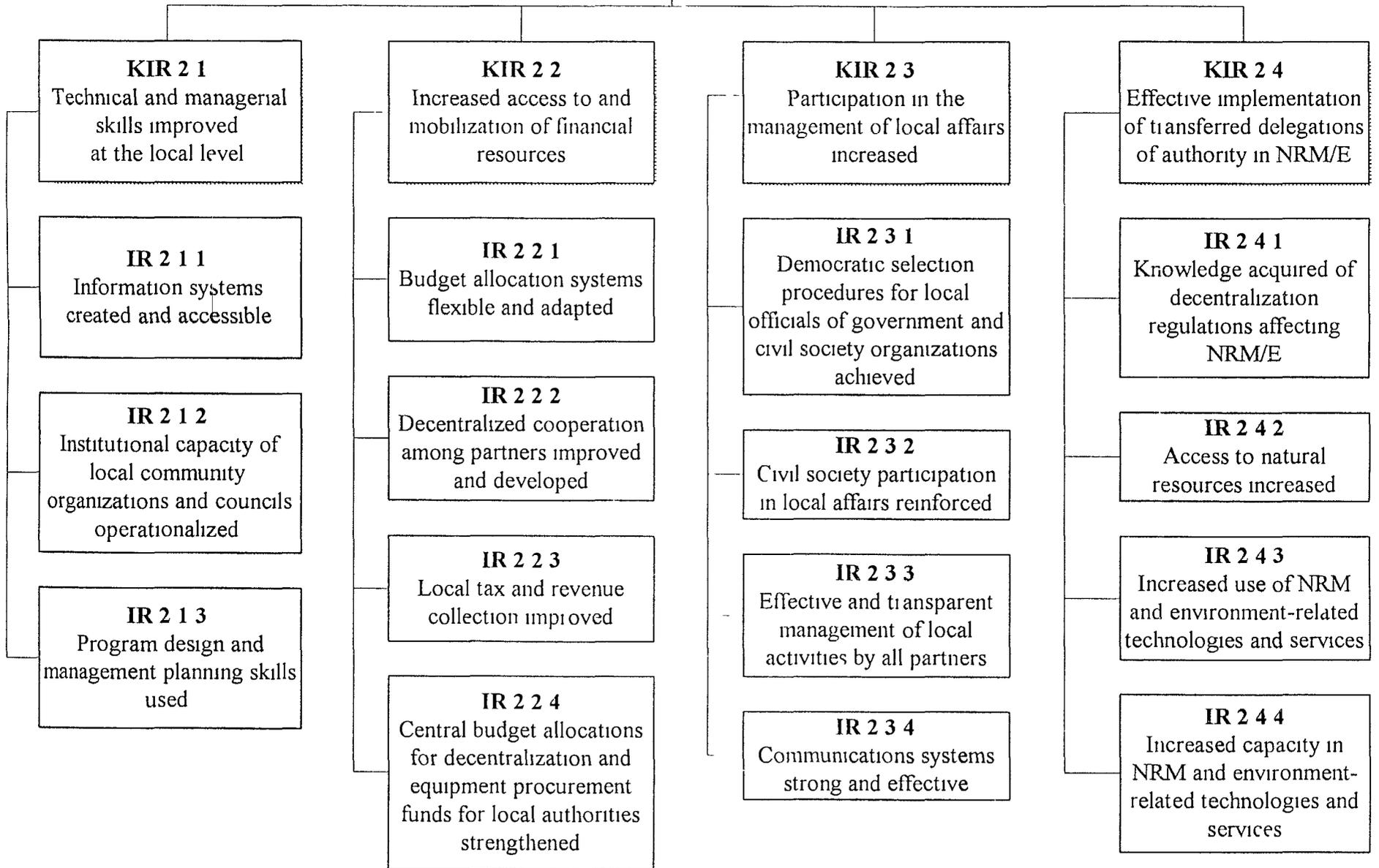
SO 2 Decentralization

The workshop on Decentralization was attended by 66 participants, representing the Government of Senegal (GOS), the private sector, PVO/NGOs, other donors and USAID/Senegal. The decentralization SO emphasized the effective exercise by local authorities and their partners of specific technical skills under the decentralization law in targeted regions. The KIRs under this SO included improved managerial and technical abilities, improvement to financing (both access and availability), increased participation in local politics, and the effective implementation of the decentralized authority in the area of natural resources management. The final KIR provided the most concrete indicator for implementing decentralization.

This SO has the most substantial changes made to its structure, in part due to duplication between the KIR and IRs and due to a persistent problem with inverted logic. The individual KIRs are consistent with those developed during the workshop in that they emphasized policy changes, credit/financing access and improved and increased skills. However, the attendant IRs are considerably different. The version used by TMG represents a best argument for hierarchical logic.

In particular, the first KIR emphasized an improved policy environment. The previous formulation of 1.1.1 repeated the KIR almost verbatim and has been deleted. The earlier IR 1.1.2 has been expanded somewhat into the new IR 1.1.1, with the addition of identifying the appropriate policy reforms. Finally, the intent of the initial IR 1.1.2 and 1.1.4 has been refocused precisely on the judicial framework's adaptation to business, rather than the more general formulation of institution and infrastructure.

Focus Group Strategic Objective 2
Delegations of authority, as defined in the framework of decentralization, effectively implemented by local officials and their partners (in target regions)



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SO 3 Child Survival, Reproductive Health and STD-AIDS

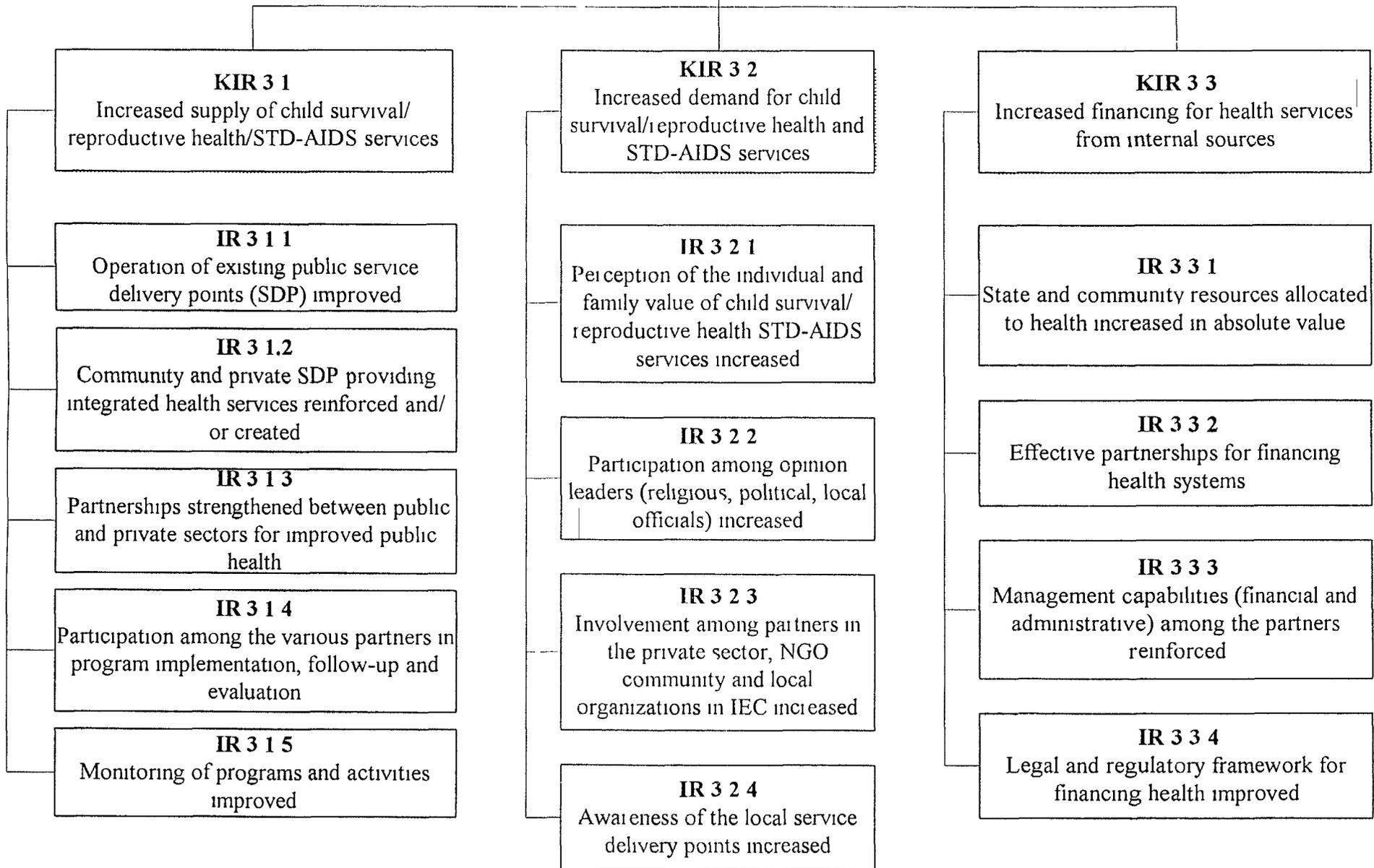
The third workshop on Health, attended by 72 participants, benefited from the most direct USAID experience as well as tangible results and existing practices upon which to build. It also had the most active involvement of sector-specific professionals in formulating the SO. Finally, it benefited from the basically decentralized nature of health systems already extant, so that the vertical level of this SO focused on increased use, rather than establishing basic structures. The SO developed was for increased use of reproductive health, child survival and STD-AIDS services at decentralized levels. There were four KIRs initially which examined increased access to services, increased demand, improved quality and financing. These were further refined in an active debate in the core working group (*comite restreint*) with the outcome that quality was subsumed under the initial KIR of access.

There was considerable discussion among the Mission SO team and USAID/Washington staff about the presence/absence of an IR which specifically addressed quality. The differences between the Focus Group's SO and the revised version concentrate on IR 3.1.4 and 3.1.5 and incorporate many of those concerns over quality, but do so from a more implicit and operationalized standpoint, rather than using the term 'quality' explicitly. The only other change of substance between these two SOs is for IR 3.2.4, which has been more concretely defined to focus on knowledge of location, as opposed to awareness of SDPs. To a very large extent, the reduction from four KIRs and 29 IRs to three KIRs and 13 IRs was the result of the core working group's (*comite restreint*) Friday session, which included the active participation of Mission SO and USAID/Washington partners, with the outcome that this SO required the least number of changes.

The RFs developed by the workshop participants differ from the ones used by TMG in Section III of this report. These differences reflect substantial changes made in the course of meetings between the Mission SO teams, TMG and USAID/Washington staff present in Senegal, and the additional application of methodological rigor to those proposed changes.

The following sections on results frameworks took the outcomes from the workshops and the subsequent refinements over the following weeks from the Mission itself to adjust the frameworks while remaining faithful to the intent of the workshop proceedings. With assistance from USAID/Washington, the Mission initiated this process of internal reflection and fine tuning immediately after the workshops for all of the SOs. Changes were made to improve the methodological rigor of the results framework technology. These changes are delineated and explained in the following section, broken out by individual SO. TMG cannot stress strongly enough its intent, in providing the following section, was to continue the process of the focus groups' efforts and to incorporate subsequent comments from Mission SO teams. The result, as it were, is a continuation of the participatory process which used the workshop RFs as springboards for subsequent refinement. TMG is also aware that this report will, in turn, provide the Mission with a springboard for further refinements, and that this report represents an important link, but by no means a terminal one, in the overall strategic planning process.

Focus Group Strategic Objective 3
Increased use of child survival/reproductive health/STD-AIDS services in the context of decentralization



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III Proposed Results Framework

A Overview

1 Program Goal

The goal of USAID/Senegal's Country Strategic Plan (CSP) is sustainable development. The Mission has chosen to focus on the economic, political and social empowerment of Senegal's poor majority. Greater economic, political and social empowerment attained through the three Strategic Objectives which comprise this strategy contribute to the goal of sustainable development. Progress towards this 20-year goal can be measured by indicators which are beyond USAID's 5-8 year manageable interests, but reflect the larger development context in which the USAID program operates. USAID programs will, along with GOS and other donor efforts, have an impact on this goal over a longer time frame. Measures of progress toward the achievement of the goal may be made periodically as data become available, and are

- **Economic empowerment**
 - increase in per capita GDP
 - increase in employment

- **Political empowerment**
 - increased civil society participation in local governance
 - effective decentralization of additional government functions
 - increased adult literacy (through USAID and other programs, using literacy as a proxy for political/social empowerment)

- **Social empowerment**
 - decrease in fertility rate
 - decrease in child mortality rate
 - decrease in maternal mortality rate

2 Summary Presentation of Strategic Objectives

The Mission conducted an in-depth customer survey in January 1997 of over 7,000 Senegalese throughout all ten regions. The survey indicates that the majority of Senegalese (especially youth and women) is concerned about 1) income generation and jobs, to supplement their meager farm income and informal sector employment, and 2) the decentralization process which has changed the daily process of delivering important services such as health care, education and natural resource management (NRM). Social services rank after income, because the Senegalese customers stated that they place a lower priority on these services, which they can acquire if they have more income at their disposal.

Decentralization is the new political reality in the sectoral areas of USAID's greatest strengths, accomplishments and future emphasis natural resources management and health/population. The landmark decentralization laws, passed as a series of six laws and 23 decrees in March and May 1996, delegate decision-making and implementation authority to lower levels of local government for nine government responsibilities: 1) land tenure, 2) the environment and natural resources, 3) health, population and social affairs, 4) youth and sports, 5) culture, 6) education, 7) development planning, 8) land development, and 9) urban planning and housing. In addition to rural and urban councils, the legislation provides for the establishment of ten regional councils which, among other functions, manage funds allocated to sectoral services in their jurisdictions. The urban metropolis of Dakar is sub-divided into 43 district councils. Full legislated authorities were transferred as of January 1997.

Decentralization includes delegations of responsibilities leading to some local autonomy, and places a strong emphasis on local participation. Decentralization is a work in progress; there is a significant opportunity to shape and influence its structures, processes and effectiveness. It is within this political reality that USAID/Senegal must implement the new strategy. If decentralization fails, the government risks being completely discredited and diminishing the meager services that currently exist. Few countries have successfully decentralized without loss of some services or efficiency, at least in the short term.

The Mission is fully committed to addressing the key concerns of its Senegalese customers, which must now be done in the context of decentralization. The Mission has identified three Strategic Objectives which, while mutually reinforcing, support respectively the economic, political and social empowerment of the Senegalese people.

SO 1 Sustainable increases in private sector income-generating activities in selected sectors

SO 1 focuses on economic empowerment and aims to improve the economic possibilities faced by Senegalese citizens at the lower income spectrum to enhance their income opportunities both through direct support for private micro-businesses and community income-generating activities, and through continued efforts to improve the enabling environment for private initiative.

SO 2 More effective and democratic local government management of services and resources in targeted areas

SO 2 enhances political empowerment at the local government level by addressing the challenged political reality that has occurred with decentralization. Through this SO, the Mission will strengthen local institutions in target areas to operationalize the decentralization legislation in order to enable local populations to carry out their decentralized mandates. D/G funds will support overall institutional strengthening and community priorities, and NRM funds will be used to support local efforts to improve NRM practices through community activities. The USAID NRM program was instrumental in shaping the decentralization legislation, which explicitly requires local participation for NRM activities. Income generation through private individual efforts in NRM will be attributed to SO 1.

SO 3 Increased utilization of child survival, reproductive health, and STD-AIDS, in the context of decentralization

SO 3 addresses social empowerment, and builds on the Mission's experience in health service delivery. Some health indicators have declined in recent years, in the face of entrenched poverty, drought and a growing population. This SO will strive to take advantage of opportunities for public sector programming, as well as expanding health services through non-governmental and private, profit-motivated channels. The first year of operationalization of the decentralization legislation has been highlighted by some important inconsistencies and multiple interpretations and practices of the law. USAID interventions in the health sector must recognize these challenges and attempt to address those within its sphere of influence.

3 Linkages and Synergy between Strategic Objectives

Decentralization is the centerpiece of USAID's Country Strategic Plan and provides the most important linkage between the three SOs. The Mission views decentralization as an important process to empower Senegalese customers at the local level and to achieve impact under each of the three SOs. The implementation of decentralization legislation will change the playing field for all grassroots development efforts. It will raise the stakes for empowerment. If the decentralization legislation is not implemented effectively, the goal of improving the lives of Senegalese and integrating them into a viable economy could fade. On the other hand, if local populations become empowered, and effective exercise of (shared) power is engendered at the local level, then agricultural and NRM-related income as well as social services can improve, thus strengthening extra-Dakar poles of growth.

Income constitutes another important linkage among the three SOs. Increased income, the first priority of our Senegalese customers, is a key factor for ensuring good nutrition, preventive health, and sustainable health care delivery systems. Under the current health SO, Senegalese will be increasingly asked to pay for, or contribute to, services, through the Bamako Initiative as well as through a broader range of private and non-governmental services.

Several cross-cutting themes reinforce synergies and linkages throughout the strategic plan. Foremost among these is the emphasis on improving the enabling environment. Each SO targets improvements in the policy and regulatory environment. For example, SO 1 can impact private health care businesses as well as agri-businesses. Improvement in the policy environment for decentralization will boost local actions across all SOs or even, in some cases, beyond USAID's SOs. Collectively, improvements in the policy and regulatory framework will stimulate private initiative and engender further progress in policy/regulatory reform in other areas, especially if local activists recognize that their efforts can make a difference.

Other cross-cutting themes include the empowerment of women, participation of customers, development of civil society, the private sector, and support for NGOs both as mechanisms of development and service delivery and as advocates for change. Gender sensitivity will be built into

all USAID activities ensuring that women participate in and benefit fully from pertinent activities. This emphasis will reinforce impact and benefits for this most productive yet under-acknowledged and under compensated segment of society.

Geographic focus will provide a final linkage and synergy, where appropriate. Some areas will benefit from activities under all three SOs, while other areas may initially benefit from only one SO. Institutional strengthening of local government units will benefit all public sector services. USAID will strive to enable local governments to function more effectively, and in a more transparent manner, in collaboration with central government (MOH) services. As political empowerment is experienced through successful activities, people will seek the next area to apply new organizational or advocacy skills. Communities with success in NRM activities may then choose to focus on health activities, or vice versa. The sense of empowerment and the ability to influence events and to organize actions in order to obtain results will likely flow over into other sectors.

B STRATEGIC OBJECTIVE 1 Sustainable increases in private sector income-generating activities in selected sectors

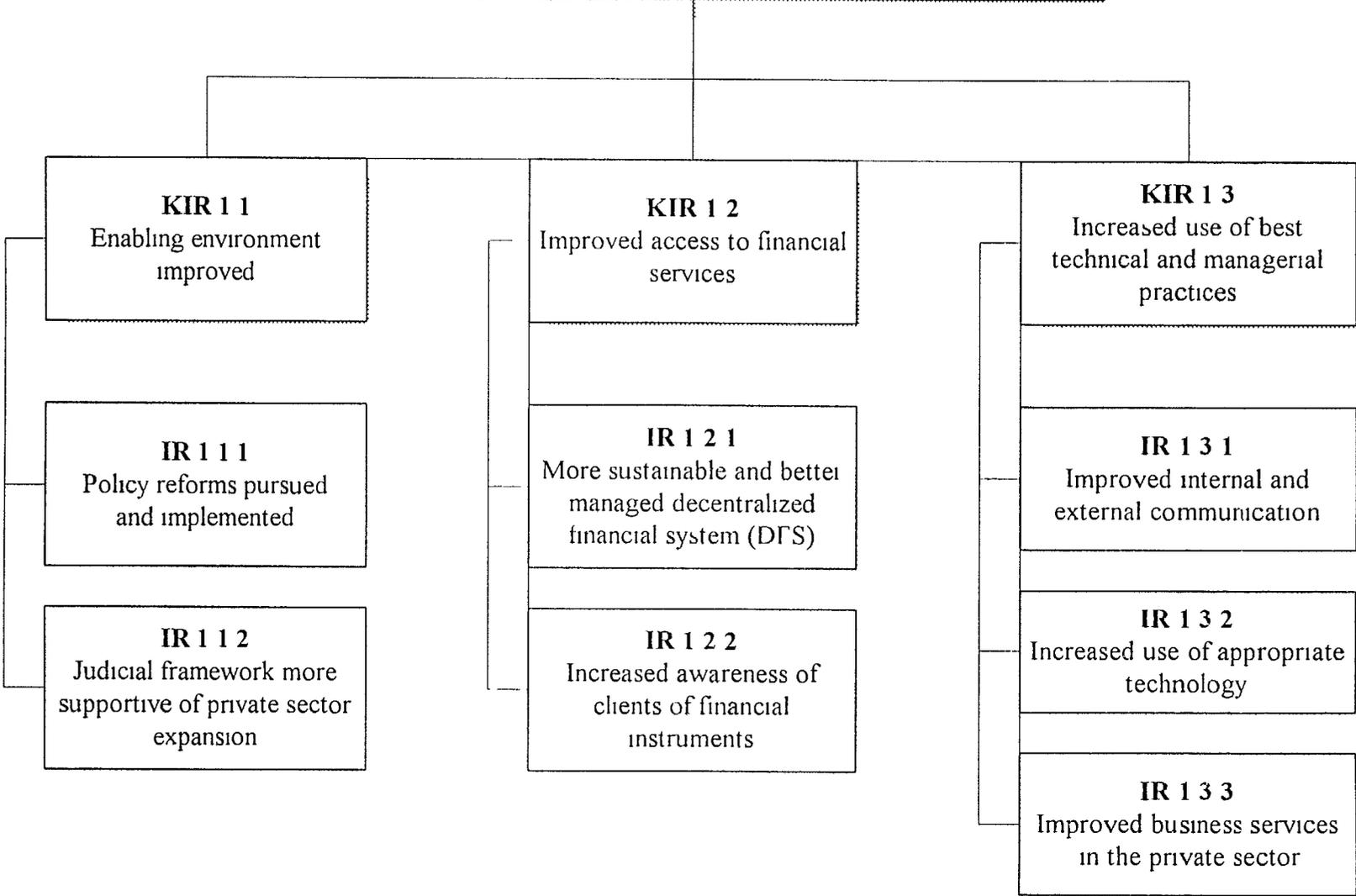
1 Description of SO and Linkages to Agency Objectives

Private sector income generation remains the top priority of USAID's customers in Senegal. The majority of Senegalese remain concerned about economic growth and how it translates into direct, tangible income at the individual or household level. The SO will address economic empowerment at three critical levels: 1) the macro-economic level of the "enabling environment" for private initiative; 2) the level of micro- and small enterprises in selected rural and peri-urban areas, and 3) the level of community and individual actions for income generation.

This SO responds to the Agency's Goal 1 "Broad-based economic growth achieved." The economic growth (EG) goal remains the overriding and ultimate goal of development. As our Senegalese customers know, all sectoral goals contribute eventually to the ultimate end of economic well-being in a context of democratic governance and access to quality social services. These latter goals can be considered key means for attaining economic well-being. When economic conditions are good at the individual level, then most other problems can be solved. Similarly, when economic conditions are good at a national level, then other problems can generally be solved.

Within the EG goal, the SO responds primarily to Agency Objective 1.2 "Expanded access and opportunity for the poor." SO activities will focus directly on income opportunities for the poor majority of Senegalese. The key Agency program approaches which SO 1 addresses include: 1) "Making regulatory, legal and institutional environments more equitable," 2) "Expanding access to formal financial services for micro entrepreneurs," 3) "Expanding access to technology, information and outreach services," and 4) "Expanding economic opportunities for women." The first three program approaches correspond with the intent of the three key intermediate results under this SO, while gender considerations are integrated throughout all aspects of the SO.

Strategic Objective 1
Sustainable increases in private sector income-generating activities in selected sectors



Some aspects of addressing access and opportunity for the poor will require activities that correspond to program approaches under Agency Objective 1.1 "Strengthened markets." For this reason, the SO includes improved internal and external communication. Possible areas of overlap include policy reform, strengthening institutions, the transfer of improved agricultural technology, or training and other support for the private sector. Yet the rationale for undertaking these activities will be to expand access and opportunity for the poor, which fits squarely under Agency Objective 1.2.

2 Problem Analysis Economic Empowerment

Economic empowerment remains elusive for the majority of our Senegalese customers. Of all forms of empowerment, most Senegalese would select economic empowerment first, because it is most relevant to their daily needs and concerns. At the lower level of the income spectrum, political empowerment is often viewed as a means to enhance economic well-being. Social empowerment through better health and education services is necessary to, and often dependent upon, economic empowerment.

Senegal is among the world's poorest countries. While the population growth rate is slowly declining, Senegal's population of 8 million people is still expected to double within 20 years. The natural resource base, upon which the majority of the population depends for a livelihood, indeed for survival, is deteriorating. Deforestation occurs at about 2% per year, soil fertility is declining from over-use, and coastal areas are fighting salinity. While the macroeconomic climate improved with the devaluation of 1994 and the implementation of structural and economic reforms, most people have yet to experience tangible improvements in their daily lives.

In Senegal, economic growth has not yet "taken off" in a broad-based and sustainable manner. To date, political stability and moderation have protected the power and privilege of the bureaucracy and the economic elite. Until these privileges are shared, the conditions cannot be created for broad-based growth which integrates the poor into the economy on a sustainable basis. While the devaluation and other economic reforms improved growth in 1995 and 1996, growth projections for the current year are again positive but low. Considering the conclusions of the recent study headed by Elliot Berg, slower growth is not surprising. The welcomed improvements in Senegal's economy are neither irreversible nor automatically sustainable.

The challenge is to leverage the current economic opportunities within the context of decentralization, in a manner which supports growth and employment among the entrepreneurial segments of the economy. This segment benefits by the benign neglect accorded by government to the informal sector. Considering the magnitude of this challenge, what are the prospects for success under this SO? Or should we conversely ask what is likely to occur if Senegal declines economically and degenerates politically?

The Mission's assessment is that Senegal is at a crossroads, and that new factors provide an opportunity to bolster economic growth from the grassroots level up, while continuing carefully

targeted dialogue and debate at the macro-economic level These new factors include the following

- the devaluation of 1994 and the economic liberalization that followed in its wake,
- the growing acknowledgment that a highly central government is incapable of engendering economic growth, or even providing effective social services to the majority of Senegalese, and that the private sector must be encouraged through incentives and a supportive business environment to take the lead,
- that opportunities exist even in poor areas, both rural and urban, for income generation and small business to provide goods and services that improve the quality of life for the poor while generating income, and
- that decentralization provides a new framework for partnership and activism within which these private income-generating activities can develop for the benefit of the poor in rural and peri-urban areas

These conditions are not sufficient to provide a reasonable chance for positive economic growth trends, unless community-based democratic participation takes on a more vigorous role and the spirit and letter of the new decentralization laws are respected and implemented Conditions at the grassroots level will improve economically and socially if the decentralization laws are implemented at the local level and supported by NGOs and donors This may be a gamble, but it may be a wise one given the lack of alternatives

SO 1 has been designed to provide the essential ingredients for broad-based economic growth by building on the success of past USAID activities in policy reform and local income generation SO 1 activities will address several key constraints to economic empowerment at three critical levels

1) The macro-economic level of the “enabling environment” for private initiative If the Senegalese economy is to grow and positively affect the majority of its citizens, the playing field must be accessible and unrestrained Without concentrated effort at reversing short-sighted bureaucratic regulations (which are being perpetuated and even re-introduced), economic empowerment will not reach the majority of Senegalese A comprehensive and continuous approach is needed to strengthen local business associations and economic policy think tanks to identify priority concerns, document the reality behind these concerns, propose solutions, debate the issues in a participatory and transparent fashion, and develop and implement strategies to improve in the policy/regulatory environment

2) Small business development and micro-enterprises in rural and peri-urban areas There are many possibilities to improve the income-generating potential of Senegalese citizens at the lower income spectrum through direct support for small businesses

3) Community and individual actions for income-generation at the *Commune* level This is the area where the Mission has the greatest experience. The dissemination of sound NRM practices has been associated with community-based income-generation - a combination where both Senegalese customers and the environment win.

3 Critical Assumptions and Causal Linkages

The Mission, in consultation with Senegalese customers and partners, has identified the following critical conditions under which the SO can be achieved:

- GOS continues to consider the private sector as the engine for economic growth
- Transparent and sound macroeconomic management prevails
- A stable political and social climate prevails
- Senegal's external partners continue their cooperation
- Basic infrastructures to support economic growth are available
- Land ownership rights and access to land are expanded and secured

The political will to address the numerous constraints to broad-based and sustainable economic growth in Senegal is obviously of utmost importance to the success of this SO. This political will must be applied to several distinct aspects of the program:

- acknowledging the role of the private sector as the main force for economic growth,
- enforcing transparency at the many administrative and legal levels at which it currently exists,
- supporting a sound macroeconomic framework and economic policies which encourage business development, competition, competitive access to resources, credit and export/import licenses, etc., and
- securing land use and ownership rights

The Mission is not leaving these key areas to chance. Through information systems, focused analyses and media development, civil society in Senegal will be strengthened to provide effective advocacy and appeal to public opinion to bolster the political will.

The Mission, in collaboration with its customers and partners, has defined three interrelated and mutually reinforcing key intermediate results (KIR) to achieve this SO. These three KIRs focus on

the enabling environment access to financial resources and business skills and capacity development. These KIRs constitute necessary and sufficient conditions to achieve the SO, or conversely full achievement of the SO requires successful achievement of each KIR at some level. However, specific and tangible progress will be attained in accordance with the indicators that the Mission has identified.

Suggested indicators for the SO and individual KIRs are listed in the table following the text discussion of the Results Framework. As the Mission determines specific activities and targets particular regions, this list can expand or contract, as needed.

The causal relationship between each KIR and the SO is set forth below in the following quasi-mathematical formulation. This exercise presents the components and their definitions in a larger system context. The symbol f is mathematical shorthand for "is a function of" and indicates that the components within the parentheses comprise the result to the left of the equal sign.

SO Increasing private sector income = f (policy environment + financing + practices + economic reforms)

KIR 1 policy = f (laws + government regulations)

KIR 2 financing = f (resources + systems + services)

KIR 3 practices = f (services + technology + communication)

4 The Results Framework

KIR 1.1 Enabling Environment Improved

The policy/legal/regulatory framework is perhaps the most essential aspect for successful private sector income generation. If the playing field is accessible and even, the hypothesis is that individuals will identify opportunities and create businesses and/or employment. Over time, it is likely that increasing economic opportunities through a more favorable environment would stimulate significant economic growth. Of course, government and/or community regulation and oversight are required to prevent abuses or environmental damage. Nonetheless, in general, the more open opportunities are, the greater the economic activity will be. This is clearly the most important area for USAID support, but also the most difficult area in which to guarantee results. It is important to keep the KIR at a higher hierarchical level than its component IRs.

The critical assumptions are 1) that individuals and groups will be motivated to organize and invest in economic activities if the enabling environment permits, 2) that economic opportunities will in fact exist, 3) that entrenched economic interests and bureaucratic privileges can be convinced to reduce or eliminate their current advantages and make way for reform, and 4) that transparency as a cultural norm is possible in Senegal.

Two intermediate results will support the achievement of this KIR

IR 1 1 1 Policy reforms pursued and implemented

This area has the greatest promise and relevance to micro and small enterprises (MSE). The majority of micro enterprises are informal, and may have special needs which are not yet identified or assessed.

For formally registered enterprises, the IR will focus on simplifying administrative procedures to streamline and rationalize them, and to accelerate the process of completing them. The initial task will be to identify which procedures pose the greatest constraints, along with the likelihood that reform can be effected. A priority list of potential reforms will then be established, and assessments conducted to recommend resolution. These reports should be vetted through dialogue, seminars, and/or media.

IR 1 1 2 Judicial framework more supportive of private sector expansion

This IR focuses on judicial constraints to small business activity. The key areas of concern include the timeliness of court decisions increased, predictability of judicial decisions increased and judicial decisions implemented. The initial task shall be to identify the types of litigation which pose the greatest constraints to MSE. Then a priority list of issues related to efficient and transparent litigation, and potential reforms will then be established.

KIR 1 2 Improved access to financial services

This KIR focuses on financial resources, systems and services for private income-generating activities. It is predicated on the fact that investments are needed for the creation of private income-generating activities which entrepreneurs may not have at their disposal. While Senegal's financial sector has relatively high liquidity, few small businesses are adequately serviced. Banks generally consider small business loans to be risky and costly to administer. There is also a lack of appropriate financial institutions to serve as intermediaries between banks with liquidity and the small business sector. The Decentralized Financial System (DFS) created through credit union legislation in 1995 is intended to provide innovative ways to meet the savings and credit needs of small businesses. Clearly, the SO cannot be realized if financial resources are not available to small businesses for income generating activities.

Critical assumptions are 1) that the sustainability of the financial system will not be undermined by sources of subsidized credit, 2) that macro-economic conditions remain favorable, thus reducing financial risks, 3) that the government does not forgive loans, thus providing a disincentive for repaying loans.

Improved access to financial services will be achieved through two IRs

IR 1 2 1 More sustainable and better managed decentralized financial system (DFS)

Sustainable and effective credit systems will be established through the SO, building to the extent possible on existing credit systems

Sustainability means that loans are repaid, that loan recovery is not an issue, and that savings and deposits are mobilized. Financial institutions must have deposits and make loans in order to generate business and to survive. Improved capacities and skills within financial institutions will be required to achieve this superior performance, along with effective supervision

Effective credit institutions provide timely and efficient services to their clientele. They also provide credit at the lowest possible rate without subsidy. As with any business, a profit-oriented financial institution may not provide the lowest rate unless there is competition. The provision of credit at reasonable rates is in contrast with inefficient if not usurious informal credit systems in Senegal which may require 1% a day, or 10% a week. In the area of MSE, credit is generally considered as an integral part of technical and managerial support. Often the loan is accompanied by training and monitoring, to assure that problems are promptly addressed. Most micro enterprise credit institutions add administrative or training fees on to the interest rate. This enables them to pay for the costlier administration of small loans and to provide training and monitoring as required. Without this administrative fee, the credit institution could not become sustainable.

IR 1 2 2 Increased awareness of clients of financial instruments

An important component of increased access is the client's knowledge of the service availability. It is vital therefore that both the system itself and its resources be disseminated and understood.

KIR 1 3 Increased use of best technical and managerial practices

This KIR focuses on essential human resource skills required to generate successful business activities. Building and supporting these skills in would-be entrepreneurs is perhaps the most important element of this SO. Even the most innovative financial services are not sufficient without the application of best technical and managerial practices.

Critical assumptions are 1) that Senegalese entrepreneurs exist and wish to improve their business skills, 2) that appropriate training mechanisms exist and will be utilized, 3) that family and other social demands will not decapitalize the business, 4) that appropriate technologies are translated into viable profit-making enterprises, and 5) that training and business services can be institutionalized in a sustainable manner.

Three IRs support the achievement of the KIR

IR 1 3 1 Improved internal and external communications

Good business requires good information for decision-making, especially in the areas of market information, appropriate technology development and management innovations. This IR will improve access to information through media, the Internet and the Leland Initiative, and through special reports, as appropriate. There are also information and communication needs for policy reform, through use of the media to foster public debate and consensus building. This can be coordinated with information needs and media strengthening in other SOs.

IR 1 3 2 Increased use of appropriate technology

Appropriate technology is a key factor for small businesses, because it affects the feasibility of many activities. Appropriate technology concentrates on those choices which are cost effective, favor labor over capital, and/or are easier to produce and maintain, such as water pumps based on readily-available bicycle parts. The program will provide information and access to appropriate technology for MSE development.

IR 1 3 3 Improved business services in the private sector

The role of business services is to provide training and support for entrepreneurs. This IR will support the establishment of business services through NGOs, community programs or appropriate financial institutions. The business services will teach business management skills including accounting, marketing, input supply and purchasing, inventory management and other skills required for their clients.

INDICATORS FOR SO 1

| | |
|----------------|--|
| SO 1 | Sustainable increases in private sector income-generating activities in selected sectors |
| Indicators | <ul style="list-style-type: none"> - amount of income distributed through activities targeted and/or supported - number of activities newly established and supported - survival rate of activities newly established and supported - number of people employed in activities targeted and/or supported |
| KIR 1 1 | Enabling environment improved |
| Indicators | <ul style="list-style-type: none"> - proportion of surveyed economic agents that report improvement in business climate - average time to resolve business litigations - average time to enforce judicial decisions - registration costs - average time to establish a new business - number of firms/products granted with tariff preferences - number of public enterprises privatized - value of public shares transferred to the private sector - number of consultative meetings |
| KIR 1 2 | Improved access to financial services |
| Indicators | <ul style="list-style-type: none"> - amount and number of loans extended - amount of savings mobilized - number of diversified financial instruments - percent of financing requests met - cost recovery rate - loan repayment rate - loan disbursement rate - number of functional DFS branches - number of financial intermediaries in the network - number of 'on spot' verifications |
| KIR 1 3 | Increased use of best technical and managerial practices |
| Indicators | <ul style="list-style-type: none"> - proportion of financing requests rejected for technical weaknesses - percentage of management decisions made from participatory process - number of position papers and studies by the private sector organizations - subscriptions to specialized journals/magazines - membership in information network - number of outreach agents - number of vocational centers - proportion of economic agents reporting that they abide by agreed-upon standards |

C STRATEGIC OBJECTIVE 2 More effective and democratic local government management of services and resources in targeted areas

1 Description of SO and Linkages to Agency Objectives

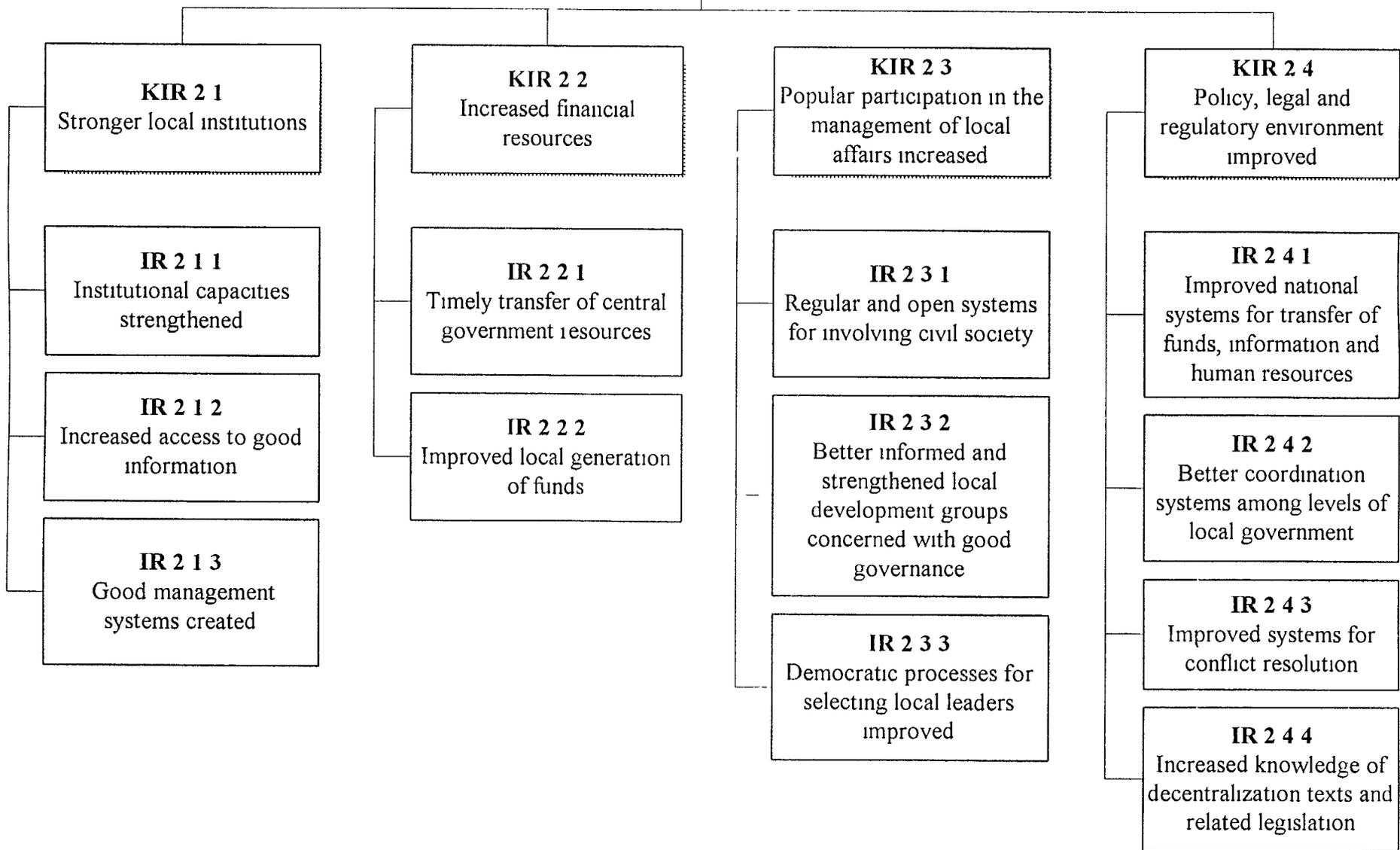
Decentralization is the centerpiece of the USAID/Senegal strategy for the next 5-8 years, as Senegal moves into the new millennium. The transfer of some political authorities to the local governments sets the stage for political empowerment where it most matters. Decentralization represents both a risk and a hope. The risk is that local government with its partners will not be adequately empowered, in terms of capacity, efficiency, financial resources and political authority, to carry out the authorities with which it is now vested. The hope is that the future development of Senegal will be successful, and lead to local empowerment to deliver services and mobilize resources, resulting in tangible improvements for the majority of the Senegalese people.

SO 2 links increased authority to local government structures with the implementation of NRM objectives. The SO responds to two Agency goals, Democracy/ Governance and Environment. Under Agency Goal 2, "Sustainable democracies built", the SO encompasses two distinct but closely related objectives. The SO responds to both Objective 2.4, "More transparent and accountable government institutions. Increasing local government participation in decision-making" (2.4.1) and Objective 2.3, "Increased development of politically active civil society". Two elements of Objective 2.3 are critical to the achievement of the SO: "Strengthening civil society's oversight of state institutions" (2.3.2), and "Increasing CSO participation in policy formulation and implementation" (2.3.5). It is impossible to distinguish which Agency goal is more important, because civil society and local government are two sides of the same coin: neither can be optimally effective without the other.

The decentralization legislation transfers several authorities related to NRM, such as land tenure, land development and development planning. It also includes areas of tangential relevance such as social affairs and youth (for organizing civil society associations and actions), and possibly education (for integrating exposure to NRM, health and democracy/civil society). The legislation includes specific legal texts to mandate popular participation and the formation of local civil society organizations, specifically in the area of natural resources management/environment (NRM/E). The role of the government is to serve the people (not the other way around), as local government cannot effectively manage resources and services without strong participation from the people. One major reason that local governance has failed in the past is that it has simply transferred an authoritarian attitude from the core to the periphery, rather than empowering the local population. The role of government will emphasize mobilization of resources and the expansion of freedoms for individual initiative.

Under Agency Goal 4, "Environment managed for long-term sustainability", the SO responds to Agency Objective 4.5, "Sustainable natural resource management, focusing on managing sustainable forests" (4.5.1) and "Practicing sustainable agriculture" (4.5.3). The key measure of the effectiveness of local government will be its success in achieving results using a participatory process. NRM will be a primary focus for local actions, in terms of improved and sustainable resource management and income generation.

Strategic Objective 2
More effective and democratic local government
management of services and resources in targeted areas



1000

2 Problem Analysis Political Empowerment

Decentralization is the democratic process by which the GOS has devolved increased authority to local government structures gradually since the 1960's. To accelerate this political process, Senegal revised its electoral code and passed one of the most progressive decentralization laws in francophone Africa in March 1996. The replacement of administratively appointed officials with 28,000 local elected officials in November 1996 marked an extraordinary post-independence move toward popular democracy. The election put in place a large group of local officials, most of whom were elected to public service for the first time and of whom 80% are reported to be illiterate. The elections transpired without arrests of opposition leaders, for the first time in years. Some incidences of fraud and irregularities were publicized through the private radio and press media, resulting in the re-opening of some polling stations. Although installation of these elected officials has transpired smoothly, they remain unsure of their roles and responsibilities under the new legislation. In addition, the legal framework and operational procedures remain incomplete, and financial resources have not devolved to the local authorities.

Decentralization represents a major step toward the establishment of popular democracy at the grassroots level. Local government institutions have been established with some authority at the local level. The legislation includes specific legal texts to mandate popular participation and the formation of local civil society organizations.

Although full legislated authorities were transferred as of January 1997, many local government institutions lack the human and financial resources to be functional administratively. Some Rural Councils have also experienced difficulties in accessing authorized budgets. These are held up at Urban Councils, where the mayors receive budgets (even though their constituencies do not extend to Rural Councils) and therefore have no interest in maintaining that expanse of the pipeline.

The new elected governments have created a de facto dual administration on the regional and local levels, as presidentially appointed governors, prefects and sub-prefects coexist with elected organs. These appointed officials retain important powers such as deciding on local government budgets if the local council is deadlocked. Part of the process of implementing decentralization in Senegal will be to empower newly-elected officials sufficiently to stand up to traditional power bases.

3 Critical Assumptions and Causal Linkages

The critical assumptions at the SO level define the conditions under which SO 2 can be achieved. In consultation with our Senegalese customers and partners, we have defined these as follows:

- **A climate of social, political and institutional stability prevails.** This will permit continued democratization. This condition is a minimum prerequisite to the success of the program. As the insurgency in the Casamance demonstrates, overall stability is required for local governance to evolve in a participatory manner, enabling local development to occur.

- **The political will continues and is shared through consensus to do the following**

- assigning quality human resources to the local level
- establishing operational support institutions (Economic and Social Committee and Regional Development Agency, etc)
- providing material and logistical means

The political will to support and follow through with decentralization constitutes perhaps the most critical condition for its success. The central government must not obstruct or manipulate the process, either deliberately or through neglect, carelessness or bureaucratic obfuscation. Officials in the Ministry of Decentralization were concerned during Focus Group discussions about the inadequacies in the legislation pertaining to the decentralization of health services. The fact that the budget has not been allocated to rural health centers during this first year of decentralization bodes ill for the first phase of decentralization. Hopefully, this will not set a precedent. The political will at the center or at other critical points down the line must be supportive of the decentralization process. Clearly, this issue will be the subject of policy dialogue and perhaps even citizen activism, if the political will fails to prevail at critical national and regional levels.

- **Donors and partners agree to work directly with communities and local populations, and establish appropriate funding mechanisms** Donors have traditionally provided funding directly to central government bodies, with the exception of funds allocated directly to PVOs or other private entities. If decentralization is to succeed, funding procedures will have to be adapted to a different reality. Only with deliberate effort will these changes take place. Senegalese partners are sufficiently concerned about this issue that it has been included as a critical assumption.
- **People believe in, and participate in, local government** This is the countervailing force to political will. The entire decentralization effort could falter if people mistrust the process and fail to invest their time and effort in local governance. Nurturing the confidence on which popular participation depends also requires strong leadership by local officials and civic leaders and the emergence of models of successful decentralization to reinforce the confidence and as well as to assuage their doubts.

Suggested indicators for the SO and individual KIRs are listed in the table following the text discussion of the results framework. As the Mission determines specific activities and targets particular regions, this list can expand or contract, as needed.

Another device for examining causal linkages is the following quasi-mathematical formulation. This exercise presents the components and their definitions in a larger system context. The symbol f is mathematical shorthand for 'is a function of' and indicates that the components within the parentheses comprise the result to the left of the equal sign.

SO More effective and democratic local government management of services and resources in targeted areas

Improved local government = $f(\text{institutions} + \text{financing} + \text{participation} + \text{laws})$

KIR 1 stronger local institutions = $f(\text{improved systems} + \text{improved information})$

KIR 2 improved financing = $f(\text{external sources} + \text{internal sources})$

KIR 3 increased participation = $f(\text{systems} + \text{institutions} + \text{information})$

KIR 4 laws = $f(\text{systems} + \text{coordination} + \text{information})$

4 Results Framework

KIR 2.1 Stronger local institutions

If local government management of services and resources is to be effective and democratic, then strong institutions must be developed at the local level, both governmental and non-governmental. The current level of capacity is exceedingly weak or non-existent. The knowledge, skills and attitude (KSA) of local leaders must be strengthened and developed on both technical and managerial levels. The acquisition and application of knowledge, skills and attitudes favorable to participatory and transparent governance is a precondition for the successful implementation of the decentralization legislation.

Critical assumptions are: 1) that individuals and groups in the community and in the local government are willing and able to adapt their behavior to take advantages of opportunities created by decentralization, 2) that small groups can organize themselves around tangible interests and work together for their mutual benefit, 3) that relatively poorly educated local elected officials and civil society leaders, working with local administrative officials, can acquire the basic skills to guide and manage bureaucracies and to encourage individual and community actions, 4) that access to good information will provide adequate technical and organizational guidance to support successful activities, 5) that adequate skills can be developed to create and sustain sound management systems which are transparent and effective, and 6) that successful actions undertaken will in turn inspire and mobilize additional community actions.

Three intermediate results support the achievement of KIR 2.1

IR 2.1.1 Institutional capacities strengthened

This IR focuses on building the capacity of local government structures and civil society structures, organizing their efforts around good governance practices, participatory planning and implementation, and the achievement of tangible services and resource utilization

IR 2.1.2 Increased access to good information

This IR is based on the premise that good information is requisite to strong institutions. It focuses on establishing information systems for technologies and organizational approaches, including training and promoting local private initiative. Local access to good information is expected to enhance the quality of development efforts and promote their sustainability

IR 2.1.3 Good management systems created

This IR focuses on establishing sound systems for record keeping, budgeting, accounts, management and report writing to show progress and completion of activities. These systems will provide a framework for ensuring that efficiency and transparency are institutionalized into routine procedures. The systems will in turn facilitate management of local government and NGO operations, will ensure democratic participation and transparency, and will provide the basis for assuring accountability

KIR 2.2 Increased financial resources

The causal relationships between this KIR and the SO build on the basic construct established in KIR 2.1. If local government and communities develop the organizational capacity to plan and implement activities which generate services and effective/sustainable resource management then financial resources must be mobilized to implement their actions. A portion of financial resources will flow from the central government, as outlined in the decentralization legislation. Additional resources are expected to be mobilized locally, through non-government channels, donors and local contributions and fund-raising

The magnitude of the political reform anticipated under the decentralization legislation implies the need for greater resources if the vision is to be realized. Clearly the government does not have adequate resources to meet all the social and economic needs of all Senegalese. In fact, a strong rationale for decentralization is to transfer greater responsibility and freedom for action to individuals and non-government groups. Even if the political will were sufficient, the resources available from the central government would be inadequate

Critical assumptions are 1) that governmental resource allocations will be forthcoming, as the flaws in the decentralization legislation are addressed, 2) that government allocations will not decline should there be increased competition for limited central government resources, or if central revenues decline

owing to famine or other reasons, 3) that communities are able to attract additional funds from donors and NGO partners, and 4) that individuals contribute their own resources (both financial and in-kind)

Two intermediate results support the achievement of this KIR

IR 2 2 1. Timely transfer of central government resources

This IR addresses budget allocation transfers from the central government. There is a general grant transfer fund ("Fonds de Dotation") for general operations as well as an equipment fund. This IR is complemented by IR 2 4 1 which focuses on legal issues and overall systems to ensure the transfer of funds, information and human resources

IR 2 2 2 Improved local generation of funds

This IR addresses non-central government sources of funding for local governments to carry out their programs. Alternatives include donor and NGO funding, local fiscal efforts, credit, and private fund-raising or contributions, both financial and in-kind contributions

KIR 2 3 Popular participation in the management of local affairs increased

The causal relationship between the KIR and SO is captured first by the concept of "democratic" in the SO. Democracy requires participation at several levels: through elections, through participation in decision-making and feedback on the acceptability of plans, through participation in the implementation of services and development activities through financial contributions, and through oversight and feedback of overall government actions

Critical assumptions are: 1) that people have the time and interest to participate at the levels defined above; 2) that local leaders (civic, elected officials and administratively appointed officials) provide a sound "encadrement" to inspire popular participation; 3) that better information will mobilize people to greater action; 4) that elections can be organized and conducted in a transparent and credible fashion; and 5) that local civic leaders are selected in a credible and transparent fashion based on the confidence and the anticipated achievements that they inspire rather than ineffectual criteria

The following three intermediate results support the achievement of this KIR

IR 2 3 1 Regular and open systems for involving civil society

Establishing systems for involving civil society begins with regular meetings. The style of leadership within the meeting must encourage sharing of views and information by the membership. The sharing of financial information is a key element of transparency, and is essential for trust and openness. In a semi-literate society, meetings constitute perhaps the most important forum for communication and participation. Yet discussion must also be encouraged outside of meetings, informally as well as in

small groups, subcommittees or less formal settings, to involve those who may not speak at or have attended meetings, and to allow the issues to be discussed and fully vetted. Thorough, candid and regular reports on plans, budgets and activities constitute an indispensable aspect of open systems.

IR 2 3 2 Better informed and strengthened local development groups concerned with good governance

Information pertaining to responsible and effective oversight of local government and civil organizations is covered in IR 2 3 2 above. This IR, however, focuses on information which is integral to a capable civil society. This includes technical information and organizational and motivation techniques for mobilizing effective and sustainable activities at the local level. It also includes sufficient information to provide oversight for local institutions and meaningful participation in their deliberations. IR 2 4 2 will address information needed to identify policy and regulatory constraints, and to assess options on what actions to take to address them.

Information systems established through this IR will be accessible at the local level through NGOs and/or local government services, as per IR 2 1 2. These information systems will provide data on effective and appropriate technologies for NRM and other technical areas including possibly improved local construction, etc, information for organizing community activities, training and credit mechanisms, and experiences of other communities in Senegal and elsewhere, as appropriate. Information on team building, information-sharing, fund-raising, problem solving, conflict resolution, and other issues encountered may also be provided.

Information needed to provide effective oversight and meaningful participation in local institutions will be provided through IR 2 1 3, wherein good management systems will provide regular reports and financial disclosures.

IR 2 3 3 Democratic processes for selecting local leaders improved

One of the most important components for popular participation is the process of selecting or electing leaders. If leaders are not respected and effective in carrying out their roles, then popular participation generally falters and people become indifferent. This IR will work with elected and appointed officials, and with civil society leaders. With respect to elected local officials, the IR will support activities to assure that elections are fair and open, and that the electorate is appropriately informed of their roles, responsibilities and choices.

With respect to civil society organizations, the IR will provide training and organizational development to reinforce democratic processes for selecting leaders, and to transfer knowledge of participatory management techniques, such as team-building, information-sharing, problem-solving, conflict resolution, democratic management processes, and systems to assure transparency, accountability and oversight.

KIR 2 4 Policy, legal and regulatory environment improved

The causal relationship between this KIR and the SO is predicated on the importance of an enabling environment which minimizes impediments to organizing services and activities. A key aspect of this environment is the support forthcoming from the central government, in the form of human and financial resources transferred to the periphery. The policy, legal and regulatory framework for the effective decentralization is not yet in place. Serious gaps have already been identified, and must be redressed. These areas include transfer of budgets as well as personnel. It also includes the effective coordination of the governmental structures created in the decentralization legislation.

Finally, at the simplest level, the knowledge and comprehension of the decentralization laws are extremely poor at the local level. This causal link is clear: the SO cannot be attained if local actors, including the local population, do not understand the laws and regulations which define their scope of actions.

Critical assumptions with respect to this KIR are: 1) that the political will exists among national, regional and local officials, both elected and administratively appointed, to rationalize and to successfully implement the intent of the decentralization legislation, 2) that adequate skills can be transferred and developed to implement decentralization legislation and other relevant laws and codes, 3) that progressively more rational, just and "enabling" laws, codes and regulations are developed and implemented transparently, 4) that local actors, many of whom are illiterate, can comprehend and effectively apply the intent of all relevant legislation, codes and regulations.

The following four intermediate results support the achievement of this KIR:

IR 2 4 1 Improved national systems for transfer of funds, information and human resources

This IR addresses implementation of existing legislative provisions which have not been effectively carried out during this first year of decentralization. Successful achievement of this IR will require effective coordination among the various levels of government, especially with respect to funding.

IR 2 4 2 Better coordination systems among levels of local government

Coordination is essential for information sharing about successes as well as constraints and concerns. If decentralization is to succeed as a movement, it will require horizontal coordination as well as vertical.

IR 2 4 3 Improved systems for conflict resolution

Conflicts which can and should be resolved at the local level will inevitably arise. Conflicts around land use, land titling and land development have regularly posed challenges to NRM activities. This IR will address conflict resolution for NRM and other issues, as appropriate. It may also support

efforts to improve the issuance of land titles, which may be easier to handle at a local level than in the politically charged central level to which it was relegated prior to decentralization

IR 2 4 4 Increased knowledge of decentralization texts and related legislation

One of the key constraints to decentralization at the present time is a lack of knowledge of the decentralization texts and related legislation. This lack of knowledge exists both at the level of general operations and of specific sectoral authorities, such as NRM and health financing. It is essential that a basic operational understanding of the decentralization legislation be provided in a consistent and coherent manner across the country. It would not be desirable for one area or region to interpret the text differently from another. The lack of knowledge constitutes a fundamental constraint, since local leaders are afraid to act until they understand their roles and responsibilities. Rationally, this should have been done prior to enacting the legislation. It is certainly important to initiate this transfer of knowledge as soon as possible.

INDICATORS FOR SO 2

| | |
|----------------|---|
| SO 2 | More effective and democratic local government management of services and resources in targeted areas |
| Indicators | <ul style="list-style-type: none"> - % of CRs where populations are satisfied with the exercise of defined authorities - % of CRs implementing NRM plans - % of CRs where (10-20%?) of farmers are using improved NRM practices - % of CRs implementing (other sectors') plans, budgets and programs - % of CRs having one (or all) of the statutory meetings - % of CRs having public hearings - % of CRs having published budgets |
| KIR 2 1 | Stronger local institutions |
| Indicators | <ul style="list-style-type: none"> - % of CRs that develop plans programs and activities - % of CRs having operational information systems |
| KIR 2 2 | Increased financial resources |
| Indicators | <ul style="list-style-type: none"> - average increase in annual CR's tax revenues - average amount of money received by CRs from the central government - % of CRs which collect money outside of taxes |
| KIR 2 3 | Popular participation in the management of local affairs increased |
| Indicators | <ul style="list-style-type: none"> - voter turn out in transparent and democratic local elections - % of local government where at least X number of citizens participate actively in consultation fora - % of local government where at least X number of organizations and/or persons exercise a right to access local government documents - number of appeals against the acts of local governments and deconcentrated authorities - number of regular elections scheduled and contested |
| KIR 2 4 | Policy, legal and regulatory environment improved |
| Indicators | <ul style="list-style-type: none"> - % of conflicts resolved at local level - % of memoranda of agreements among different levels of government - % of <i>Communaute Rurale</i> people knowledgeable of decentralization texts and related legislation |

D STRATEGIC OBJECTIVE 3 Increased utilization of child survival, reproductive health, and STD-AIDS services in the context of decentralization

1 Description of SO and linkage to Agency Objectives

The mission's SO 3 fits perfectly within the parameters of the Agency's Goal 3 "World's population stabilized and human health protected in a sustainable fashion", and includes all four of the objectives' emphases on 3 1) "Sustainable reduction in unintended pregnancies", 3 2) "Sustainable reduction in child mortality", 3 3) "Sustainable reduction in maternal mortality", and 3 4) "Sustainable reduction in STD/HIV transmission among key populations" Rather than treating these as four separate sub-goals, however, the mission has compressed 3 1 and 3 3 (for a total of three major service areas) to contextually situate the results within the Ministry of Health's National Program for Reproductive Health in Senegal and with MOH policy to provide an integrated package of primary health services

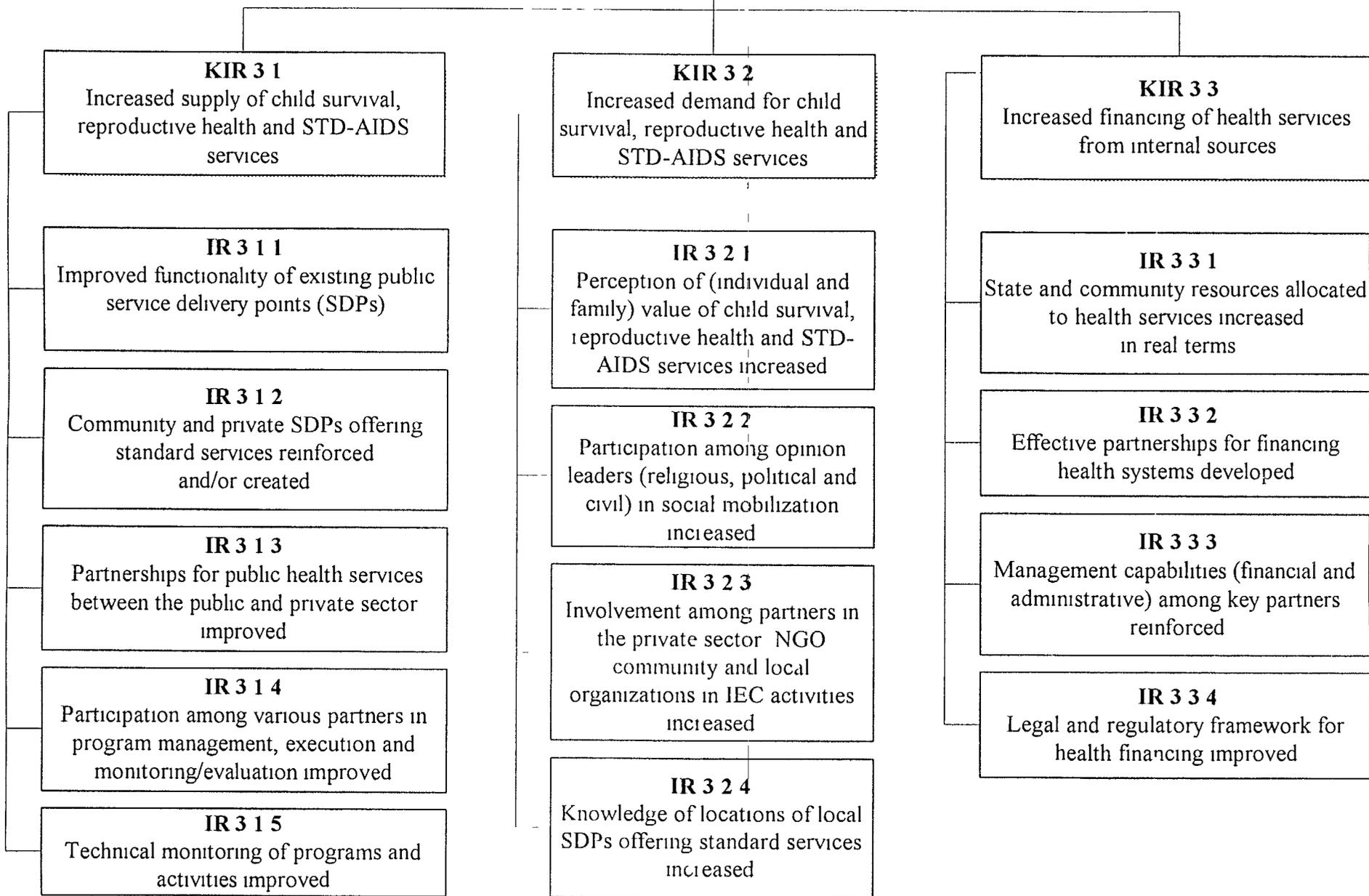
The Senegalese MOH has adopted a much broader definition of reproductive health than many other countries, including virtually all elements of its primary health program USAID feels that this all-inclusive approach would be less effective than a more focused program and runs the risk of overly diluting the government's efforts The MOH program for reproductive health includes 1) provision of family planning services, 2) pregnancy monitoring, through delivery and post-partum, 3) prevention and management of infertility and infecundity 4) prevention and management of STD/HIV, 5) nutritional monitoring and well-baby care, including breast-feeding, vaccination, and best practices for weaning, 6) prevention and management of genital disorders and diseases, including cancers, 7) prevention of abortions and post-partum care, 8) education for responsible parenting, and 9) battle against FGM, battering and sexual cruelty

Mission guidance reformulated these components in a more focused program to correspond to USAID's manageable interests, with the outcome that a limited package of reproductive health, child survival and STD-AIDS activities would be the three targeted areas for individual health activities Reproductive health was further defined as family planning and pregnancy monitoring, to include the pre-natal and post-partum consultations developed as part of the Ministry's protocols Child survival and STD-AIDS were also noted as priority areas of intervention The end result is a package of three overlapping and complementary health services which affect, to some degree, all of Senegal's population women, children and men

The components on which USAID/Senegal has chosen to concentrate do not yet delineate either the specific interventions or the specific geographic areas for those interventions USAID will focus on strengthening integrated service delivery at the community level, while maintaining a focus on key health outcomes as quality and utilization indicators The program will exploit synergies and opportunities for increased contacts with the health care system (public and private), rather than specific vertical programs

While decentralization comprises a separate SO for the mission, it is integral to the operationalization of the other two SOs, those of the private sector and health Decentralization in terms of health

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services has been a fact under which all prior services have been accessed, but decentralization as the law means that public health services are now funded through local entities, rather than independently via the central Ministry of Health. This new partnership of health providers, in terms both of technical capabilities and financial resources also responds to the Agency's Goal 2 "Sustainable democracies built" in its Objective 2.4.1 ("More transparent and accountable government institutions. Increasing local government participation in decision-making"). Financial resources have historically been primarily public funds, with private providers operating outside of the scope of development organizations, and, to a certain extent, outside the scope of government control. This SO acknowledges not only their presence, but establishes coordinating mechanisms by which both the customers and agents at the local level in both the public and private sectors can establish partnerships and create ownership of the ongoing provision of health services.

Providing services has never been enough, if these are not funded and valued at the local level. Reinforcing and refurbishing the existing mechanisms for service delivery are not sustainable unless ownership and value can be attributed. This denotes local participation in decision-making and dissemination of information not just to participants, but rather to the entire social hierarchy which conditions acceptance and utilization of the health services. The following contribute to broadening the fiscal integrity of the services: coordination among different kinds of service providers (providing alternate delivery and fee structures), bringing service quality to such a level that the population is consistently willing to pay for these services, and expanding the financial resource base available to health services. The three KIRs, most generally described as supply, demand and financing, together create the result described in this Strategic Objective.

2 Problem Analysis Social Empowerment

The key component to changing the paradigm invoked in social empowerment is decentralization, newly enacted as law in Senegal. This is still in a state of considerable flux, given variations in interpretation and levels of implementation. The change to decentralized authorities means that the current health system is organized as follows (see Table One), replacing the health professionals' resource management with that of locally elected officials as the heads of management committees. The focus remains firmly fixed on service delivery as opposed to changing policy or creating a favorable environment, and thus continues its ongoing emphasis on decentralized service provision, rather than on more centrally-focused activities. It is still unclear how the Bamako Initiative, by which village health communities have managed a cost-recovery program for drugs and services, will be affected by the changed legislation. Health Committees have been operating in some areas for 20 years or more and have thus far been outside of government control. There are arguments that this invites corruption and poor management, just as there are those that insist that this system ensures fair and honest community oversight. Due to widely varying interpretations of the law, some locally elected officials have already moved to absorb these groups, and their resources, into their own municipal administrations. Whether they continue to operate, if now outside the political authorities, or if these activities are subsumed as part of the *comite de gestion*, remains to be seen.

TABLE ONE

ORGANIZATION OF HEALTH SYSTEM UNDER DECENTRALIZED AUTHORITIES

| Level | Ministry of Health | Comite Local |
|-------------------|---|---|
| Central | MOH Cabinet | Ministry of Interior |
| Region | Region Medicale | Conseil Regional Comite Med - Admin Comite de Gestion |
| (District) | District Sanitaire (all facilities in geographic district) | N/A |
| Commune | N/A (Health Center) (Urban Posts) | Maire Comite de Gestion |
| Communaute Rurale | N/A (Rural Posts) | Comite Rurale Comite de Gestion |

Decentralization provides the health sector with certain opportunities, but also poses some significant problems. Given that the health sector has historically been decentralized, in that the basic health services are theoretically available locally, with progressively more specialized or intensive care concentrated in larger population centers, the mechanics of decentralization are already in place. These mechanics include systems for delivering medicines and training personnel and, while funding has been centrally provided, it has operated within the framework of health professionals balancing needs with supplies and demands. Local governments will now be more active players in determining needs and priorities. It will be the added task of MOH health professionals to try to ensure that decisions by locally elected officials are technically sound and consistent with national MOH policies and directives. It should also be stated that the mechanics, while in place, are not necessarily firmly so and face increasing competition for the customers' scarce resources as the effects of devaluation and ongoing environmental difficulties make themselves felt.

Some of the opportunities for the health sector include

- the creation of a performance-based system,
- revitalization of community participation,
- reinforcing intersectoral coordination,
- expanding internal sources of financing, and
- adapting cooperation to local needs

These opportunities require more management and active cooperation from all the participants, both those in the health sector and in local government and the local business community. It boils down

to the possibility of ownership in the system, and assumes a commitment to its successful operation. Local government authorities must now be fully committed to improving health services and mobilizing necessary resources to ensure that action plans are correctly executed. To a certain extent, that ownership itself provides a focus for certain problems in this process of decentralization. These include

- institutional arrangements are still confused and this reinforces the principals' confusion,
- risks inherent in substituting to internal sources of financing,
- risks in aggravating the inequalities among local collectives,
- national priorities now compete with local ones,
- the combination between the types of practitioners and technical efficiency, and
- the integrity of support systems and their ability to respond

Management of resources and services becomes the primary component in successfully transferring financial responsibility to civil authorities. National level MOH policies will now compete with local level needs, priorities, and political agendas. The difficulties inherent in attempting to coordinate the services of hitherto competing health providers (traditional, as well as private and public) become an important aspect of overall service delivery. Coordinating among the public providers has proven difficult in the past, but expanding that coordination among the many different vectors of providers is likely to prove even more difficult. On the one hand, it greatly expands and legitimizes the available pool of health resources, but, on the other hand, it mandates greatly improved technical cooperation so that a constant and valid message is delivered by the different agents involved in providing health services.

As an additional complication, one ongoing centrally-oriented concern is the mobility of the health personnel, currently transferred by the Ministry. The influence of one key player in taking the lead on coordinating among the different service providers can vanish with that individual's transfer unless the momentum of community involvement and participation is the primary motor for the community's own health.

As part of social empowerment, neither the geographic regions nor the specific interventions are yet chosen, but the accent in choosing sites for assistance will be performance-based, e.g. continuation of funding will be contingent on results. Co-financing will be mandated and the accent will be on the periphery, including rural and peri-urban, rather than on central MOH functions. The intent is to work with the Senegalese to create not just a 'Senegalese Program' but a sustainable one among partners.

3 Critical Assumptions and Causal Relationships

The critical assumptions at the SO level define the conditions under which SO 3 can be achieved. The following four elements were examined in detail in the course of the most recent results framework workshop:

- political will exists and continues
- local purchasing power improves
- active coordination among partners exists
- socio-political stability prevails

These address the most macro-level concerns of any nation, as well as the weak link in the decentralization chain. In more detail, the focus groups expanded upon these four critical conditions in the following ways:

Political will refers to the general context in which decentralization, writ large, may be implemented. CLs must be fully engaged in planning, priority setting, and execution of their work plans. Further, the local electorate must be made aware of planning and performance in an open and transparent manner so that, for better or for worse, they can be held accountable for health and other social services in their jurisdiction. This involves not only the elected officials' prompt and appropriate transfers of funds, but also the active participation of the local communities to mandate those transfers. Any financing system will have pipelines, but maintaining the steady flow of internal resources will require community involvement on an unprecedented scale. Local governments must be prepared to identify and eliminate obstacles to improved quality and use of health services. It also implies the government's own commitment to enforcing the law and spirit of decentralization, as well as its particular attention to ensuring that ongoing programs (such as the Bamako Initiative) can be maintained.

Local purchasing power improves. The decline in local purchasing power acknowledges the effects of the 1994 devaluation, and the possibility of subsequent shifts. While the Senegalese economy appears to have made strong progress in recouping lost ground, the local conditions vary on more than macro-economic variables. Weather and natural disasters also affect the willingness and the basic ability of local populations to choose routine health services among increasingly scarce financial reserves. It is essential that the services be affordable to the local population and/or their purchasing power improves substantially.

Active coordination among partners, with partners including the state, international donors, NGOs, private sector entities, local authorities, is fundamental in order to increase utilization of health services, as it is imperative that these partners work with each other, conveying the same message reinforcing each others' abilities and developing a generalizable system of health services for their individual clientele. The elements of competition present before decentralization will increase in the absence of a central authority, and must be harnessed together before their individual agendas rip apart the social fabric.

Socio-political stability refers to social unrest related to domestic issues, such as strikes, demonstrations and the like, as well as more international issues such as border closings. With the exception of the Casamance and sometimes tenuous relations with Mauritania, Senegal has enjoyed civil quiet and stability, relative to its regional neighbors. To succeed in improving health services, this trend must continue. This issue also touches on the existence of powerful labor unions, including those for health professionals, in Senegal. The Government of Senegal must work to resolve and avoid disputes with these social service unions in order to make meaningful progress in service delivery.

Another device for examining causal linkages is the following quasi-mathematical formulation. This exercise presents the components and their definitions in a larger system context. The symbol f is mathematical shorthand for "is a function of" and indicates that the components within the parentheses comprise the result to the left of the equal sign.

SO Utilization = f (improved availability + local demand + financial support)

KIR 1 improved availability = f (structures + systems)

structures presence of multiple service providers of multiple overlapping and/or complementary services

systems personnel monitoring/quality control, supply of medicines, coordination among service providers

KIR 2 local demand = f (knowledge of + value in)

knowledge where/what/how, consistent message at different providers, social approval

value utility, social approval

KIR 3 adequate financial support/backstopping (esp vis a vis decentralization) = f (resource availability + management + legal context)

availability funds allocated (public sector), private sector investment

management distribution of funds and coordination among donors and recipients

legal context policy framework understood and enforced

4 Results Framework

The core working group (*comite restreint*) and the Mission together have defined three mutually reinforcing key intermediate results (KIRs) necessary and sufficient to achieve the SO. As broadly presented in the previous section, these hinge upon increased availability, increased demand, and adequate financial support. This section elaborates upon both the key intermediate results and their underpinning, causally linked, intermediate results. Suggested indicators are listed at the end of the section. As activities and regions are defined, the list can be expanded or contracted, as needed.

KIR 3.1 Increased supply of child survival, reproductive health, and STD-AIDS services

The English language word play conditioned the choice of 'supply' in this KIR, but it is to be underscored that the term refers to the availability of AND the improvement to existing services, rather than delivery systems or service modalities. While existing service delivery systems exist, there is currently only weak monitoring to ensure, for example, that clinics maintain the same, protocol-driven, supply of surgical instruments, or that consistently-trained personnel apply consistent procedures. This KIR is the result of a blending of two KIRs, focussing on the offer of services and their quality. The assumption is that people already use some of these services but that are frustrated when appropriate supplies or technicians are absent, and therefore are less likely to make the effort to use services (which may or may not be present) again.

This KIR focuses on several different levels of the provision of health services, as this strengthens the existing public delivery mechanism, then expands the resources available at the community level. This expansion incorporates standardized care and quality control from both public and private providers, creating a collaborative, collegial, milieu for the betterment of the community as a whole.

The critical assumptions at the SO level are particularly important in this KIR, but almost equally important is the government's implementation of decentralization through its own health care professionals and their willingness to coordinate and collaborate with other service providers. This aspect of coordination expands the focus from the governmental one to include donors, NGOs and other service providers.

The achievement of the KIR is supported by the following intermediate results:

IR 3.1.1 Improved functionality of existing public service delivery points (SDPs)

This IR emphasizes the ongoing Ministry role in maintaining and improving its own services to the communities, and reinforces both the ongoing decentralized nature of health care and the specific technical levels within that system. The importance of quality of services is implicit in this IR.

IR 3 1 2 Community and private SDPs offering standard services reinforced and/or created

This IR expands the local commitment in providing health services from the public sector to include those operated in the private sector and other local institutions, and continues the decentralization begun under the Bamako Initiative

IR 3 1 3 Partnerships for public health services between the public and private sectors improved

This reinforces the informal mechanisms for coordination and collaboration among the different actors in the health system by formalizing those relationships. As with IR1, the importance of quality of services is implicit

IR 3 1 4 Participation among various partners in program management, execution, monitoring and evaluation improved

This addresses the essential element of local community “ownership” of health services and programs in order to ensure needed budget and management support. This notion also indicates the development and maintenance of conduits for the dissemination of consistent information regarding practices and standards for the provision of health services and expands upon the establishment of partnerships to include informal arrangements professional associations in collaborative activities

IR 3 1 5 Technical monitoring and management of programs and activities improved

The importance of quality of services is much more operationalized in this IR, as this includes buttressing the supervisory capabilities and quantitative surveillance systems to ensure that established norms and protocols can be met throughout the system

KIR 3 2 Increased demand for child survival, reproductive health, and STD-AIDS services

The demand for health services implies not only the knowledge of their availability, a willingness to travel long distances to access them, but the ongoing social perception of the value of the discrete programs in terms of individual and family health. While it is too easy, from a Western perspective, to say that of course immunizations are important, that importance is both legally mandated and socially validated in developed societies. In developing countries and low income areas, the legal mandate may exist, but the social validation is still a work in progress. To a certain extent, this is part of problems with the service delivery mechanisms, but, in this context, refers to individual, familial and religious values on the provision of those services in view of the expense of services and the hidden costs of obtaining those services (transport, loss of person/days of work). Part of the function of social empowerment is in providing services which have widespread acceptance in the community as a whole and in the consistent dissemination of that consistent message of value in as many social contexts as possible

This KIR focuses on increasing knowledge to change attitudes, and therefore, practices. It focuses on the increased participation of the community to achieve both ownership of, and thereby value in, the health services. Critical assumptions for this KIR are that there will be fewer competing demands for resources so that routine health services will be an integral part of the family's budget, and that the participation at different social and business levels will enhance the overall demand, rather than splintering it into competing and conflictual components.

The achievement of the KIR is supported by the following intermediate results:

IR 3 2 1 Perception of (individual and family) value of child survival, reproductive health, and STD-AIDS services increased

This IR indicates changes in individual actions, as conditioned by family support and social opinions and informal sanctions, and has considerable bearing on the quality of services provided as well as their perceived utility in cost as well as physical outcomes.

IR 3 2 2 Participation among opinion-leaders (religious, political and civil) in social mobilization increased

This IR changes the focus of value to those in a position to affect participation from their perspective as leaders in the community or region. This is not to suggest that every religious leader will accept unconditionally all of the services available in reproductive health, but that the positive benefits for women will be increasingly met with approbation and official sanction.

IR 3 2 3 Involvement among partners in the private sector, NGO community and local organizations in IEC activities increased

The importance of consistent messages, consistently delivered and repeated through different vectors at different points in one's social existence cannot be understated.

IR 3 2 4 Knowledge of locations of local SDPs offering standard services increased

Of equal importance to social value on the services is the knowledge of how to access them, and this links with KIR 1 in terms of the quality of service provided.

KIR 3 3 Increased financing of health services from internal sources

This is the final leg of the tripod of health KIRs. The first two emphasized technical delivery of services and systems, and the public perception of value. Both are necessary, but together are not sufficient to increase utilization of services. The final component of that equation is the availability of resources, and it is in this KIR that the political aspect of decentralization plays its most important role in ensuring both the financial flows to communities at need and the local ability to manage that increased responsibility.

Critical assumptions for this KIR are that there will be public funds available and that their timely dissemination will be enforced. There is considerable potential for increasingly politically-motivated restrictions and/or redirection of funds. Local governments must make health services a priority and engage the concrete resources to demonstrate this before USAID or any other donor can expect to achieve any meaningful impact in this area.

The achievement of the KIR is supported by the following intermediate results

IR 3.3.1 State and community resources allocated to health services increased in real terms

This is the pipeline and drawdown mechanism for financing from the public sources

IR 3.3.2 Effective partnerships for financing health systems developed

This is part of the development of management strategies, in that it requires the identification of key players in the region and the establishment of formal and informal means to coordinate their efforts in providing health services through means such as resource sharing.

IR 3.3.3 Management capabilities (financial and administrative) among key partners reinforced

The access to new funding sources requires additional information and training in the technical sense, but also in terms of its coordination among the various partners involved with providing health services in a given area.

IR 3.3.4 Legal and regulatory framework for health financing improved

This is the state's implementation of mandated systems for ensuring the annual allotment for health financing is budgeted and implemented in a timely manner.

INDICATORS FOR SO 3

The following indicators were proposed, though not yet fully adopted for SO 3

| | |
|-----------------|---|
| SO 3 | Increased utilization of child survival, reproductive health and STD-AIDS services in the context of decentralization |
| Indicators | <ul style="list-style-type: none"> - contraceptive prevalence rate - utilization of prenatal care - utilization of oral rehydration therapy - condom utilization among HIV high-risk groups - utilization of STD treatment services - vaccination coverage |
| KIR 3 1* | Increased supply of child survival, reproductive health and STD-AIDS services |
| Indicators | <ul style="list-style-type: none"> - continuity of FP use - % of cases correctly treated according to MOH protocols by observation - % of population living within 5 km of a fully functional SDP - % SDPs fulfilling criteria to be fully functional - number of private SDPs offering standard services - ratio of public/private SDPs fully functional - % public and private SDPs with a system of user fees for standard services - % public and private SDPs with a system of financing preventive services - annual action plans elaborated with Health Committees, MCD, and local elected officials - coordination meetings and joint program reviews held regularly with key actors - % SDPs which have received a technical supervision visit in the past 3 months - % SDPs which have transmitted service statistics reports on schedule |

| | |
|-----------------|---|
| KIR 3 2* | Increased demand for child survival, reproductive health and STD-AIDS services |
| Indicators | <ul style="list-style-type: none"> - target (risk) group declares intention to use a condom in next sexual encounter - % (men/women) declaring a favorable attitude towards FP - unmet need for FP (as defined by DHS) - % target group able to name (at least 2) benefits of FP, ORT, EPI, pre-natal consultations, exclusive breast-feeding - % target group which recognizes own risk of STD-AIDS giving valid justifications - number of events with active participation of opinion leaders - number of persons reached by IEC activities , IEC activities sponsored by NGOs, private organizations, etc - % target group (WRA, men) who know the location of the nearest SDP offering the standard services |
| KIR 3 3* | Increased financing of health services from internal sources |
| Indicators | <ul style="list-style-type: none"> - % annual health budget (in the target area) furnished by internal resources (taxes/other region/local funds, health committee) - total budget level allocated to health services in the target area through internal resources - % SDPs with a system of payment/coverage for indigent care/services - % all health budget (from all sources) actually executed - % of local administrative units with management systems accounting, human resources, logistics programming & monitoring/surveillance - legal and regulatory obstacles identified and prioritized for changes by the National Assembly (or competent authority) - priority legal and regulatory changes initiated (by Technical Ministry or the National Assembly) |

*The indicators for the KIRs also include IR indicators

IV MONITORING AND EVALUATION

Monitoring performance and evaluation (M/E) are most effective and useful when they are integrated as part of an ongoing participatory process. This indeed is the definition of a “learning” institution, where feedback is regularly integrated into program implementation concerns. Designed correctly, a monitoring and evaluation system can have an impact far beyond the provision of data required for annual R4 submissions. Furthermore, a participatory monitoring system can empower local participants by making them responsible for routine monitoring and information gathering. A well-designed monitoring system provides an excellent database for regular feedback, for annual performance reviews and for periodic evaluations.

Participation is key to a successful monitoring system, both in terms of the initial design of the system and its indicators and in data/information collection. In a participatory M/E system, the purpose of participation is to empower the stakeholder. Thus, the process of monitoring becomes a key ingredient in the overall construct of the program activity. The establishment of sound M/E systems will reinforce the Mission’s emphasis on economic, political and social empowerment.

The participatory model generally begins with a process of inquiry and dialogue through which all participants share information and ideas in a fashion that permits them to have a multi-dimensional perception of their own performance and results. The participants are asked to identify, analyze and prioritize their needs through a cause-and-effect relationship. Based on this process, they develop an agenda for common action, identifying preliminary indicators for assessing progress. For each factor which the group considers to be determinant, it is essential to develop a set of indicators. Subsequently, the participatory M/E process becomes the key means for collecting and analyzing data to assess performance results and the needs for the future.

Participatory models should respond to the following elements:

| | |
|-----|--|
| WHO | All actors, participants and stakeholders should be represented |
| WHY | To track all indicators and assess performance results and needs |
| HOW | Through a five-step process |
| | 1 All actors have to validate all indicators, in relation to their knowledge and capacities, |
| | 2 Data must be collected and shared/released, through a two-way process, |
| | 3 Auto-evaluation of performance, with assistance of NGO or donor, |
| | 4 Identify the problems, and |
| | 5 Making decisions |

Key questions include: who receives the information, who will use/integrate/apply the findings, what kind of information is needed, when is the information needed, and in what format should the information be delivered.

Other key aspects of a Performance Monitoring Plan (PMP) include

Indicators All indicators for strategic objectives and key intermediary results should be addressed, with base line data and performance targets for each. Critical assumptions should also be tracked. Indicators should be identified to measure participation and progress in 1) decision-making/power process, 2) economic environment, and 3) socio-political dynamics.

Sample Selection and Sites The choice of sites to perform the sampling is critical. Obviously, all activities and sites cannot be covered, as this is a management-intensive and costly process (in terms of time and resources). Thus, the choice of sites must be representative, and sites should never change in order to ensure methodological rigor.

Actors An effective PMP identifies and involves key actors and audience on a representative basis.

Interventions to be monitored/evaluated These must be identified and described.

Questionnaire Formulation of potential questions of interest to all actors and audience. The review/discussion of questions and the feedback/reformulation process serve as a training ground for participants to carry out surveys, and to evaluate findings.

V MODIFICATIONS TO CONSIDER AND OBSERVATIONS ON PROCESS

The ‘bookends’ of strategic planning are yet to be completed, that is, expanding the basic goal statement and the definition of activities and target geographic areas. These have a direct bearing not only on the implementation of the existing results frameworks, but also on their ongoing fine tuning. Indicators chosen, the way that IRs, KIRs and even the SO are then managed, monitored and evaluated, all depend on that definition.

In light of the integration of NRM into both SO 1 and SO 2 and its concomitant disappearance from explicit mention in the graphic presentation, it is particularly important that the Mission strongly emphasizes that the ‘environment’ is implicit in both the ‘selected sectors’ of SO 1 and ‘services and resources’ of SO 2. While the text heavily underscores that connection, it may need to be made more explicit in the graphic presentation.

The three SOs developed are low to mid-level in that they all emphasize service delivery improvements or increased utilization, rather than a higher-level SO, such as impact. **THIS IS NOT A BAD THING**, a point that TMG cannot emphasize too strongly. Achieving measurable results with USAID’s manageable interests is the standard to which the Mission will be held rather than a loftier but more nebulous higher level where the Mission might be hard pressed to ascribe any causality.

Mission participation in the strategic planning process was a critical element in the successful negotiations which developed the individual SOs. This included both their formal participation in the workshops, as well as more informal means of participation. The ongoing Mission participation in the subsequent report generation has also been effective and important, and is deeply appreciated.